

**SC assessment and comments on the PM Results indicators (2008 data)**  
**22 May, 2009**

## **OUTPUTS**

At the workshop held July 17-18, 2008 in Washington, D.C, involving participants from CGIAR Secretariat, SC, SC Secretariat, Centers, donors and external experts, it was decided that output target achievement would no longer be included in the PMS as an output indicator. Achievement of output targets will be monitored by Centers and the monitoring will become a function of the central MTP database, CGMap. Currently the output target achievement information is also available in the PMS database.

It was decided that output performance is better measured through three indicators that provide good proxy indicators for results: publications, capacity strengthening and data management as IPG. These measures apply equally to any Center. The indicators for capacity strengthening and data management are to be developed. With all indicators it is important that there are positive incentives and agreed performance targets.

### ***Publications indicator***

The workshop agreed with the SC proposed to develop a single publications indicator that measures quantity and quality (as reflected by the quality of the publication venue). The component indicator is based on three components with performance targets and weights. Moving to a component indicator does not change the data submission requirements for Centers.

1A. Number of peer-reviewed publications per scientist in 2008 that are published in journals listed in Thomson Scientific/ISI

*Rationale: This measure reflects the contribution of knowledge by the Center to a wide international audience and the quality and usefulness of that information as determined by peers from an internationally recognized journal database.*

1a has 50% weight and the performance target is 2 articles/FTE.

1B. Number of externally peer-reviewed publications per scientist in 2008 (excluding articles published in journals listed in the Thomson Scientific/ ISI.

*Rationale: This measure reflects the contribution of peer reviewed knowledge and information by the Center for targeted stakeholder audiences (not including major international journals).*

1b has 20% weight and the performance target is 1 publications/FTE.

1C. Relative rating of Center's best publications

*Rationale: The CGIAR Centers aim to be Centers of excellence in agricultural science to address complex issues of relevance to the poor. As a system of excellence the CGIAR is more likely to attract new research partners. This measure reflects the quality and originality of the Center's research shown by ability to reach top quality journals with a proportion of all publications.*

1c has 30% weight and the performance target is targeting a proportion (1 journal article/5 FTE) at journals that rank among best in their category (as established by

The SC did not consider that in calculating publication productivity changing the denominator from FTE to budget was appropriate for the following reasons: a) there are too large differences between Centers on what research costs, b) publications are intellectual products and should therefore be counted per scientists producing them, and c) publication productivity is commonly reported by scientist and maintaining this practice allows comparison of CGIAR Centres with other institutions.

The 2008 scores were calculated at the SC Secretariat on basis of Center submissions for components 1A and 1B. Results for 1A and 1B were adjusted to incorporate the weight and ceiling for highest possible score. For both components a result  $\leq 0.5$  publications/FTE received a score of 0.

1A score = (result – 0.5)\* [5/(2-0.5)] Possible range 0-5

1B score = (result – 0.5)\*[2/(1-0.5)] Possible range 0-2

Component 1C was based on 1A submissions. The sample size for each Center was 1 article/5FTE. The calculation was based on journal Impact Factors (IF) for 2007. The original IF was converted into normalised IF<sup>1</sup> to allow comparability across subject categories. 1C score was the average normalised IF for the sample articles.

#### Results for 1A for 2008 and 2007

| Center                 | 2008                      |                       | 2007                      |                            |
|------------------------|---------------------------|-----------------------|---------------------------|----------------------------|
|                        | 1A (Thomson) articles/FTE | 1A Score (50% weight) | 4B (Thomson) articles/FTE | Score (pilot) (50% weight) |
| <b>Africa Rice</b>     | 1.34                      | 2.80                  | 0.63                      | 0.43                       |
| <b>Bioversity</b>      | 0.63                      | 0.43                  | 0.77                      | 0.90                       |
| <b>CIAT</b>            | 1.03                      | 1.77                  | 1.76                      | 4.20                       |
| <b>CIFOR</b>           | 1.14                      | 2.13                  | 0.80                      | 1.00                       |
| <b>CIMMYT</b>          | 1.54                      | 3.47                  | 1.90                      | 4.66                       |
| <b>CIP</b>             | 0.85                      | 1.17                  | 1.13                      | 2.09                       |
| <b>ICARDA</b>          | 1.44                      | 3.13                  | 0.61                      | 0.37                       |
| <b>ICRISAT</b>         | 1.03                      | 1.77                  | 1.15                      | 2.17                       |
| <b>IFPRI</b>           | 1.02                      | 1.73                  | 0.88                      | 1.26                       |
| <b>IITA</b>            | 1.62                      | 3.73                  | 1.49                      | 3.29                       |
| <b>ILRI</b>            | 0.99                      | 1.63                  | 0.89                      | 1.31                       |
| <b>IRRI</b>            | 1.26                      | 2.53                  | 1.39                      | 2.97                       |
| <b>IWMI</b>            | 1.26                      | 2.53                  | 0.93                      | 1.43                       |
| <b>W. Agroforestry</b> | 1.14                      | 2.13                  | 0.94                      | 1.47                       |
| <b>WorldFish</b>       | 0.88                      | 1.27                  | 0.83                      | 1.11                       |

<sup>1</sup> Normalized IF = Original IF/Mean of the IFs of the 3 top ranking journals in the subject category

Results for 1B for 2008 and 2007

| Center          | 2008                                    |                          | 2007                                    |                               |
|-----------------|---|--------------------------|---|-------------------------------|
|                 | 1B<br>(non-Thomson)<br>publications/FTE | 1B Score<br>(20% weight) | 4A<br>(non-Thomson)<br>publications/FTE | Score (pilot)<br>(20% weight) |
| Africa Rice     | 1.39                                    | 2.00                     | 0.72                                    | 0.87                          |
| Bioversity      | 1.27                                    | 2.00                     | 0.76                                    | 1.02                          |
| CIAT            | 1.83                                    | 2.00                     | 1.74                                    | 2.00                          |
| CIFOR           | 1.49                                    | 2.00                     | 0.91                                    | 1.64                          |
| CIMMYT          | 0.59                                    | 0.36                     | 1.12                                    | 2.00                          |
| CIP             | 0.63                                    | 0.52                     | 0.44                                    | 0.00                          |
| ICARDA          | 1.41                                    | 2.00                     | 1.45                                    | 2.00                          |
| ICRISAT         | 1.46                                    | 2.00                     | 1.93                                    | 2.00                          |
| IFPRI           | 0.98                                    | 1.92                     | 1.42                                    | 2.00                          |
| IITA            | 0.94                                    | 1.76                     | 1.42                                    | 2.00                          |
| ILRI            | 0.91                                    | 1.64                     | 1.11                                    | 2.00                          |
| IRRI            | 1.17                                    | 2.00                     | 0.58                                    | 0.31                          |
| IWMI            | 1.53                                    | 2.00                     | 1.87                                    | 2.00                          |
| W. Agroforestry | 2.06                                    | 2.00                     | 2.15                                    | 2.00                          |
| WorldFish       | 0.62                                    | 0.48                     | 0.93                                    | 1.72                          |

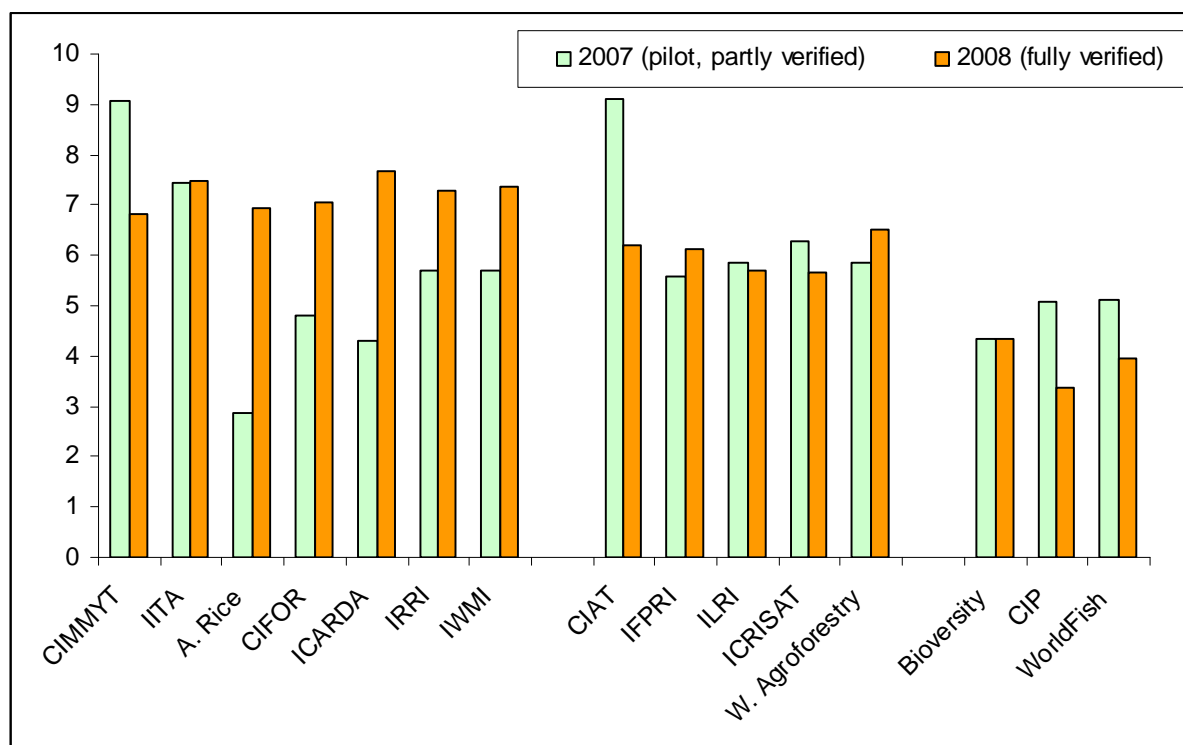
Results for 1C for 2008 and 2007

| Center          | 2008        |                       | 2007        |                               |
|-----------------|-------------|-----------------------|-------------|-------------------------------|
|                 | Sample size | Score<br>(30% weight) | Sample size | Score (pilot)<br>(30% weight) |
| Africa Rice     | 5           | 2.13                  | 7           | 1.77                          |
| Bioversity      | 15          | 1.92                  | 14          | 2.31                          |
| CIAT            | 13          | 2.45                  | 15          | 3.00                          |
| CIFOR           | 13          | 2.90                  | 12          | 2.18                          |
| CIMMYT          | 15          | 3.00                  | 14          | 2.52                          |
| CIP             | 11          | 1.70                  | 11          | 2.90                          |
| ICARDA          | 13          | 2.54                  | 15          | 2.05                          |
| ICRISAT         | 23          | 1.90                  | 20          | 2.21                          |
| IFPRI           | 19          | 2.50                  | 19          | 2.33                          |
| IITA            | 14          | 2.01                  | 15          | 2.27                          |
| ILRI            | 15          | 2.44                  | 15          | 2.66                          |
| IRRI            | 19          | 2.76                  | 17          | 2.56                          |
| IWMI            | 14          | 2.85                  | 14          | 2.39                          |
| W. Agroforestry | 11          | 2.37                  | 11          | 2.52                          |
| WorldFish       | 9           | 2.22                  | 7           | 2.44                          |

Total score for 2008

| Center          | 1A   | 1B   | 1C   | Total score |
|-----------------|------|------|------|-------------|
| Africa Rice     | 2.80 | 2.00 | 2.13 | 6.93        |
| Bioversity      | 0.43 | 2.00 | 1.92 | 4.35        |
| CIAT            | 1.77 | 2.00 | 2.45 | 6.22        |
| CIFOR           | 2.13 | 2.00 | 2.90 | 7.04        |
| CIMMYT          | 3.47 | 0.36 | 3.00 | 6.83        |
| CIP             | 1.17 | 0.52 | 1.70 | 3.39        |
| ICARDA          | 3.13 | 2.00 | 2.54 | 7.67        |
| ICRISAT         | 1.77 | 2.00 | 1.90 | 5.67        |
| IFPRI           | 1.73 | 1.92 | 2.50 | 6.15        |
| IITA            | 3.73 | 1.76 | 2.01 | 7.50        |
| ILRI            | 1.63 | 1.64 | 2.44 | 5.72        |
| IRRI            | 2.53 | 2.00 | 2.76 | 7.29        |
| IWMI            | 2.53 | 2.00 | 2.85 | 7.39        |
| W. Agroforestry | 2.13 | 2.00 | 2.37 | 6.50        |
| WorldFish       | 1.27 | 0.48 | 2.22 | 3.96        |

Publications results for data from 2007 (pilot year) and 2008



Mean score 2008=6.2. Centers are clustered by 2008 results: clearly above mean; close to mean; clearly below mean.

## OUTCOMES

At the July 2008 workshop it was decided that the number of required outcome cases would be relative to Center budget based on the previous year's CGIAR Financial Report. The requirement ranges from 3 to 7 cases. The actual expenditure for 2007 and number of cases requested are shown in the following Table.

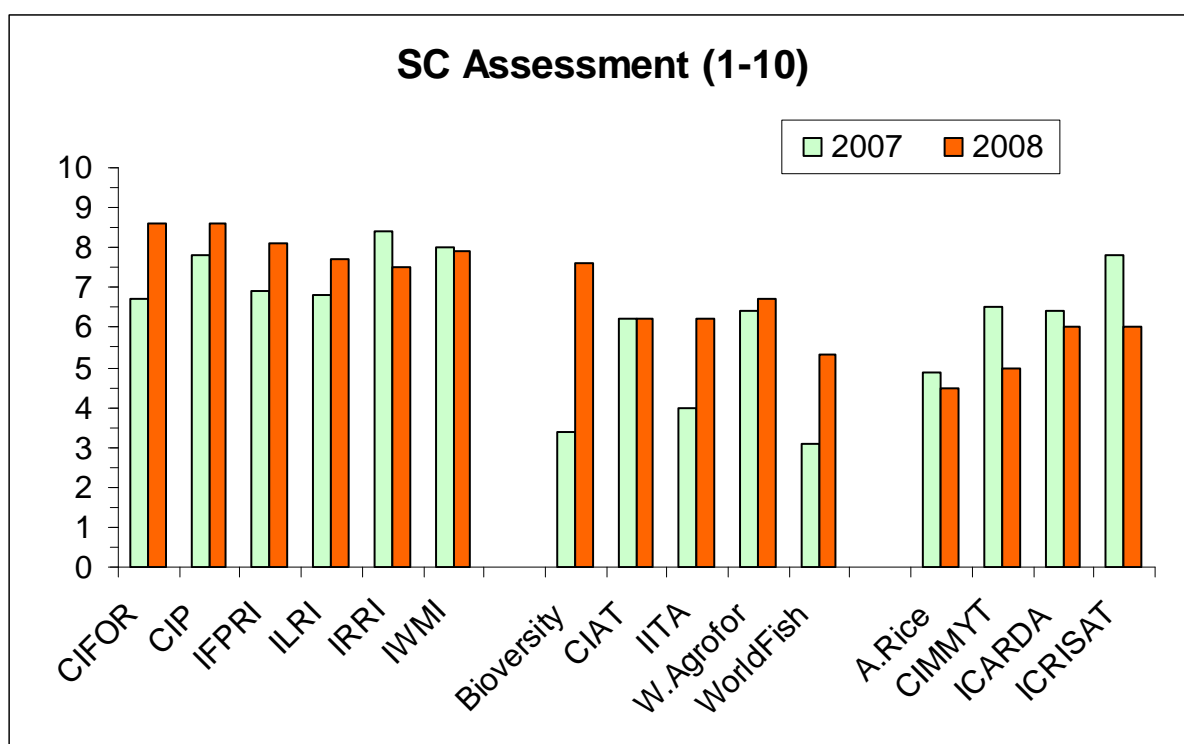
| <b>Center</b>          | <b>Actual expenditure<br/>2007 (US\$)</b> | <b># Outcome cases<br/>requested</b> |
|------------------------|---|--------------------------------------|
| <b>Africa Rice</b>     | 10.3                                      | 3                                    |
| <b>CIFOR</b>           | 16.9                                      | 4                                    |
| <b>WorldFish</b>       | 17.3                                      | 4                                    |
| <b>IWMI</b>            | 23.9                                      | 4                                    |
| <b>CIP</b>             | 24.1                                      | 5                                    |
| <b>ICARDA</b>          | 27.0                                      | 5                                    |
| <b>W. Agroforestry</b> | 30.4                                      | 5                                    |
| <b>Bioversity</b>      | 37.6                                      | 6                                    |
| <b>IRRI</b>            | 37.7                                      | 6                                    |
| <b>ICRISAT</b>         | 37.8                                      | 6                                    |
| <b>ILRI</b>            | 40.6                                      | 6                                    |
| <b>CIMMYT</b>          | 43.9                                      | 7                                    |
| <b>IITA</b>            | 44.7                                      | 7                                    |
| <b>IFPRI</b>           | 45.7                                      | 7                                    |
| <b>CIAT</b>            | 48.9                                      | 7                                    |

For the second year running the SC used a set of detailed assessment criteria that were published in the PMS Instructions for 2008 data. These criteria put emphasis in: clarity of the linkages of the outcome to the Center produced output/output target; importance and relevance of the outcome; IPG nature of the research that led to the outcome; and accuracy and direct relevance of evidence to outcome case. At the July 2008 workshop it was stated that Centers are strongly encouraged to submit outcome cases across the entire project portfolio every 3 years. It was also agreed that the annual score would be based on a three year moving average of the assessment. However, due to the change in the scoring method, results from 2006 data are not comparable with the results from 2007 and 2008 data. Therefore the results are presented only for two years without calculating the average.

Outcome results by case

| Center          | case 1 | case 2 | case 3 | case 4 | case 5 | case 6 | case 7 | Mean |
|-----------------|--------|--------|--------|--------|--------|--------|--------|------|
| Africa Rice     | 5.0    | 4.0    | 4.6    |        |        |        |        | 4.5  |
| Biodiversity    | 5.8    | 8.3    | 7.6    | 9.2    | 8.3    | 6.4    |        | 7.6  |
| CIAT            | 5.0    | 7.4    | 7.4    | 7.5    | 2.9    | 4.5    | 8.4    | 6.2  |
| CIFOR           | 8.5    | 9.2    | 8.1    | 8.5    |        |        |        | 8.6  |
| CIMMYT          | 6.6    | 2.6    | 4.8    | 6.9    | 3.8    | 6.9    | 3.3    | 5.0  |
| CIP             | 7.9    | 9.0    | 8.3    | 9.6    | 8.2    |        |        | 8.6  |
| ICARDA          | 5.4    | 8.6    | 3.5    | 6.8    | 5.7    |        |        | 6.0  |
| ICRISAT         | 6.1    | 7.8    | 5.6    | 4.5    | 6.0    | 5.8    |        | 6.0  |
| IFPRI           | 10.0   | 7.8    | 8.0    | 6.6    | 7.7    | 7.1    | 9.7    | 8.1  |
| IITA            | 9.3    | 9.3    | 6.1    | 7.3    | 2.2    | 3.0    | 6.1    | 6.2  |
| ILRI            | 4.3    | 9.6    | 6.1    | 8.6    | 8.0    | 9.8    |        | 7.7  |
| IRRI            | 8.7    | 6.5    | 9.5    | 4.7    | 6.4    | 8.9    |        | 7.5  |
| IWMI            | 7.3    | 6.2    | 8.5    | 9.4    |        |        |        | 7.9  |
| W. Agroforestry | 4.9    | 6.4    | 8.0    | 5.5    | 8.8    |        |        | 6.7  |
| WorldFish       | 7.0    | 4.7    | 3.6    | 6.0    |        |        |        | 5.3  |

Outcome results for 2008 and 2007 data



Mean 2007-2008 = 6.5. Centers are clustered by results from 2007 and 2008: Centers consistently scoring higher than mean; Centers improving from 2007 or with same score in both years; Centers with lower score in 2008 than in 2007.

The results for 2008 data show overall improvement in the scores. The mean for 2008 data was 6.8 compared to 6.2 for 2007 data. Centers were allowed to re-submit a case where the SC's initial judgement was that the case didn't fulfil the mandatory conditions and would have scored 0. Four such cases (compared to 5 last year) were identified. Elimination of 0 cases naturally contributed to the increase in scores. However, also the proportion of relatively high scores increased: Of 2008 outcome cases 55% received a score  $\geq 7.5$  compared to 50% in 2007.

The best cases received their high score on basis of fulfilling well all or most criteria. The criterion 6 (Does the outcome show significant, documented and verifiable adoption/use/influence in the main recommendation domain?) on significance and magnitude of outcome, with the highest weight among the criteria (30%) was scored by assessing aspects such as:

- extent of use/adoption by intended users;
- geographic coverage or reach of intended user groups;
- likely impact on CGIAR goals;
- outcome resulted from new knowledge or creative use of knowledge;
- outcome derived from more innovative research or capacity strengthening;
- outcome in more intractable targets;
- extent to which outcome is similar as reported before for same output

An analysis of the range of outcomes presented across Centers by type of research or other activity and regional importance etc. has not been. However, the best cases have

Three key observations were made regarding weaknesses in the case submissions:

A surprising feature was the number of impact cases submitted for the Outcome indicator and described as impact with reference to long term activities. Several of these cases that were based on evidence submitted also for the Impact Culture indicator (component 1). These cases received nearly in every case very low score because it was impossible to establish what outputs the Center had achieved in the period defined in the PM instructions (since 2004, i.e. achieved outputs/output targets identified not earlier than in MTP 2004-2006) and what outcomes these specific results had led to. In these cases the MTP linkage was inaccurate, the description of the specific outputs was lacking, the output-outcome linkage subsequently only by vague association and the outcomes in 2008, deriving from the more recent activities not specified. Such cases received their low score due to the plausibility that more recent Center results had contributed to the most recent outcomes.

Regarding evidence, many Centers still submit a large number of evidence pieces that have questionable relevance to the case. Evidence on languages such as Arabic and Indonesian was still included, and many Centers included Web links to generic sites or links that didn't work. The appropriate evidence should be extracted from its source.

In many cases the outputs and outcomes were not dated. Many of the evidence documents did not have publishing dates and the descriptions did not specify when the results had been achieved and when the outcomes had occurred or had been documented.

## IMPACT CULTURE

### Background / Changes to the Impact Indicator in 2009

At the workshop held July 17-18, 2008 in Washington, D.C, six recommendations were made for strengthening the impact indicators 3A and 3B of the CGIAR Performance Measurement System:

- Establish a composite score (merge indicators 3A and 3B)
- 3a element to be simplified; weighting of components revisited
- Revisit the benchmark requiring one epIA per \$5 million Center budget
- Annual score should be based on 3-year moving average
- Design an indicator of actual impact by AGM 08
- Rename 3A and 3B impact indicators to “Impact culture” and move to ‘culture of learning & change’ component (after ‘actual impact’ is introduced)

SPIA members agreed with the need to revisit these issues and recommendations and following discussion at SPIA 34 in September developed a proposal for modification that was subsequently discussed with the Centre and CP Impact Assessment Focal Points (IAFPs) at the SPIA-IAFP meeting in Brasilia in November, 2008. As a result, there was broad consensus for moving ahead with the following major changes that were also presented and endorsed by the ADE in December:

1. Merge 3A and 3B components into single indicator “Impact Culture” (indicator 4)
  - i) epIA studies and new methods (45%)
  - ii) IA culture and capacity building (20%)
  - iii) epIA rigor and quality (35%)
2. Define terms clearly, e.g., epIA, and make the rationale for an impact culture indicator explicit;
3. Consolidate the various internal components (more simplified)
4. Re-assess and modify the weightings of components, including more prominence (higher weights) to ‘negative effects’
5. Lower the requirement for optimal number of epIAs submitted (Criterion 1) to 1 epIA per \$20 m (from 1 epIA per \$20 m).<sup>2</sup>
6. Present “annual scores” based on a 3-year moving average.

These changes were reflected in the PMS guidelines and annexes for 2009.

Three specific proposals for developing and applying an indicator to measure ‘actual impact’ were discussed at the SPIA-IAFP meeting in Brasilia. Given the heterogeneity in the type of research done by different Centers, it was felt that it would not be feasible to come up with a single method or consistent set of indicators of actual impact applicable to all Centers. In addition generating this indicator was considered excessively data and time intensive and would require significant resources for execution, at a time when the System is undergoing major reform. SPIA, therefore, recommended that the issue of an indicator of “actual impact” be re-visited when the new CGIAR system is organized and functional. A more viable option to explore in the longer run is having Centers compile and synthesize documented evidence

---

<sup>2</sup> There was consensus on the need to lower the benchmark as the previous one created moral hazard by encouraging Centers to generate many small-scale adoption studies rather than documenting high quality epIAs that demonstrate large scale direct and indirect impacts on a range of economic, social, environmental indicators.

(both quantitative and qualitative) of actual impacts every five years prior to and as an input into their scheduled external program and management reviews.

To provide more clarity and enhance transparency, SPIA this year, in consultation with the IAFPs, defined *ex post* Impact Assessment (epIA) in the PMS Guidelines as follows:

*EpIA is a specialized area of evaluation that is designed to identify and measure consequences resulting from earlier interventions of a program or project. Its timing is epIA's defining characteristic: epIA takes place after the program's or project's investment has generated the intervention, and sufficient time has elapsed and experience has accumulated to assess the intervention's performance in terms of longer term economic, social, and environmental consequences. EpIA contributes mainly to accountability and secondarily to learning in the evaluation of agricultural research. Impacts of an intervention may be positive or negative, direct or indirect, and intended or unintended.*

## Results

The Impact Culture indicator measures Centers' efforts to document impact from their past research (hence, *ex post* impact assessment) to fulfil their accountability imperative towards CGIAR stakeholders. It also measures their efforts to institutionalize impact culture among their own researchers and partners. For the 2009 exercise (2008 data) Centers reported information around three main areas that the SC used as the criteria for scoring these submissions:

- (1) Ex-post Impact Assessment (epIA) studies<sup>3</sup> / advancement of epIA methods (45%);
- (2) Building an impact assessment culture at the Center, including communication / dissemination and capacity enhancement (20%); and,
- (3) Quality of submission of one published epIA study during the past three years that effectively demonstrates the impact of the Center's research on the poor or food insecure people and to the environment, as judged by peer reviewers appointed by SPIA (35%).

The specific components and sub-components of each of the three Criteria listed above and the weights applied are provided in the PMS Guidelines Annexes for 2009. While SPIA relied on Center self-evaluations for assessing (and scoring) the quality characteristics of the epIAs submitted and accepted under Criterion 1.B, SPIA exercised its own judgement with respect to which studies submitted would be counted as bona-fide epIAs under Criterion 1.A. Since the benchmark for the optimal number of epIAs required had been reduced substantially from last year, SPIA was fairly strict about counting only those studies that document adoption and impact (*ex-post*) of Center research or research related activities. SPIA members carefully evaluated the characteristics of each of the studies submitted based on the summary description of the studies provided in Criterion 1.A. As was the case last year, a significant proportion of studies submitted failed to qualify as legitimate epIAs.<sup>4</sup> In some cases it was

---

<sup>3</sup> For the purposes of this exercise, an epIA study refers to a published journal article, conference paper, book chapter (but not entire edited book), report or any other publication that has entered the public domain, which is not a revised version of an earlier submission, that documents empirically the impact of a center's research or research-related output in terms of CGIAR goals. The impacts measured may be short-term, medium-term or long-term but must be linked to a clearly discernible intervention derived from research.

<sup>4</sup> As explained in the Guidelines, epIAs must include some measurement of adoption beyond the household or village level and some measure of *ex-post* impact as a result of that adoption. Adoption constraints analyses, pilot technology evaluations, farmer preference and demand type studies and *ex-ante* impact assessments are not, for this exercise, regarded as epIAs. While those studies are useful in their own right, and may well be counted as outputs or outcomes, none of these qualify as *ex post* impact assessments (epIAs) for

difficult to ascertain either the scale or the number of adopters or whether the study was mainly *ex-post* or *ex-ante*. In the future it would be helpful to use a standardize template that must be filled describing the relevant aspects of the study.

Table A.1 shows the number of studies submitted by Centers and the number of studies accepted by SPIA as epIAs. With a lowering of the benchmark, only 60 studies were submitted by the Centers this year (compared to 90 last year), of which 58% (35 studies) were considered legitimate epIAs (compared to 52% last year). Nevertheless, because of the lower benchmark used by SPIA this year (1 epIA per \$20 million of investment), all but four Centers received the maximum number of points for Criterion I.A (20 points), and all but two scored over 18 points.

Table 1 shows the Impact Culture indicator scores for Centers' during each of the past three years and calculates the three-year averages (2008-2006 data) that were reported in the on-line PMS for 2009, along with the results for the year 2008.

**Table 1. Centre Scores for Impact Culture Indicator (2006-2008)**

| Centre             | Overall score |            |            |                     |
|--------------------|---------------|------------|------------|---------------------|
|                    | 2008          | 2007*      | 2006*      | 2006-08<br>(3y avg) |
| Africa Rice        | 7,1           | 7,3        | 7,2        | 7,2                 |
| Bioversity         | 8,0           | 3,2        | 4,5        | 5,2                 |
| CIAT               | 6,7           | 5,9        | 6,1        | 6,3                 |
| CIFOR              | 7,8           | 6,9        | 6,7        | 7,1                 |
| CIMMYT             | 8,2           | 7,0        | 7,6        | 7,6                 |
| CIP                | 7,4           | 6,5        | 7,2        | 7,1                 |
| ICARDA             | 6,8           | 7,5        | 7,8        | 7,4                 |
| ICRISAT            | 7,6           | 7,7        | 7,7        | 7,7                 |
| IFPRI              | 7,7           | 6,6        | 6,4        | 6,9                 |
| IITA               | 7,5           | 6,7        | 7,1        | 7,1                 |
| ILRI               | 7,4           | 3,6        | 4,3        | 5,1                 |
| IRRI               | 7,9           | 5,8        | 7,5        | 7,1                 |
| IWMI               | 7,9           | 3,0        | 3,1        | 4,7                 |
| World Agroforestry | 7,2           | 5,8        | 6,2        | 6,4                 |
| WorldFish          | 7,0           | 7,2        | 6,9        | 7,0                 |
| <b>Average</b>     | <b>7,5</b>    | <b>6,0</b> | <b>6,4</b> | <b>6,6</b>          |

\* calculating by weighting and combining 3A (65%) + 3B (35%) scores  
(to compare with 2008)

What is striking is the apparent significant improvement in overall score this year (2008 data)

---

purposes of this exercise While there may well be an element of ex-ante in many epIAs, there must be some measurement of adoption and ex-post impact to qualify.

compared to the two previous years. All but four Centers improved their performance score this year. While it is tempting to conclude that this demonstrates a higher level of commitment on the part of most Centers to documenting impacts—which is actually the case for Bioversity, ILRI, IRRI, IWMI and World Agroforestry—it also reflects the lowering of the benchmark for Criterion 1.A., as is evident from Table A.2. Nevertheless, as the rationale for lowering the benchmark seems justified (see footnote 1), this higher overall score is probably a more accurate reflection of the impact culture performance of Centers and the System.

Table 2 shows the total and individual criteria scores for each Center for 2009 (2008 data). Only summary data is presented here. Individual feedback has been sent to each Center providing a more detailed analysis.

**Table 2. Centre Scores for Impact Culture Indicator - 2008 data**

| Centre             | Criterion 1<br>(max=45) | Criterion 2<br>(max=20) | Criterion 3<br>(max=35) | Overall score<br>(max=100) | Overall score<br>(1-10 scale) |
|--------------------|-------------------------|-------------------------|-------------------------|----------------------------|-------------------------------|
| Africa Rice        | 39.1                    | 15.0                    | 16.5                    | 70.6                       | 7.1                           |
| BIOVERSITY         | 40.8                    | 15.7                    | 23.6                    | 80.0                       | 8.0                           |
| CIAT               | 28.1                    | 15.5                    | 23.7                    | 67.3                       | 6.7                           |
| CIFOR              | 39.1                    | 11.8                    | 27.1                    | 78.0                       | 7.8                           |
| CIMMYT             | 38.9                    | 14.7                    | 28.6                    | 82.3                       | 8.2                           |
| CIP                | 34.5                    | 16.5                    | 23.2                    | 74.1                       | 7.4                           |
| ICARDA             | 38.4                    | 12.8                    | 16.6                    | 67.9                       | 6.8                           |
| ICRISAT            | 40.8                    | 13.4                    | 21.5                    | 75.7                       | 7.6                           |
| IFPRI              | 34.2                    | 12.8                    | 29.6                    | 76.6                       | 7.7                           |
| IITA               | 37.9                    | 19.3                    | 17.5                    | 74.7                       | 7.5                           |
| ILRI               | 38.1                    | 14.3                    | 21.2                    | 73.6                       | 7.4                           |
| IRRI               | 36.5                    | 17.2                    | 25.3                    | 78.9                       | 7.9                           |
| IWMI               | 40.4                    | 14.1                    | 24.8                    | 79.3                       | 7.9                           |
| World Agroforestry | 39.4                    | 6.2                     | 26.6                    | 72.2                       | 7.2                           |
| WorldFish          | 37.7                    | 14.8                    | 17.2                    | 69.7                       | 7.0                           |
| <b>Average</b>     | <b>37.6</b>             | <b>14.3</b>             | <b>22.9</b>             | <b>74.7</b>                | <b>7.5</b>                    |

CIMMYT, Bioversity, IWMI, CIFOR and IRRI had the best overall performance this year and virtually all of these had significant improvements over last year's performance, even after making allowance for the lower benchmark.

While performance varies across the Centers for each of the three Criteria, the greatest amount of variance was found in Criterion 3. Criteria 3 (formerly 3 B impact indicator) is a SPIA commissioned evaluation by external peer reviewers of the quality and rigour of an epIA done by the Center in the last three years. SPIA used three external reviewers, individuals with known expertise in impact assessment, to assist with this evaluation which was based on specific criteria (questions) described in Annex III of the Guidelines. Where peer reviewers had conflicting scores, SPIA commissioned additional reviews. Since the

previous evaluation of quality and rigour occurred only in 2006 (2005 data), there is only one comparison that can be made (Table 3). CIMMYT, IFPRI, IRRI and CIFOR have performed consistently well in this respect, and several other Centers have shown significant improvement and are commended, e.g., IWMI, ILRI, and World Agroforestry. As it did last time (2006), SPIA is considering whether to produce short Center ‘best practice’ impact briefs to showcase some of these high quality epIAs.

**Table 3. Criterion 3 and 3B Scores (2008 and 2005)**

| Centre             | 2008<br>(3) | 2005<br>(3B) | 2005-2008<br>(2yr-avg) |
|--------------------|-------------|--------------|------------------------|
| Africa Rice        | 4.7         | 6.7          | 5.7                    |
| Bioversity         | 6.7         | 4.2          | 5.5                    |
| CIAT               | 6.8         | 5.3          | 6.0                    |
| CIFOR              | 7.8         | 8.1          | 7.9                    |
| CIMMYT             | 8.2         | 8.8          | 8.5                    |
| CIP                | 6.6         | 7.7          | 7.2                    |
| ICARDA             | 4.8         | 7.7          | 6.2                    |
| ICRISAT            | 6.1         | 8.5          | 7.3                    |
| IFPRI              | 8.4         | 8.1          | 8.3                    |
| IITA               | 5.0         | 6.1          | 5.6                    |
| ILRI               | 6.1         | 3.1          | 4.6                    |
| IRRI               | 7.2         | 8.5          | 7.9                    |
| IWMI               | 7.1         | 1.7          | 4.4                    |
| World Agroforestry | 7.6         | 6.8          | 7.2                    |
| WorldFish          | 4.9         | 6.7          | 5.8                    |
| <b>Average</b>     | <b>6.5</b>  | <b>6.5</b>   | <b>6.5</b>             |

Note: the 2005 results were based on two epIAs per center.

## Conclusions

SPIA believes that with the changes made to the Impact Culture indicator in 2009, especially in clarification of what constitutes an epIA and in consolidation and simplification of components the indicator is a more accurate reflection of a Center’s commitment to documenting impacts. While average scores were significantly higher this year than last (7.5 vs. 6.0), which is pleasing in itself, this mainly reflects the lowering of the minimum requirement for number of epIAs produced annually. However, the shift to the lower minimum (one epIA per \$20 m of budget) is deemed appropriate in terms of providing the right incentive for targeting large-scale, widely adopted research derived innovations on which epIAs are based. As emphasized during the SPIA-IAFP meeting in Brasilia in November, fewer but higher quality epIAs are preferred over more numerous lower quality (small scale adoption/impact studies) ones. Interestingly, although the benchmark was lower this year, a significant number of studies submitted by the Centers—more than 40%—were not in fact epIAs, a percentage similar to that observed in previous years. Next year, adding more clarity about what constitutes a legitimate epIA and with the use of a standard template for accurately describing the studies, this is expected to change.

## Annex

**Table A.1. Number of Studies Submitted by Centers and Accepted as ePIAs by SPIA in the 2009 PMS exercise**

| Centre             | No. of studies submitted | No. of studies accepted as ePIAs | Percent accepted |
|--------------------|--------------------------|----------------------------------|------------------|
| Africa Rice        | 3                        | 1                                | 33               |
| BIOVERSITY         | 2                        | 2                                | 100              |
| CIAT               | 3                        | 1                                | 33               |
| CIFOR              | 1                        | 1                                | 100              |
| CIMMYT             | 2                        | 2                                | 100              |
| CIP                | 2                        | 1                                | 50               |
| ICARDA             | 5                        | 4                                | 80               |
| ICRISAT            | 6                        | 3                                | 50               |
| IFPRI              | 5                        | 2                                | 40               |
| IITA               | 6                        | 3                                | 50               |
| ILRI               | 3                        | 3                                | 100              |
| IRRI               | 9                        | 3                                | 33               |
| IWMI               | 1                        | 1                                | 100              |
| World Agroforestry | 8                        | 4                                | 50               |
| WorldFish          | 4                        | 4                                | 100              |
| <b>Totals</b>      | <b>60</b>                | <b>35</b>                        | <b>58</b>        |

**Table A.2.. Centre Scores for Impact Culture Indicator (2006-2008)**

applying 2007 benchmark of 1 ePIA per \$5 million

| Centre             | Overall score |            |            |                  |
|--------------------|---------------|------------|------------|------------------|
|                    | 2008          | 2007*      | 2006*      | 2006-08 (3y-avg) |
| Africa Rice        | 5,8           | 7,3        | 7,2        | 6,7              |
| Bioversity         | 6,3           | 3,2        | 4,5        | 4,7              |
| CIAT               | 5,8           | 5,9        | 6,1        | 5,9              |
| CIFOR              | 6,2           | 6,9        | 6,7        | 6,6              |
| CIMMYT             | 6,5           | 7,0        | 7,6        | 7,0              |
| CIP                | 6,0           | 6,5        | 7,2        | 6,6              |
| ICARDA             | 6,2           | 7,5        | 7,8        | 7,2              |
| ICRISAT            | 6,2           | 7,7        | 7,7        | 7,2              |
| IFPRI              | 6,1           | 6,6        | 6,4        | 6,4              |
| IITA               | 6,0           | 6,7        | 7,1        | 6,6              |
| ILRI               | 5,9           | 3,6        | 4,3        | 4,6              |
| IRRI               | 6,6           | 5,8        | 7,5        | 6,6              |
| IWMI               | 6,3           | 3,0        | 3,1        | 4,1              |
| World Agroforestry | 6,5           | 5,8        | 6,2        | 6,2              |
| WorldFish          | 7,0           | 7,2        | 6,9        | 7,0              |
| <b>Average</b>     | <b>6,2</b>    | <b>6,0</b> | <b>6,4</b> | <b>6,2</b>       |

\* calculating by weighting and combining 3A (65%) + 3B (35%) scores (to compare with 2008)