Type 1 Technical Reporting Guidance 2023

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1. Introduction

This document provides guidance on Technical Reporting in 2023. It provides:

- Information on the Performance and Results Management System (PRMS) Reporting Tool and the latest revisions to the Results Framework.
- Details on the quality assurance (QA) process and timeline.
- General guidance information in Annexes 1-5 (e.g. information on support available for reporting, the reporting timeline, title and description guidance, and guidance on submitting evidence for results).
- Links to key guidance resources for individual result types and indicator categories.

For 2023, this document is structured according to the chronological order of reporting stages (in 2022 it was ordered according to the sections of the reporting template) to ensure that information is provided in a timely and constructive manner, in line with 2023 reporting as it progresses.

The action points set out in the Action Plan that resulted from the 2022 Learning and Optimization process have also been prioritized with the reporting timeline in mind, and therefore decisions and updates are being finalized as much as possible in the same order as information presented in this document.

Information that is yet to be decided/updated/finalized will be highlighted in blue throughout this document. The Portfolio Performance Unit (PPU) will send a notification email from performanceandresults@cgiar.org when any major updates are made to this guidance document.

This document complements the resources and information that can be found on the Performance and Results (P&R) Hub. For Technical Reporting, the P&R Hub contains:

Reporting resources

- Resources for 2023 Technical Reporting, including:
    - An overview of the 2023 Technical Reporting timeline
    - Technical reporting updates as they are released. This may include guidance and template updates, PRMS new developments, timeline updates, etc.
    - Reporting guidance, including a set of support materials on Innovation Packages and Scaling Readiness (IPSR) and Reflect
    - Link to the PRMS Reporting Tool
    - Reporting templates
    - Past event (meetings/drop-ins etc.) recordings and materials (slide decks, meeting notes etc.) relevant to 2023 Technical Reporting

Upcoming reporting dates and events

- Important upcoming reporting dates and deadlines (Results submission dates, quality assurance dates, etc.)

- Dates and details of upcoming events (meetings/drop-ins etc.)

Reporting Q&A

- A set of questions and answers related to Technical Reporting. This page will be updated regularly with new questions and updated answers.

If you have any questions related to the information presented in this document, please contact performanceandresults@cgiar.org.

2. Background

The Technical Report process has been developed in alignment with the Strategic Impact, Monitoring and Evaluation Committee (SIMEC)-endorsed CGIAR Technical Reporting Arrangement which describes the content, timing, format, standards and scope of technical reporting applicable to all CGIAR Initiatives/Platforms/Projects. The Technical Report is designed to provide assurance on annual progress towards End of Initiative outcomes (EOIOs).

For reference, the 2022 Type 1 reports, Type 3 report and the CGIAR Portfolio Narrative report can be accessed here.

3. General points

The PRMS Reporting Tool will be open for 2023 key results reporting from **Monday 18 September 2023**. While reporting in the PRMS Reporting Tool will be open throughout the year, reporting on 2023 results will close on **Tuesday 23 January 2024 (Friday 16 February for reporting Knowledge Products)** ***now extended to 26 January 2024 1400 CET*** to allow for subsequent Technical Reporting steps such as the QA process, Results Dashboard updates, the Reflect process and drafting the technical annual reports (Type 1 reports).

Selected information entered into the PRMS Reporting Tool will be quality assessed (see Section 6 in this document for details) and will then be provided to Initiatives/Impact Platforms/Projects in a suitable format for inclusion in the Type 1 Technical Report. This information should inform the Reflect process, and the adaptive management section of the Type 1 Technical Report.

2023 Type 1 reports will be key in assessment by donors and evaluators of the success of the first 3-year CGIAR business cycle. It is crucial that these reports adequately reflect progress towards planned outputs and outcomes.

Ensuring quality over quantity

As part of the 2022 Learning and Optimization process for CGIAR Technical Reporting, engagement with stakeholders revealed a key priority for reporting moving forward – the need to move away from incentivizing the reporting of high quantities of results and focus on the quality and significance of outputs, outcomes and partnerships.

In 2023, this guidance document and related materials and support modalities, and the improvements we are making to the PRMS Reporting Tool, the Quality Assurance process and the Results Dashboard, aim to support your efforts to focus on quality and progress, with understanding for the timeframes and flexibility that are often needed for robust scientific progress, which relieves the pressure to report high numbers of results that may not align with TOC progress.

For 2023, it is important to remember:

Report against your theory of change TOC targets. Use the targets as a guide for what is to be reported for each indicator category. This will support progress towards End of Initiative outcome delivery.

Choose the knowledge product type wisely. A few well-targeted policy briefs and articles in high-impact journals are preferred over a multitude of "reports".

Prepare high quality knowledge products. All knowledge products should undergo a review process based on the Center or Initiative policy for the type of output, be thoroughly edited and proofread, and receive the appropriate branding before being submitted for entry in CGSpace. You can find your Center curator here. Outputs that are not ready to be reported for 2023 should be reported in 2024. Drafts or incomplete products are not acceptable reporting items, and it is not possible to report a knowledge product without a CGSpace handle. See more details in the guidance document on knowledge products, and the Publications checklist for CGIAR.

There is no need to report the same/similar content under multiple indicator categories. Select the most significant output and report it under the most appropriate indicator category for that output.

4. What's new in 2023

Some of the updates below are currently being implemented in the PRMS Reporting Tool. These updates are highlighted in blue.

An email will be sent from performanceandresults@cgiar.org as soon as the updates are ready.

1. Reporting this year is open to **Initiatives, Impact Platforms, and non-pooled projects**.

2. The **PRMS Reporting Tool** is open earlier than in 2022, from **Monday 18 September 2023**, and will be open throughout the reporting period for the submission of results, even during the quality assurance periods. However, please note that once results are submitted, they can no longer be edited or removed. Reporting for 2023 results closes on **23 January 2024**.

3. For the **theory of change (TOC) match** for results (for outputs and outcomes), there is now an option to map a result against its TOC elements, to ensuring more precise TOC mapping:
   - Output indicators
   - Outcome indicators
   - End of Initiative outcome indicators
   - Action Area outcomes and indicators
   - Impact Areas and Impact Area targets
   - SDGs and SDG targets

4. For **Impact Area tagging**, it is now mandatory to tag results for each of the five CGIAR Impact Areas. (In 2022 only gender and climate change tags were available).

5. It is now possible to provide a maximum of 6 pieces of **evidence** for results. (In 2022 it was 3); there remains a maximum of 1 piece of evidence for knowledge products and no evidence required for capacity sharing for development or innovation development results as the idea stage).

6. The field to enter **supplementary information** in the PRMS Reporting Tool has been **removed** (as more evidence links can now be provided).

7. For **knowledge products** (output):
   - There is an optional field to provide **additional partners**. (In 2022, the partners for knowledge product results were generated only from author affiliations detailed in CGSpace.)
   - New icons have been introduced to indicate the status of the criteria used to determine **FAIR scores**. This enhancement enables users to readily recognize how they can enhance the FAIR score of their knowledge products by addressing any unmet criteria.

8. For **capacity sharing for development** (output), there is now an option to report non-binary trainees, and to enter the number of trainees where the gender is unknown (when gender disaggregation information is not available). For details see the guidance document on capacity sharing for development.

9. For **innovation development** (output), the following fields have been added to the PRMS Reporting Tool:
   - Mandatory annual update/closure
   - Anticipated innovation user
   - Responsible innovation and scaling

- Intellectual property rights
- Innovation team diversity
- Estimated investment in innovation development (optional)

For details see the guidance document on innovation development.
There is also an Innovation Readiness Calculator available.

10. For **innovation use** (outcome), Initiatives/Impact Platforms/Projects will now be asked to specify the innovation use(r) (actor, organization, other) and disaggregate gender and youth where relevant.

The Innovation Packages and Scaling Readiness (IPSR) pathway for reporting innovation use is now available to all Initiatives/Impact Platforms/Projects. The IPSR pathway offers a novel way to report progress in innovation use towards impact at scale. This pathway supports CGIAR and partner teams in:

- Co-creating a scaling ambition for innovations with scaling partners
- Designing a context-specific innovation package (enabling conditions for scaling) with partners and experts
- Assessing the innovation package for its scaling readiness (evidence-based)
- Identify bottlenecks for scaling and partner discussions on how to overcome those
- Reporting current use of the core innovation (evidence-based)

For details see the guidance document on innovation use (IPSR pathway).
There is also an Innovation Use Calculator available.

11. For **policy change** (outcome), the following fields have been added to the PRMS Reporting Tool:

- Is this result related to the capacity development of key actors in a policy process or policy change?
- Is this capacity development or policy change result related to any engagement activity or event?
- Is this policy change linked to a reported Innovation Development output?
- Is this policy change linked to a reported Innovation Use outcome?

For details see the guidance document on policy change.

12. For **quality assurance** (QA), as the PRMS Reporting Tool will be open throughout the year, the QA **process** will take place in two batches. See Section 6 of this document for details.

13. In the **PRMS Reporting Tool**, there is now a **versioning system**, where administrators can create “phases”. A phase serves as a timeline-based categorization of results data and can be either open or closed. An open phase allows users to edit and submit data within that phase, while a closed phase restricts any further editing or submission of information, regardless of the current state of the result (submitted or not).

14. For all fields requiring links in the **PRMS Reporting Tool**, an **alert is now triggered if the provided URL is not valid**.

15. For outcomes, the indicator category **"capacity change"** will be removed. It was trialed in 2022 and found that almost all submissions could be classified as capacity change outcomes within a policy change or an innovation use impact pathway. There are new fields within innovation use and policy change to capture these capacity changes. There will still be some capacity changes that do not align closely with innovation use or policy change and those can still be reported as an "other" outcome.

16. For **geographic location** (for outputs and outcomes), there is an option to select "sub-national". For sub-national, multiple inputs can be made unless they add up to a specific country, in which case country should be selected.

17. An option has been developed to allow **tagging a result to multiple Work Packages**.

18. An option to use SharePoint has been developed to provide **confidential evidence**.

19. **Changing a result type** will be possible without having to 'un-submit' then 'resubmit' the result.

5. PRMS Reporting Tool guidance

The PRMS Reporting Tool is used to report key results for 2023.

PRMS Reporting Tool

It is **important to continually save your progress** as the PRMS Reporting Tool does not currently have an automatic save function.

Ensure that you regularly close and refresh the PRMS Reporting Tool (ensuring that you save your work first) as updates will be periodically made to the system. By refreshing the Tool you will be sure to be working with the latest version.

Useful terms used in the PRMS Reporting Tool:

Result type
Initiative output, Initiative outcome, Action Area outcome, Impact

Indicator
For example, number of people trained, number of updated policies, number of innovations profiled.

Indicator category
For example, knowledge product, capacity sharing for development, policy change, innovation use.

See further details below, and for a full list of key terms related to CGIAR reporting see the MELIA Glossary.

Reporting on indicators

Drawing on the CGIAR Performance and Results Management Framework 2022-2030 and the CGIAR 2030 Research and Innovation Strategy, reporting key results refers to reporting on **indicators** for result types:

1. Initiative/Impact Platform/Project output
2. Initiative/Impact Platform/Project outcome

These result types are mapped to the spheres of control, influence and interest, as set out in the CGIAR Result Framework and the **theory of change.**

What can be reported as Initiative/Impact Platform/Project outputs

1. Results for the following **indicators**:

    a. Number of knowledge products, including peer-reviewed journal articles, published in the reporting year.

    b. Number of people trained.

    c. Number of innovations profiled; number of innovations updated (innovation investment is active/inactive + reason).

    d. Other: outputs that do not fit the other categories, but which are important for documenting progress in the theory of change or for use in future evaluations (for example, presentations made, or webinars held, documentation of reflection meetings, development of tools and procedures for internal purposes). Intermediate or draft products should not be reported.

2. **Indicator categories** for reporting on these indicators are:

    a. **Knowledge products:** defined by the CGIAR Open and FAIR Data Assets Policy using the term "data asset". Knowledge products are intellectual assets generated from research and development activities such as articles, briefs, reports, extension and training content, databases, software, and multimedia elements that contribute to behavioral changes in particular actors.

    For reporting, users should only consider knowledge products that are integral

to an Initiative's/Project's theory of change (TOC).

Knowledge products within a TOC are meant for use by Initiative/Project actors (e.g., a policy brief produced as an Initiative's output to support a policymaker's action). To be eligible for reporting, a knowledge product should be a finalized product. Drafts (e.g., a draft brief) or preprints are not suitable. Other "data assets" (e.g., videos) as defined in the policy or any digital product (e.g., internal reports) illustrating an output or outcome should not be reported under this indicator and should instead be used as evidence for the relevant output or outcome.

If a knowledge product aligns with the above criteria and adheres to the policy, it should be stored in CGSpace, following a typology set by the CGSpace community, as outlined in the CGCore and international standards.

The CGIAR Knowledge Management (KM) Community of Practice (CoP) defines the quality of knowledge products, particularly for gray literature (e.g., reports), applied across all Centers.

i. Peer-reviewed paper (option to include MELIA study)
ii. Other (option to include MELIA study)

b. **Capacity sharing for development:** number of people trained by CGIAR, with the aim of leading to changes in knowledge, attitude, skills and practice, i.e. behavior.

c. **Innovation development:** a new, improved, or adapted output or groups of outputs such as technologies, products and services, policies, and other organizational and institutional arrangements with high potential to contribute to positive impacts when used at scale.

d. **Other**

Output resources

- Standard indicator description sheet: outputs
- Guidance document on knowledge products
- Guidance document on capacity sharing for development
- Guidance document on innovation development

What can be reported as Initiative/Impact Platform/Project outcomes

1. Results for the following **indicators**:

a. Number of new or significantly updated policies, strategies, legal instruments, programs, budgets, or investments informed by CGIAR research.

b. Number of Innovation Packages designed and assessed for their Scaling Readiness and current innovation use.

c. Number of genebank germplasm requests fulfilled.

d. Other: outcomes that do not fit cleanly into any of the above. These may be related to more general capacity building (e.g. a curriculum, use of a survey tool) or more general uptake of CGIAR research or formation of a partnership or network that extends beyond innovation or policy alone.

2. **Indicator categories** for reporting on these indicators are:

   a. **Policy change:** policies, strategies, legal instruments, programs, budgets, or investments at different scales (local to global) that have been modified in design or implementation, with evidence that the change was informed by CGIAR research. These include actions by the public and private sectors.

   b. **Innovation use:** the extent to which an innovation is being used, by which type of users and under which conditions.

   c. **Genetic material accessions:** fulfilled genebank germplasm requests.

   d. **Other**

3. Note that the number of genebank germplasm requests fulfilled, and the corresponding indicator category – genetic material accessions – applies to genebanks. This information is entered into the Genebanks Online Reporting Tool (ORT) separate from the PRMS Reporting Tool. Data is then displayed in the PRMS Dashboard together with all the other information.

Outcome resources

- Standard indicator description sheet: outcomes
- Guidance document on policy change
- Guidance document on innovation use (IPSR pathway)

If you have any questions about which result type you should report, please contact performanceandresults@cgiar.org.

6. Quality assurance process

A selection of key result data submitted into the PRMS Reporting Tool is quality assessed (QA) by a team of assessors (see Table 6.1 for details on the QA process for individual data fields).

For 2023 Technical Reporting, the PRMS Reporting Tool will be open throughout the year, and the QA process will take place in two batches.

The first batch will take place between **9-30 November 2023 (2023 results submitted until 6 November 2023 will be quality assessed during this first batch)**.

Between **16-22 November**, Initiatives/Impact Platforms/Projects will have an opportunity to respond to any comments or queries made by the QA team regarding the assessment of their key results. During this period, Initiatives/Impact Platforms/projects will also implement agreed changes that result from the QA process.

For the second batch, the QA process will take place between **24 January and 19 February 2024**. The window for Initiatives/Impact Platforms/Projects to respond to any comments or queries made by the QA team and implement agreed changes will be from **2-12 February**.

During the QA periods, the PRMS Reporting Tool will remain open for the submission of results and the editing on non-submitted results. While the PRMS Reporting Tool is open throughout the reporting period, please note that once 2023 results are submitted, they can no longer be edited or removed.

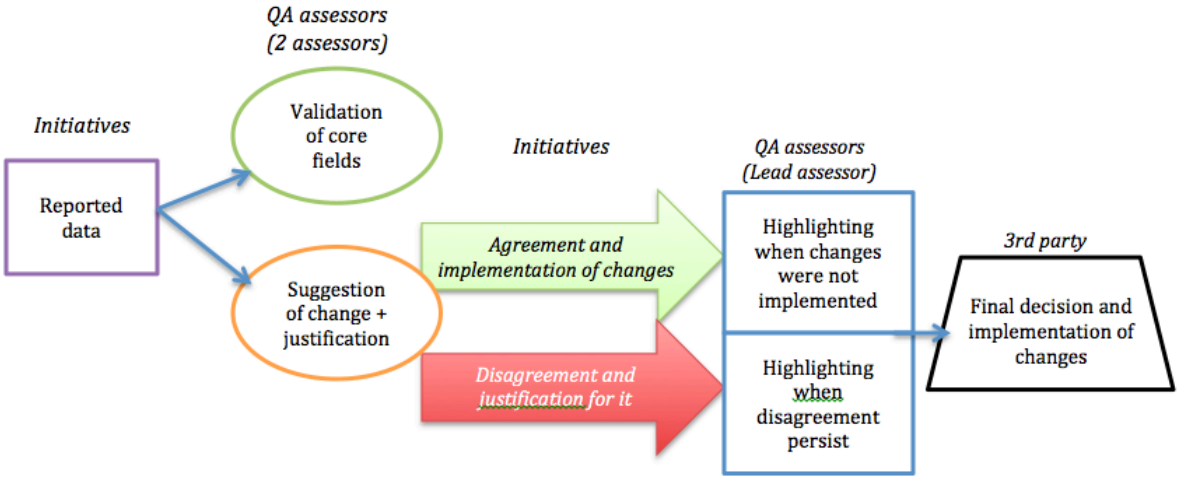
Also see **Annex 2** for a reporting timeline overview.

QA process details

Quality assurance is managed by PPU using a team of quality assessors. Two assessors cross-check each result indicator independently, and a **third-party tiebreaker mechanism** is used for priority data fields to resolve ongoing disagreements. QA assessors are provided with the following guidance, which includes QA criteria and instructions for assessment.

The QA process follows four steps:

1. Initiatives/Impact Platforms/Projects report their data.
2. Two QA assessors cross-check the reported data. The first one validates/corrects each info point, whereas the second one (Lead assessor) validates or corrects the assessment provided by the first assessor, and provides a final consolidated comment. For core fields, the assessors leave a justification/rationale for the requested changes.
3. Initiatives/Impact Platforms/Projects validate the change suggested by QA assessors, based on the provided rationale, or highlight their disagreement and provide a justification for it.
4. In case of disagreement, a **third party** will broker an agreement with the support of subject matter experts as required. The third-party decision will be allocated to the Action Area Science Group Director or their MELIA focal point.



Therefore, according to the importance of the different data points, reported data will be:

- Quality assessed: for non-priority data fields, assessors will quality assess the data against criteria, but Initiatives/Impact Platforms/Projects will hold the responsibility for the final reported data.
- Quality assured: for priority fields, a further third-party mechanism is implemented to ensure the accuracy of the reported data.

Note that:

- "Other" outputs and outcomes are only partially quality assured for whether they are:
  - A result or not
  - The right type/indicator category, and
  - Whether they are supported by evidence.
- Only knowledge products that are peer-reviewed publications and MELIA studies will be part of this QA process given resource constraints. This decision is based on an assessment of the added value of the investment needed to QA other knowledge product types. Center knowledge managers review the metadata of all research outputs entered into CGSpace.
- Peer-reviewed papers are firstly screened by the M-QAP system, which validates the reported date based on information retrieved from Scopus/the Web of Science.
- Engagement activities will not be QA'ed.

The main issues that may require the third-party party tiebreaker mechanism include:

- Is this a result and the right type of result, and the right indicator category (e.g. output, outcome, impact; innovation development, knowledge product)?
- Is this result at the right stage of maturity?
- Is there evidence of CGIAR contribution to the result?

Table 6.1: Non-priority and priority data fields for quality assurance

Indicator category	Parameter	Not quality assessed	Non-priority fields that are quality assessed only by assessors (1st round QA)	Priority fields that can be referred for 3rd-party review (2nd round QA)
Common to all	Result type			X
Common to all	Indicator category			X
Common to all	Title *(30 words)*		X	
Common to all	Description *(150 words)*		X	
Common to all	Theory of Change match: *Match to planned Output* *OR Link to WP Outcome* *OR Link to EoI Outcome* *OR Link to AA Outcome*		X	
Common to all	Achieved Output Values against planned Targets	X		
Common to all	Geographic location		X	
Common to all	Subject of outcome	X		
Common to all	Contributing Centers	X		
Common to all	Contributing partner organizations	X		
Common to all	Contributing Initiatives and non-pooled projects	X		
Common to all	New or updated result	X		
Common to all	Contributing results	X		
Common to all	Impact Area tag		X	
Common to all	Evidence			X
Common to all	Impact Area evidence		X	
Capacity Sharing for Development	# people trained (male, female, non-binary, unknown)		X	
Capacity Sharing for Development	Long-term or short-term		X	
Capacity Sharing for Development	Master's / PhD		X	
Capacity Sharing for Development	Delivery method		X	

Capacity Sharing for Development	Trainees attending on behalf of an organization		X	
Knowledge Product	Is it a MELIA?			X
Knowledge Product	MELIA previously planned in the online submission tool?	X		
Knowledge Product	Permanent unique Identifier		X	
Knowledge Product	Issue date		X	
Knowledge Product	Title		X	
Knowledge Product	Authors		X	
Knowledge Product	Knowledge product type		X	
Knowledge Product	Description	X		
Knowledge Product	Peer reviewed (Y/N)			X
Knowledge Product	Web of Science Core Collection		X	
Knowledge Product	Accessibility		X	
Knowledge Product	License	X		
Knowledge Product	Keywords	X		
Knowledge Product	Altmetric Attention Score	X		
Knowledge Product	Reference to other knowledge product	X		
Knowledge Product	FAIR score	X		
Innovation Dev	Short title *(10 words)*		X	
Innovation Dev	Innovation nature *(incremental/radical/ disruptive/other)*		X	
Innovation Dev	Typology *(tech/cap dev/policy/ other)*		X	
Innovation Dev	Genetic Innovation: New or improved variety or breed		X	
Innovation Dev	# of individual new or improved lines/varieties		X	

Innovation Dev	Anticipated innovation use (*actor, organization, other*) with disaggregated sex/age data		X	
Innovation Dev	Responsible innovation and scaling— Gender Equality and Social Inclusion	X		
Innovation Dev	Responsible innovation and scaling— Unintended negative consequences	X		
Innovation Dev	Intellectual property rights	X		
Innovation Dev	Developer	X		
Innovation Dev	Collaborators	X		
Innovation Dev	Innovation team diversity	X		
Innovation Dev	Innovation Readiness Level			X
Innovation Dev	Innovation Readiness Level justification		X	
Innovation Dev	Estimated USD investment	X		
Innovation Dev	Acknowledgement	X		
Innovation Dev	Visuals	X		
Innovation Dev	Reference materials	X		
Policy Change	Link to the capacity development of key actors in a policy process OR a policy change		X	
Policy Change	Link to any engagement activity or event (Y/N)	X		
Policy Change	Policy type		X	
Policy Change	Unit of measure (# of policy/USD amount)		X	
Policy Change	Confirmed/estimated/ unknown		X	
Policy Change	Stage			X
Policy Change	Policy implementation *(whose policy is this?)*		X	
Innovation Use (non-IPRS pathway)	Current Innovation usage numbers + evidence			X
Innovation Use (IPSR pathway)	Targeted innovation use number (M / F / Y)		X	
Innovation Use (IPSR pathway)	Complementary Innovation/enabler/ solution (short name, long name, and enabler function)		X	

Innovation Use (IPSR pathway)	Expert workshop organized (Y/N)	X		
Innovation Use (IPSR pathway)	Readiness Levels + evidence for core and complementary innovation/enabler/ solution			X
Innovation Use (IPSR pathway)	Use Levels + evidence for core and complementary innovation/enabler/ solution			X
Innovation Use (IPSR pathway)	Current innovation usage number + evidence			X
Innovation Use (IPSR pathway)	Additional information fields (anticipated investments, acknowledgement, visuals, reference materials)	X		
Impact contribution	# benefitting			X

7. Technical Reporting templates and design mock-ups

Templates

Initiative Technical Report template

Impact Platform Technical Report template (for Impact Platforms using Modules)

Impact Platform Technical Report template (for Impact Platforms not using Modules)

Science Group Project Technical Report template

Design mock-ups

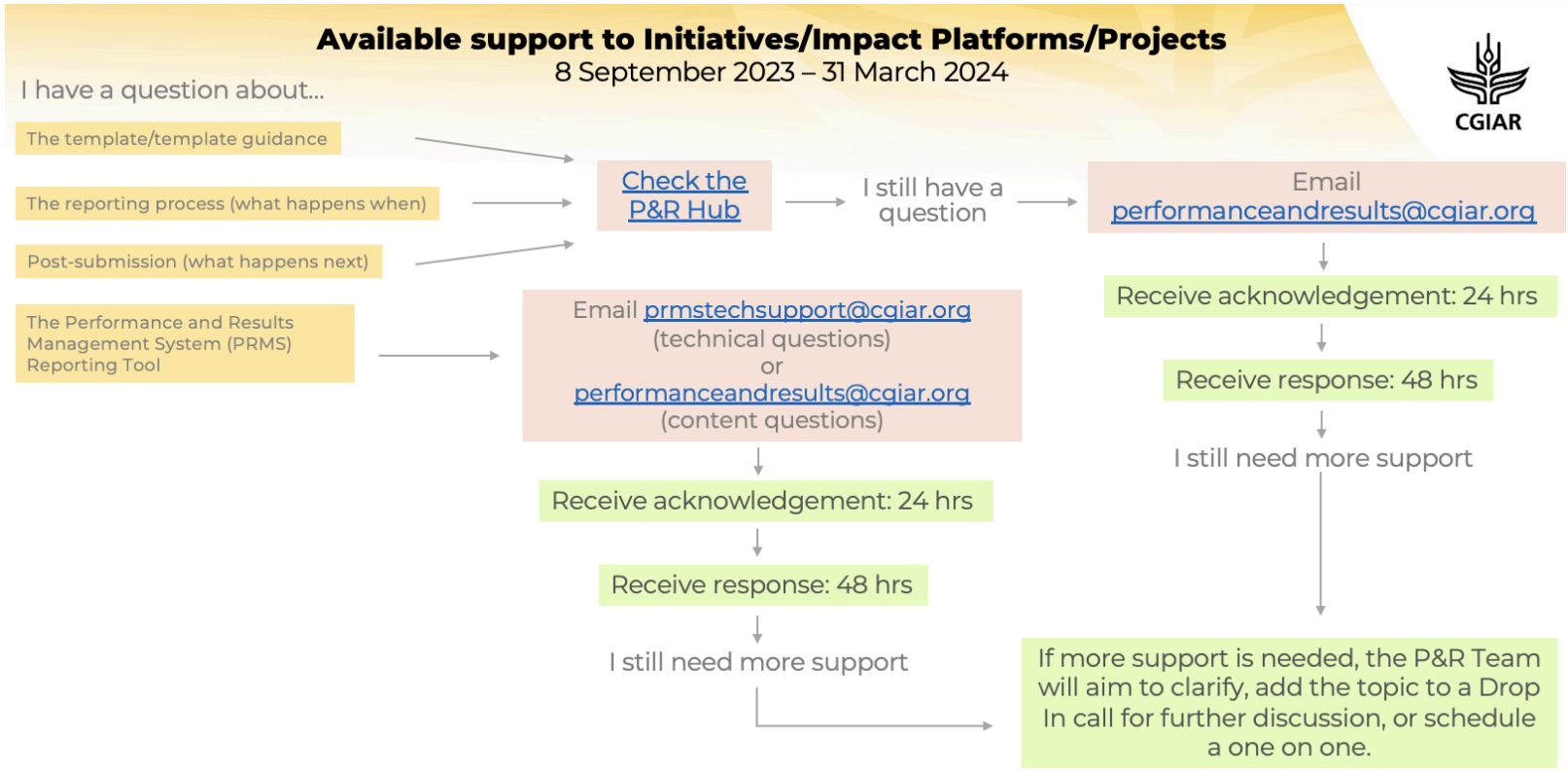
Initiative Technical Report design mock-up

Impact Platform Technical Report design mock-up (for Impact Platforms using Modules)

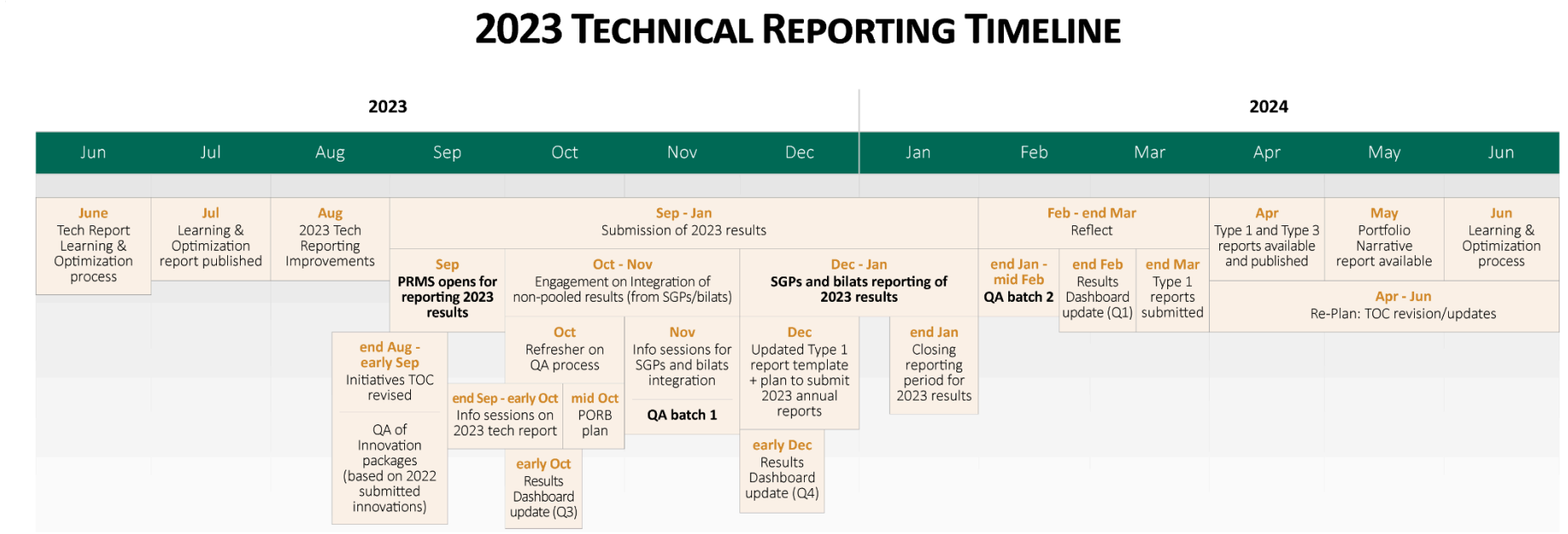
Impact Platform Technical Report design mock-up (for Impact Platforms not using Modules)

Science Group Project Technical Report design mock-up

Annex 1: Available support to Initiatives/Impact Platforms/Projects



Annex 2: 2023 Reporting timeline



Annex 3: Title and description guidance

Title

Main rule: The title should be informative, concise and clear to non-specialist audience.
This means that, as much as possible within the word limit and the specificity of each result, it should:

- Clearly state what the result is about – "what it is", "what it does".
- Specify the societal/environmental relevance – "for what/whom" and "from/by whom".
- Be phrased in a way that clearly identifies the indicator category (e.g., an innovation development or a policy change etc.) and result type (output, outcome or impact). It is not recommended to state the exact name of the indicator category or result type, but the title should align with what these are.
- Not be phrased generically using a paper (unless it is a knowledge product), activity or project title (e.g., promoting bean flour) or as a goal (e.g., strengthened capacity for poor women) or with vague/imprecise expressions (e.g., new approach to...).
- Avoid acronyms, abbreviations or technical jargon – the title should be able to stand alone, and be understandable to an informed but not necessarily specialist audience.
- Include the use of CGIAR Centre, Initiative or organization names, when there is a clear link or contribution to the result, and ensure that the reference to the organization is understandable for a non-specialized audience.
- Include the geographic location, when relevant.
- Describe varieties or breeds by their generic traits or characteristics, when relevant.
- Use words that create a positive impression and stimulate interest, while avoiding catchy, over-claiming or over-exaggerated expressions.
- For impact contributions, clearly show impact at scale.
- Note: From 2023, result titles should contain the most important metadata to search for and manage knowledge at CGIAR. These metadata should also respond to planned results in TOC/OST outputs-outcomes-impact pathways.

Details on how to write a good title: best practices for reference

Outputs
The title of an output may tentatively include: · *a **subject**: the products (i.e., knowledge), goods (i.e., tools, innovations), and services (i.e., a forum, network, dialogue) of research and the research process;* · *a **verb**: to explain how the output is produced and shared/disseminated, with clear reference to maturity levels for innovation development;*

· other **complements** to explain context, e.g., aim, time, space.	
Knowledge product *e.g., thematic area + dissemination type + from whom + to whom + where + what for*	*Performance evaluation study on fortified maize varieties published for extension actors to update and scale training material for farmer field visits in Mexico.*
Innovation development *e.g., name of innovation + type + stage of development + actors involved in development stage + purpose of innovation + where the innovation development is from + where for*	*New single-primer technology to enrich white maize with zinc tested by small- and medium-sized enterprises in Mexico for scaling in Zambia.*
Capacity sharing for development *e.g., thematic area + dissemination type + from whom + to whom + where + what for*	*Online one-week training on fortified maize variety agronomical practices organized for small- and medium-sized enterprises to scale with farmers in Mexico.*
Outcomes	
The title of an outcome is a statement, and in theory builds on outputs, and may tentatively include: *1. A **subject**: the output or antecedent outcomes* *2. **Subject complements**: where the output statement verb becomes part of the subject* *3. A **verb**: to explain how the output produced and shared/disseminated led to change* *4. Other **complements** to explain context, specifically actors benefiting from the change in time and space.*	
Policy change *e.g., what policy change by type of policy + from what output(s) + by whom it is driven + for what + where + thanks to whom + magnitude descriptor/unit of measure.*	*Biofortified white maize variety prioritized by the Ministry of Agriculture in a new agricultural strategy in Zambia to increase dissemination.*
Innovation use *e.g., innovation development title + use scale + by whom + magnitude of use by no. of people or other unit of measure.*	*New single-primer technology to enrich white maize with zinc tested by small and medium enterprises in Mexico for scaling in Zambia*

	was planted by 100 farmer communities with a total increased yield of X t/ha in 2022.

Description

Main rule: The description should complement the title and be clear to a non-specialist audience.

This means that, as much as possible within the word limit and the specificity of each result, it should:

- Add further details to the "what it is", "what it does", "by who" and "for whom" presented in the title.
- Provide the background information necessary to understand the relevance of the result (e.g., the challenges it addressed, previous results that made this result possible).
- Clearly point to CGIAR and partner contributions.
- Avoid redundancy (e.g., repetition of the title).
- Avoid technical terms, jargon and abbreviations – or, if mentioned, provide details that make them understandable (e.g., Xtch Flag, which is software used for ...).
- Ensure consistency with information reported in other data fields (e.g., title [while avoiding repetition] and geographic scope).
- Highlight key points of interest clearly (for a non-specialist reader).
- Describe varieties or breeds by their generic traits or characteristics.

Annex 4: General guidance on submitting evidence for results

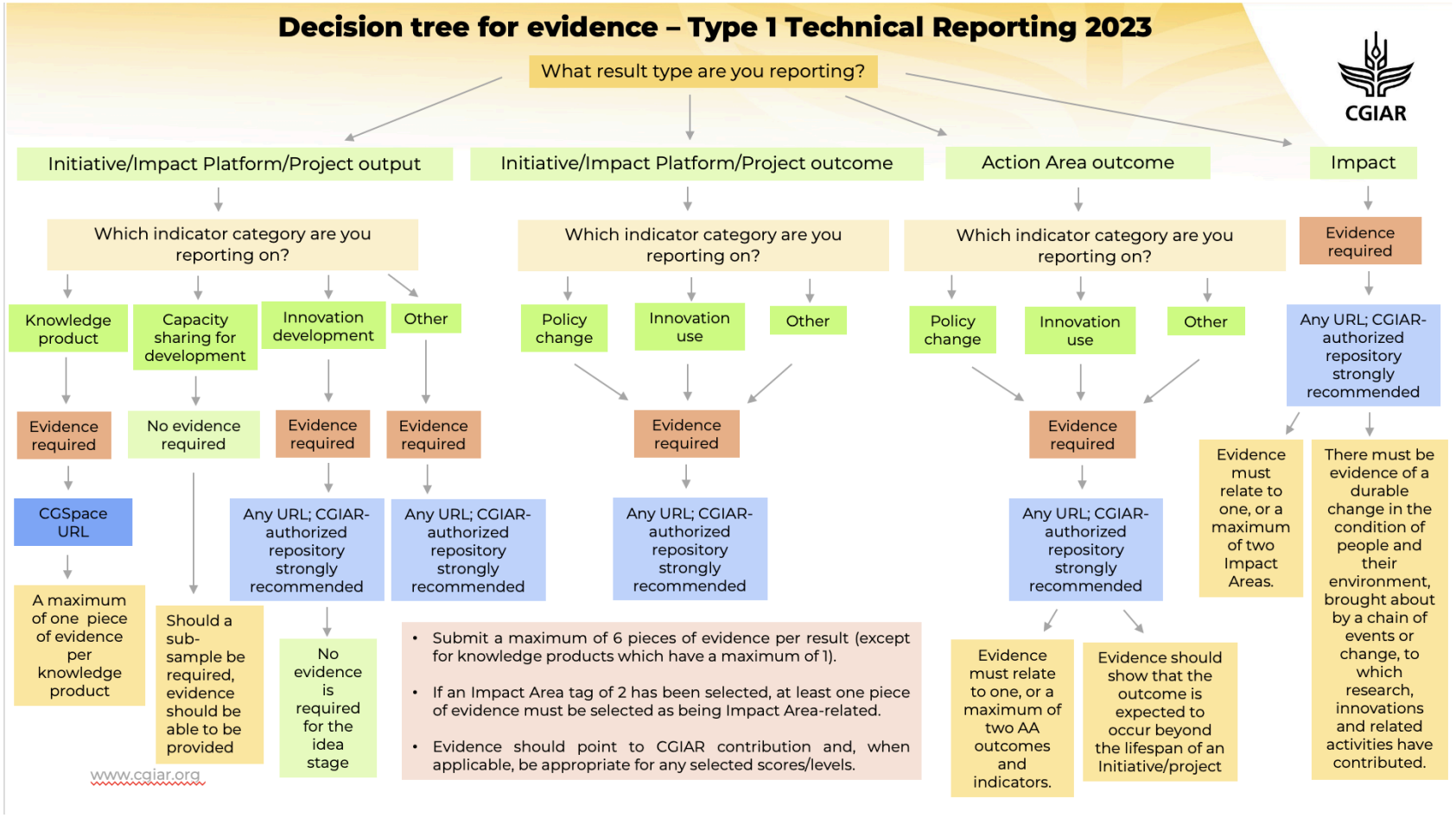
- No evidence is required for capacity sharing for development results and innovation development results at the idea stage.
- For knowledge products, only a CGSpace link for the knowledge product being reported is required.
- For all indicator categories, if an Impact Area tag of 2 has been selected, at least one piece of evidence must be submitted related to the Impact Area.

When evidence is submitted:

- Submit a maximum of 6 pieces of evidence.
- List evidence from most to least important.
- Evidence should point to CGIAR contribution and, when applicable, be appropriate for any selected scores/levels.
- Files cannot be uploaded; only links can be provided. This helps quality control and handling legal issues for files we don't have the consent to retain on a system even if for internal purposes.
- From 2023 onwards, CGSpace will be used as the single repository for CGIAR data assets. (An option to use SharePoint is being developed, and updates will be provided when available.)
- Evidence should be accessible to Quality Assurance (QA) assessors with a CGIAR email address.
- Although open access is not mandatory, QA assessors may invite submitters to make the provided evidence open access during the QA process.
- Confidential evidence may be stored in a private/limited access platform (such as CGIAR's SharePoint) and is acceptable only for early innovation readiness/use levels and policy change outcomes. For all readiness/use levels, confidential evidence can be provided to complement other provided open-access evidence.
- The SharePoint link should be configured in a way that a CGIAR account can access it **without the need for the QA assessors to request access** to the document during the QA process. The access can be limited again after the reporting period and related QA is completed.

Also see the individual guidance documents for each indicator category for specific guidance on submitting evidence.

Decision tree for evidence – Type 1 Technical Reporting



Submitting confidential evidence – Type 1 Technical Reporting

Evidence - How to handle confidential documents?

CGIAR

- It is preferred that evidence be reported in CGSpace and made as open as possible.
- If CGSpace is not possible, then a CGIAR–authorized repository (e.g., SharePoint) is recommended.
- Confidential evidence is only relevant for Policy Outcomes and early-stage Innovation Development and Use
- Evidence will not go to the Results Dashboard unless it is a known open link (e.g., CGSpace, YouTube, etc.)

Result	Indicator	Evidence req	Open or Limited Access	Confidential evidence
Output	Knowledge Product	**No (it is the KP)**	• **CGSpace link** – either limited or open access. In the form of a CGSpace handle. The handle can contain another reference like the Journal DOI or Dataverse link.	**Not allowed**
	Innovation Development	**Yes**	• **CGSpace link** – either limited or open access (best option); or • Any URL; **CGIAR-authorized repository** strongly recommended. • **Note:** No evidence required for the Idea stage (0).	**Allowed**
	Cap Sharing for Dev	***Special Case***	**Not required**	Not required in the PRMS; however, if a subsample is requested, **evidence should be able to be provided.**
Outcome	Policy Change	**Yes**	• **CGSpace link** – either limited or open access (best option if not confidential – please use your best judgement); or • Any URL; **CGIAR-authorized repository** strongly recommended.	**Allowed,** e.g., this may be an email from a ministry.
	Innovation Use	**Yes**	• **CGSpace link** – either limited or open access (best option); or • Any URL; **CGIAR-authorized repository** strongly recommended.	**Allowed,** e.g., private company signs agreement – could be confidential.
Impact Contribution		**Yes**	• **CGSpace link** – either limited or open access (best option); or • Any URL; **CGIAR-authorized repository** strongly recommended.	**Not allowed**
All	Impact Area tag of 2	**Yes**	• **CGSpace link** – either limited or open access (best option); or • Any URL; **CGIAR-authorized repository** strongly recommended.	**Allowed**

Annex 5: Guidelines for tagging for gender equality in agriculture

We can use the following guidelines to screen research products against the gender marker to ensure accurate and consistent tagging based on their relevance to gender equality in agriculture. This will help create a more accurate representation of the research landscape and contribute to informed decision-making in agricultural policy and practice.

1. Understanding gender equality in agriculture:

Gender equality refers to the equal rights, responsibilities, and opportunities of all individuals regardless of their gender. In the context of agriculture, gender equality addresses the disparities and biases that may exist in access to resources, decision-making, and benefits among individuals of different genders.

2. Tag categories defined:

- Principal (marked 2): Use this tag when the research output is a product of a project/program whose main objective is gender equality (meaning that it aims to understand, address, or contribute to closing gender- related gaps and inequalities). Gender equality is fundamental in the design and expected results of the project/program, and without this objective, the project/program would not have been undertaken.

- Significant (marked 1): Use this tag when the research output is a product of a project/program that considers gender equality as an important and deliberate objective but is not the main reason for undertaking the project/program (often explained as gender mainstreaming in the project).

- Not targeted (marked 0): Use this tag when the project or program has been screened against the gender marker but has not been found to target gender equality.

3. Rationale for gender equality tagging:

a. Principal tag:

- The research objectives specifically address gender disparities and aim to contribute to gender equality in the agricultural sector.
- The research has a clear goal/focus on contributing to understanding gender-related issues in agriculture, such as gender-based access to resources, decision-making, labor division, and women's empowerment.

b. Significant tag:

- While working on gender equality was not the main reason for undertaking the research project, the research findings reveal insights into gender-related implications or impacts and provide valuable information for understanding gender dynamics in agriculture (e.g. social roles, power dynamics, access to resources, and decision-making) or have potential implications for gender-inclusive policies and practices.

c. Not targeted

- The research is not targeting gender equality nor do the findings reveal any insights into gender-related implications or impacts and do not provide information for understanding gender dynamics in a social (not physiological) context.

4. Considerations for correct tagging:

- Avoid biological definitions of gender: Gender in the context of social sciences is not defined by biological differences between male and female crops or animals.
- Analyze beyond surface-level indicators: Look beyond using only the number of male and female participants in the research as indicators of gender relevance. Consider qualitative aspects like roles, responsibilities, decision-making influence, and resource distribution.
- Avoid depending on gender-disaggregated data: Doing gender-disaggregated data is just good science but is not considered gender tagging.

Annex 6: List of MELIA types

Definitions of MELIA types

Type	Definition
Causal Impact Assessment learning studies	These are research studies designed to test key assumptions underlying different steps of the causal chain (theory of change) that links CGIAR research/innovations to high-level impacts. As learning studies, they can be implemented in a 3-year cycle and use credible counterfactuals to provide early evidence of causal impacts of intermediary outcomes in the theory of change, and effectiveness of different approaches/interventions to improve such outcomes. This additional credible evidence becomes a relevant feedback to the research process that aims to maximize the impact of CGIAR related innovations in the long-term.
Adoption or diffusion studies addressing learning questions on the TOC	A study that identifies the spread, acquisition and use of social, institutional or technological innovations. Adoption and diffusion studies can address learning questions within an Initiative's theory/ies of change by documenting whether and how innovation/s have reached intended beneficiaries. Assessments of adoption/acquisition/use seek to identify whether innovation/s have been taken up or rejected by intended beneficiaries, in order to make a case for CGIAR contribution to outcome/s, relative to other potential influencing factors. Together, studies that encompass diffusion and adoption assessments show how innovations have spread to and been adopted or rejected by end users. Note: Adoption and diffusion studies do not necessarily assess impact. However, impact assessments may, and often do, include assessments of diffusion and adoption.
Tracing of scaling activities and policy advice, as a base for long-term, large scale impact assessments	LTLS impact studies usually require a longtime frame to observe high-level impacts associated to the use of CGIAR related innovations or policy recommendations. The design of these studies should be done from the start when CGIAR related innovations are ready to initiate the scaling process. The tracing activities should be designed in order to document how, when, where and why CGIAR related innovations and policy advise are disseminated or made to next users.
Qualitative outcome study	A study that assesses changes in behaviors, practices, perceptions or attitudes among beneficiaries of an innovation, or those who can facilitate the diffusion and adoption of an innovation (e.g., policymakers). Qualitative outcome studies are often used to substantiate contributions to policies, investments, budgets, curricula or similar.
Program/project evaluation or review	A program/project evaluation refers to a systematic and objective assessment of an on-going or completed program or project. Program evaluations focus on the evaluation of a set of time-bound interventions involving multiple activities that may cut across sectors, themes and/or geographic areas. These would also include evaluations of Initiatives. Project evaluations focus on the evaluation of an individual intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader program. Evaluations are external, completely or largely independent, and systematic studies of an in-depth nature using clear evaluation criteria, whereas reviews may be more flexible and narrower in focus.
Ex-ante, baseline and/or foresight study	An ex-ante study, also known as a baseline study, is conducted before an intervention to determine the baseline conditions against which future change, outcomes and impact can be assessed. A foresight study involves the structured and explicit exploration of multiple futures in order to inform decision-making. Foresight studies are usually conducted at the beginning of an intervention, but may be used throughout the duration of a project or program to refine decision- and priority-making.
Scaling readiness assessment	An assessment of how "ready" innovations are for scaling and the appropriate actions for the acceleration and/or enhancement of scaling. Scaling readiness assessments can also identify which scaling bottlenecks need to be addressed, the most cost-effective scaling strategies, and which partners to engage.
Other MELIA activity (please specify)	A study or analysis related to monitoring, evaluation, learning or impact assessment that does not belong to the abovementioned types. The study or analysis will in some way test assumptions, inform learning and adaptive management, meet accountability requirements and/or inform the design of new Initiatives, programs and projects. When choosing "other MELIA activity", you must justify how the study or analysis you are reporting constitutes a MELIA activity. Examples that could be added here include monitoring and synthesis studies.

Complementary instructions following QA batch 1

Notes on reporting blog posts and videos

Initiatives should aim to report a blog post or a video as either:

- A Knowledge Product (KP) - when the product contains a substantial quantity of technical information with the clearly defined function to support behavioral or capacity change in target audience. Multiple languages should not be reported separately, unless necessary to evidence the ToC (for example if pathways are differentiated for actors requiring the output in different languages).

- Evidence of another result, from any indicator category, including an Other Output (OT) and Other Outcomes (OO) - the reported result should describe the actual output or outcome, and the blog post used as evidence that the output/outcome was achieved (provide a link to the blog in the "evidence" field in PRMS, when completing the reporting of the result).
  For example, if a blog post talks about an **event**, then the blog is the evidence of the Other Output (OT). The OT should have the title of the event and not the title of the blog. The OT description should explain why that event/output is important to influence a behavioral change along the ToC pathway.

- Not report it at all - if the blog post or video does not directly evidence something in the Initiative's result framework or Theory of Change then it does not need to be reported.

Note on reporting events and other stakeholder engagements

Events which involve training should be reported under the Capacity Sharing for Development category, if you are able to identify the number of trained people. Alternatively, where an event or engagement activity is part of the Initiative Theory of Change, you can use the Other Output (OT) and Other Outcome (OO) categories. If you report the event under OT, use the name of the event as Title of the result, in the Description explain why that event/output is important to influence a behavioral change along the pathway, and provide the necessary

Evidence (e.g. a blog post mentioning the event, the recording, meeting agenda...). Reporting the event in languages other than English is not allowed.

In addition to events, which are major forms of engagement that may merit their own output, a new **Engagement category** will be created in 2024 to capture important engagements of the Initiative or Science Group Project in 2024. This would ideally be used to summarize engagement activity over a period of time with a particular partner or organization, or groups of them. Key points of the engagement could be captured in the description field and links to evidence where appropriate (e.g. meeting agendas, notes, emails).