

The Future of Partnerships in the CGIAR

Report of Working Group 2 (Partnerships) to the
Change Steering Team of the CGIAR

September 16, 2008

Acknowledgements

This final draft of the report of Working Group 2 to the Change Steering Team incorporates feedback arising from discussions with stakeholders and others at the Change Management Retreat held in at the headquarters of the International Rice Research Institute (IRRI) in Los Baños, the Philippines. Co-chairs Martin Pineiro and Mark Holderness express their gratitude to all members for their contributions and insights, to Harry Palmier from the CGIAR Secretariat for professional support, and to Erin O'Connell from Green Ink for editorial assistance. We sincerely hope the report will be of help to the CGIAR change process.

Executive summary

Creating partnerships is crucial for the Consultative Group on International Agricultural Research (CGIAR) to reposition itself within the emerging global agricultural research and knowledge system. As part of the Change Management Process initiated by the CGIAR Members to examine the current role and situation of the CGIAR System, Working Group (WG) 2 has drawn on various studies, as well as the expertise of its members, to develop proposals for establishing successful partnerships.

Building on the new visioning elements proposed by WG1, this report reviews past and current partnerships with the CGIAR to identify gaps and problem areas, and proposes ways to address these issues in the immediate and long-term future. Viewing partnerships from three perspectives – namely repositioning CGIAR in this rapidly evolving context, the importance of stakeholder consultation, and the CGIAR as a research for development and knowledge management organization – WG2 outlines the framework required for a partnership policy. This includes general principles and operational guidelines, identifying areas that need new or strengthened partnerships, the creation of a Partnership/Development Panel and incentive policies.

Finally, WG2 puts forth five recommendations based on the conclusions drawn from the above, and identifies the implications of these proposals for CGIAR governance and funding mechanisms. These are outlined in detail in Chapter 6 and are summarized as follows under the four levels of the conceptual framework we have used:

Policy

Recommendation 1: The CGIAR needs to strengthen its position as a major player in

the global dialogue and in the construction of global perspectives and agreements on research for development. WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board in the Performance Contract model proposed by WG3.

Strategic outcome-based planning

Recommendation 2: Appropriate consultative processes with relevant non-member stakeholders should be organized at the CGIAR system level to define strategic dimensions and main priorities. WG2 considers the Global Forum for Agricultural Research (GFAR) to be the most appropriate institutional mechanism to oversee this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders and the availability of sufficient resources, GFAR will need to be reorganized and strengthened.

Program implementation and outcome delivery

Recommendation 3: Centers must be able to work with a wide range of partners to create high-quality research outputs that contribute towards the alleviation of poverty, system sustainability, and development of appropriate research institutions in the countries concerned. To fulfill these requirements, WG2 makes a multi-dimensional recommendation comprising funding; program leadership; partnerships with the private sector, National Agricultural Research Systems (NARS), advanced NARS, and non-governmental organizations (NGOs); and capacity building.

Monitoring and learning from partnerships

Recommendation 4: A new 'Partnership/Development Panel' – comprised of independent persons with extensive experience in partnership-building who are knowledgeable about the different constituencies engaged with the CGIAR – should be created to foster, monitor, and promote the use of partnerships within the CGIAR System itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR on these matters.

Recommendation 5: Monitoring and evaluation of partnerships needs to be more sophisticated and encompassing. To achieve this at both the system and program levels, WG2 recommends that the Partnership/Development Panel have explicit monitoring oversight of the quality of development partnerships in the programs under the new Fund, and that regional and sub-regional research fora be used as a mechanism for learning, evaluation, and feedback on program-level research for development as it relates to the countries concerned and their development objectives. This requires a broad policy of incentives at all levels.

Table of contents

Acknowledgements	2
Executive summary	2
Chapter 1 Introduction	6
1.1 Purpose and limitations	6
1.2 The need for partnerships	6
1.3 Organization of the report	8
1.4 Members of Working Group 2	8
Chapter 2 The context for rethinking partnerships	10
2.1 The future CGIAR: A new vision, strategic objectives, and core functions and their implications for partnerships	10
2.1.1 A broader scope for the CGIAR and CGIAR-supported programs	10
2.1.2 CGIAR core functions	11
2.2 Partnerships in the CGIAR: Evolution and new perspectives	14
2.2.1 Introduction: Some elements of the history of partnerships in the CGIAR	14
2.2.2 The present situation of partnerships	17
2.2.3 Mapping our potential partners	18
2.2.4 How the CGIAR sees partnerships: Results from two surveys	19
2.2.5 How partners see the CGIAR: The case of civil society organizations	20
2.2.6 Challenge Programs as a special case of partnerships	23
2.3 Conclusions drawn from experience with partnerships	24
Chapter 3 CGIAR partnerships: The main issues	26
3.1 Why partnerships and for what	26
3.2 Moving forward in partnerships	27
Chapter 4 Achieving successful partnerships	30
4.1 Repositioning the CGIAR in the development dialogue	30
4.2 The need for stakeholder consultation	31
4.2.1 Stakeholder consultation at the system level	32
4.2.2 Internalizing the regional dimension	35
4.2.3 Centers and programs	36
4.3 The CGIAR as a research for development and knowledge management organization	38
4.3.1 The global agricultural research for development system	38

4.3.2	Implications for the CGIAR change process and future partnerships	42
4.3.3	The need to adapt to different institutional contexts	44
4.3.4	Governance and funding implications	47
Chapter 5	Towards a partnerships policy	49
5.1	<i>Some general principles</i>	49
5.2	<i>Operational guidelines</i>	51
5.3	<i>Areas that need new or strengthened partnerships</i>	53
5.3.1	Partnerships with institutions involved in policy and institutional innovation decision-making	53
5.3.2	Partnerships with institutions and organizations in the area of science and technology and other areas related to agricultural issues and concerns	54
5.3.3	Partners for capacity building	55
5.3.4	International civil society organizations (ICSOs)	56
5.3.5	Strong NARIs	57
5.3.6	Public-private partnerships (PPPs) as a special case	58
5.4	<i>The Partnership/Development Panel</i>	60
5.5	<i>Incentive policies</i>	61
5.5.1	The Partnership/Development Panel	61
5.5.2	The International Fund	62
5.5.3	CGIAR performance measurement report	63
5.5.4	External program and management review	63
Chapter 6	Main recommendations and their implications for governance and funding	64
	Glossary of terms	74
	Bibliography	76

Chapter 1 Introduction

1.1 Purpose and limitations

This paper is the product of the deliberations of Working Group (WG) 2 on issues surrounding partnerships, as part of the Change Management Initiative of the Consultative Group on International Agricultural Research (CGIAR). It is built on the experience, perspectives, and specialized knowledge of the members and draws on various background papers and studies, all of which emphasize and justify the importance of partnerships.

This paper does not attempt to provide an exhaustive analysis of the many issues and themes related to partnerships in the CGIAR, nor does it present alternative options, but develops an argument for the strengthening of effective and rewarding partnerships.

We have identified areas in which partnerships need to be strengthened and further developed in the context of a new, more open CGIAR and have provided recommendations to attain this objective. These need to be further developed and tested in light of the decisions made with regard to governance and funding.

1.2 The need for partnerships

As outlined in WG1's report, "Visioning the Future of the CGIAR", the rapidly changing context of international agricultural research requires the CGIAR to reposition itself within the emerging global agricultural research and development (R&D) system; in doing so, it must develop a more strategic approach to nurturing effective partnerships. In essence, as stated by the Global Forum for Agricultural Research (GFAR), the CGIAR must strive to become "a primary international research system that mobilizes science and technology to enable partners to achieve the global vision" (GFAR Executive Committee, Montevideo, July 2008). The redefined CGIAR vision and mission, as outlined in Chapter 5 of WG1's report, acted as a guiding force for WG2's definition of partnership needs.

This new CGIAR vision and mission, as well as the strategic objectives and core functions identified in WG1's report (elaborated in Chapter 2 of this paper) are founded on a commitment to research for development; that is, research that results in outcomes

and impacts that benefit the poor. Although, as WG1 notes in its report, “[t]he CGIAR does not have primary responsibility for, or comparative advantage in, the actual delivery of outcomes and impacts it does have a responsibility to ensure that its research strategies and priorities align with those of its R&D partners” (CGIAR WG1, 2008; p. 17).

WG2 shares with the Independent Review Panel the rationale that the CGIAR should invest in intra-Center collaboration and in partnerships with institutions outside its sphere. WG2 endorses the definitions and conceptual issues related to partnerships described in Chapter 11 of the Independent Review report, as well as the features of successful partnerships.

This paper has addressed the issue of partnership from the following perspectives:

- **Definition of the agenda:** The need to define clear priorities and strategies to nurture successful partnerships, in consultation with partner organizations and developing country stakeholders
- **Purpose:** An increased focus on research that will benefit poor farmers and help alleviate poverty and hunger
- **Implementation:** An increased focus on partnerships, recognizing that no one party can deliver the required benefit along the entire value chain, but that there are existing players with the necessary skill sets who, if brought into alignment, can each play a part in the continuum from basic research to widespread uptake in the field.

WG2 has come to the clear understanding that fostering partnerships is not an optional extra. It is important to recognize the emergence and growing importance of new potential partners in the global system. Private sector firms, civil society organizations (CSOs), and private foundations are fundamental players that the CGIAR needs to align with. As well, it must address and adapt to the changing nature and capacity of national agricultural research institutes (NARIs).

In the world of agricultural research for development, there is a high level of complexity around issues such as intellectual property, commercial scale-up, and product supply to the end-user. The associated knowledge for success does not reside in one place, but results from the synergistic efforts of partners who are focused on clear objectives.

Our main argument and proposals are based on the conviction that there is a need for broader partnerships that draw on the skills of each partner to address the urgent and complex problems of agriculture and rural poverty. It is only through strong and

extended partnerships that the CGIAR will be able to mobilize global research capacities for the purpose of achieving the Millennium Development Goals.

The proposals that follow have significant implications for the CGIAR and for CGIAR Center structure, governance, funding, process, objective setting, and delivery, all of which are addressed in greater detail in this report.

1.3 Organization of the report

This paper begins with an overview of the context for rethinking partnerships in the CGIAR (Chapter 2), with an analysis of the new vision, strategic objectives, and core functions as they relate to partnerships. We review the history and current situation of partnerships, suggest potential partners, and provide an analysis of the results and implications of several surveys. In Chapter 3, we outline the rationale for partnerships and identify the main issues the areas in which to move forward. Chapter 4 presents three areas that are essential for the development of successful partnerships, namely repositioning CGIAR in the development dialogue, the need for stakeholder consultation, and the CGIAR as a research for development and knowledge management organization. In Chapter 5, we present the general principles and operational guidelines for a new partnership policy, including the creation of a Partnership/Development Panel and incentive policies. Finally, in Chapter 6 we outline our main conclusions and recommendations, and their implications for governance and funding.

1.4 Members of Working Group 2

Chair: Martin Pineiro – Grupo CEO, Argentina

Co-chair: Mark Holderness – GFAR, Italy

Members:

Pamela Anderson – Centro Internacional de la Papa (CIP)

Julio Berdegué – Red Internacional de Metodología de Investigación de Sistemas de Producción (RIMISP), Chile

Pierre Fabre – International Agricultural Research Commission (CRAI), France

Kim Geheb – CGIAR Challenge Program on Water and Food (CPWF), Ethiopia

Peter Jeffries – Merial Ltd, France

Tom Remington – Catholic Relief Services (CRS), Burkina Faso

Ibrahima Bamba – Africa Rice Center, formerly West Africa Rice Development Association (WARDA), Côte-d'Ivoire

Simone Staiger – International Center for Tropical Agriculture (CIAT), Columbia

Jean-Luc Khalfaoui – former member of WG1

Martin Kropff – former member of WG1

Support to the working group:

Consultant: Monica Kapiriri, Uganda

Professional support: Harry Palmier – CGIAR Secretariat

Administrative support: Xiaoyue Hou – CGIAR Secretariat

Chapter 2 The context for rethinking partnerships

2.1 The future CGIAR: A new vision, strategic objectives, and core functions and their implications for partnerships

2.1.1 A broader scope for the CGIAR and CGIAR-supported programs

In the context of the Change Management Initiative, the mission and vision of the CGIAR have been revisited, three new strategic objectives formulated, and the core functions re-crafted. These provide a new framework, new demands, and new challenges and opportunities for future partnerships arrangements.

The new CGIAR mission and vision, as defined in the report by WG1, have major implications in terms of partnerships (CGIAR WG1, 2008; p. 13). In visioning the future of the CGIAR, WG1 reaffirmed that a) the CGIAR's overarching objective is to alleviate poverty and b) the CGIAR must acknowledge that it is only one among other actors in the global agricultural research and knowledge system. These definitions reaffirm the overwhelming need for the CGIAR to re-assess its comparative advantage and to reposition itself within the global system in order to maximize synergies with a diversifying range of partners. The Change Steering Team and the Executive Council of the CGIAR have endorsed this approach.

WG1 defined the three newly formulated strategic objectives, namely "food for people," "environment for people," and "policies for people" (CGIAR WG1, 2008; p. 15).

The selected strategic objectives have four main implications for partnerships:

1. Their formulation indicates that the CGIAR is ultimately about people and should deliver results that bring R&D solutions to meet the needs of the poor. As a result, the new CGIAR agenda cannot limit itself to research and technology generation, but must move a step further to promote partnerships that will lead to significant impacts on livelihoods.
2. The new CGIAR business model provides a framework for operationalizing the vision, explicitly recognizing partnership requirements as crucial to achieving the strategic objectives.
3. The adoption of a knowledge management focus includes an implicit responsibility to articulate the use of available knowledge and technologies to address identified agricultural- and poverty-related problems. This requires a new

framework for strategically partnering with other institutions that generate technical knowledge.

4. Strategic Objective 3, which is focused on policy and institutional support, demands the development of close associations with a new array of partners with whom the CGIAR has had, in general, marginal collaboration. Partnering with governmental policy units, research and knowledge dissemination organizations, and local governments becomes crucial for the ability to influence policy and institutional arrangements.

2.1.2 CGIAR core functions

WG1 has defined six main functions for the CGIAR. Implementing each of these requires the development of strong, inclusive, and flexible partnerships. However, some of the functions are more dependent on the work of partners who will be the main actors of certain components of programs or projects. This is especially true for those activities that ensure the uptake of available technologies.

Different social actors will become partners under different circumstances, but special effort should be directed to the establishment of solid relationships with specific types of partners in some of the six selected CGIAR core functions:

Conducting research for development requires strong partnerships in two different phases of the process:

1. In the definition of the work program
2. In the performance of research and in obtaining research outputs.

During the first phase, a strong mechanism is needed that will assure productive interaction with a wide array of partners and alignment with a wider development process. GFAR and regional organizations and fora have a major role to play in this phase.

Implementing this will require:

- The construction of governance mechanisms at the CGIAR level, in each individual Center, and in the domain of major programs such as the Challenge Programs.
- A special funding mechanism to support an effective role by GFAR and the regional fora. This funding should be considered as part of the cost of doing

research with input from stakeholders and is better adjusted to the real opportunities and needs of the beneficiaries.

During the second phase, main interactions and strong partnerships are needed with universities and research institutions in industrialized and developing countries, a selected group of well developed and funded NARIs, and selected firms from the private sector. The CGIAR has long-standing experience with the first type of partnership, but it needs to establish new and more effective procedures for building the other two types. Codes of conduct and well-defined procedures or protocols are needed.

Conserving core collections of germplasm and related knowledge is an extremely important activity for the CGIAR; it is developed in a number of Centers and is the main mandate of Bioversity. From a partnerships perspective, these activities should encompass close relationships with the national institutions concerned with germplasm collections.

Catalyzing research and innovation (knowledge management), though it has always been a major function of the CGIAR, is one that should be greatly stressed in the future. It implies that the CGIAR will, in partnership with other organizations, take responsibility for the application of existing and available technical knowledge for the solution of important development problems.

This special function requires substantial changes in the culture of the CGIAR and in the organization and overall institutional procedures of the individual Centers and major programs. From a funding point of view, the criteria used for the allocation of funding and the procedures by which these funds are channelled and monitored to non-CGIAR institutions need to be analyzed. The CGIAR must also develop strong and productive relationships with two types of partners:

- Organizations that produce the required technical knowledge for the solution of specific CGIAR problems. These organizations are the same ones that are relevant for the core function of conducting research, and the requirements delineated there also apply.
- Organizations that enable the uptake and application of the available knowledge for specific circumstances, such as local and international CSOs and the NARIs. As previously mentioned, the organization of these activities will have special requirements in regards to funding procedures, monitoring, and accountability. These are issues that need to be carefully analyzed.

Raising awareness, anticipation, and forecasting. This function is a relatively new one for the CGIAR. The International Food Policy Research Institute (IFPRI) and, to

some extent, some of the other Centers have done significant work on anticipation and forecast, but the CGIAR as a whole has maintained the culture and habits of research institutions that are less inclined to engage in more politically sensitive activities. Changing this implies new demands of the CGIAR in general and, in particular, of Centers that are more involved in activities that produce knowledge and information that is particularly important and useful for awareness raising and forecasting; it also implies new partnership needs. Three types of institutions are especially important: a) inter-governmental organizations such as the Food and Agriculture Organization (FAO) and the United Nations Environment Programme (UNEP), the international CSOs, and research partners such as NARIs, universities, and research institutions. These partnerships are more politically sensitive in relation to message content, the means used, and the selection of socioeconomic groups to which these activities are directed. In addition, they are more demanding in terms of the attribution of credit between participating organizations.

The development of strong and solid partnerships with these organizations for the development of activities related to this function will require considerable changes within the CGIAR and raises the following questions:

- Who will be in charge of carrying out these activities at the level of the CGIAR and the Centers?
- Will it be necessary to organize these activities and clear them from a content perspective; if yes, who should assume this role?
- How will they be funded?

Support for policy and decision-making. This activity has been present in the CGIAR portfolio, particularly in IFPRI and Bioversity. However, by identifying it as one of the six core GGIAR functions, it has been elevated as a CGIAR responsibility. It has a number of implications from the point of view of CGIAR partnerships, but also in regards to CGIAR organization and governance.

From the perspective of partnerships, the Centers will have to develop stronger relationships with public sector organizations that are important from the point of view of policy implementation, as well as with international organizations that are active and recognized in this field. Strong partnerships with FAO and regional organizations such as the Inter-American Institute for Cooperation on Agriculture (IICA) in Latin America will be necessary. In addition, partnership agreements for this type of work require different budgetary and monitoring arrangements than traditional research partnerships.

In regards to organization, supporting policy and decision-making implies that the CGIAR will have to strengthen its human and institutional capacity in order to be a credible and significant player in this area (more so if the institutional component is added). Furthermore, the work on policy and decision-making must be based in solid research but also needs direct action in advisory roles, which are relatively new activities to most of the CGIAR.

From a governance point of view, this presents an interesting dilemma. Agricultural research has always been considered an activity that is relatively free from ideology and value judgements. For this same reason, governance mechanisms of research institutions are, in most cases, relatively protected from political influences and dominated by technical considerations. The CGIAR is an example of this. Policy advice is not free from value judgements and ideological perspectives, and their explicit introduction in the CGIAR mandate and program of work could mobilize forces that seek a larger interaction and/or control by politically oriented policy-makers.

Capacity development has been an important activity in the CGIAR, especially in the past. More recently however, capacity activities have dwindled in many Centers following funding difficulties. If capacity building is to develop into a core function, a number of strategic decisions need to be made within the CGIAR and the individual Centers, an appropriate business model has to be designed, and new and more extensive and innovative partnerships need to be developed with universities, advanced research institutions, and the NARIs. This requires a strong commitment to developing the capacities of partners as a key outcome of CGIAR activities.

2.2 Partnerships in the CGIAR: Evolution and new perspectives

2.2.1 Introduction: Some elements of the history of partnerships in the CGIAR

In its early years, the CGIAR defined a clear mission that focused on increasing food production and availability. The strategy that followed was built on research and technology dissemination activities, based on three main elements:

1. A focus on the genetic improvement of major world commodities to increase the productivity and adaptability of these species to environments that had been, or could be, changed by human actions

2. The mobilization, adaptation, and utilization of basic research that was produced and available in the agricultural research institutes (ARIs) of some developed countries, and
3. Collaborating with the NARIs in conducting the necessary applied research, multiplication, and dissemination of the new germplasm. The CGIAR, given the lack of adequate financing of many of the NARIs, contributed funding for these activities.

In many ways, this strategy and organization was an efficient process of knowledge management, despite its linear client–supplier perspective. It implied two main types of partnerships:

1. Informal working relations with some ARIs based on the free exchange of scientific information; this was mainly for public goods, as well as some specific and relatively minor collaborative research. These partnerships focused on collaboration for the production of outputs that were within the main mandate of the CGIAR.
2. A close association or partnership with the NARIs based on a clear division of labor and a dominant position of the CGIAR, both in the nature of the relationship and the rules that applied to the partnership. This collaborative relation was useful for the production of outputs, but also for achieving outcomes (adoption of technologies produced by the CGIAR Centers).

The NARIs in many countries were under-funded, so the CGIAR contributed significant funding for the development of the agreed activities and implemented substantial training activities to increase their technical capacity. The focus of this support was on improving the efficiency and impact of the CGIAR mandate.

In the 1980s, the CGIAR made a significant strategic decision and incorporated into its mission and mandate the objective of strengthening the NARIs. It created the International Service for National Agricultural Research (ISNAR) as the specialized center for this work, which was also incorporated – at least informally – in a number of the other Centers. The CGIAR was a channel for funding the strengthening of NARIs.

In the 1990s, three new perceptions were incorporated into CGIAR concepts and strategies:

1. First, changes in the way science is developed and funded and in the international economic context made it obvious that the CGIAR needed to alter its research modes and expand and amplify its partnership strategy to

incorporate the private sector. It made considerable effort system-wide to establish working relations with the private sector; a main element of this effort was the incorporation of private sector into governance (e.g., the Private Sector Committee at the AGM). This participation, however, did not extend to the Centers and did not have a significant impact on the partnerships they developed with the private sector. It did, however, improve the exchange of information and the mutual knowledge and goodwill between the CGIAR and the private sector (see Bezanson, 2004).

2. Second, it was felt that the CGIAR was no longer as closely connected to national systems, and the NARIs needed additional mechanisms to more clearly identify and express their technological requirements to the CGIAR. GFAR was created for this purpose, as well as to create an objective platform from which to mobilize the global agricultural research for development system. GFAR built on the already existing network of regional organizations with a similar purpose. However, it is our impression that GFAR's success in this function has been limited. It has never had sufficient resources to fulfill this role and it has drifted towards program implementation. Furthermore, it has not been used effectively by the CGIAR as a mechanism for engagement with others and has itself yet to engage effectively with the private sector and the international CSOs. However, there are signs that this situation is beginning to change.
3. Third, the CGIAR recognized the growing importance of NGOs in the diffusion and adoption of innovations, as well as their role in mobilizing public awareness. As with the private sector, NGOs were also granted a role in governance (also in committee participation at the AGM) and working relations were established at some Centers. At the CGIAR level, the relationship did not improve and NGO representatives felt that their participation in governance did not meet their expectations (Bezanson, 2004).

In recent times, the evolution of partnerships has been influenced by system-wide organizational changes, such as the adoption of the Ecoregional Programs and Challenge Programs, which have provided ample grounds for extended and successful partnerships such as those reported by Kim Geheb for the Challenge Program on Water and Food (CPWF) (notes prepared for WG2, 2008).

2.2.2 The present situation of partnerships

While NARIs have become stronger in a number of countries such as, for example, Argentina, Brazil, China, India, South Africa, and Vietnam, they have become weaker in many others. Their relative role in the innovative process has diminished, and their capacity to effectively relate to CGIAR's work has also decreased. Enhanced partnerships with the CGIAR could act as a catalyst for improving the quality of their work and also for increasing their share of national public funding.

The clear division of labor that had been central to the initial partnership with NARIs has become blurred. Some Centers have increasingly been engaged in development projects where they compete – or at least are seen to compete – with NARIs and NGOs for resources and turf.

The weakening of NARIs in many countries has been accompanied by the emergence and strengthening of other public and private organizations that have now become major players in the innovation process. This process is giving way to the slow consolidation of National Agricultural Research Systems (NARS). The CGIAR in general, and ISNAR in particular, recognized this process and have given great importance to working with NARS.

Agricultural research and innovation has grown in complexity. Its use of basic scientific information and knowledge and the possibility of private appropriation of economic benefits derived from new technologies have resulted in the emergence of a number of diverse players with whom the CGIAR needs to establish new and more productive partnerships:

- In order to access basic science capacities, the CGIAR must form new, more focused and more formal partnerships with the ARIs and other research facilities in industrialized – and in some developing – countries.
- The growing role of the private sector in research and technology development, especially in biotechnology and germplasm improvement, makes it imperative for the CGIAR to find its new role and niche and to establish strong working relationships with the private sector, including economic transactions and intellectual property rights agreements.

Furthermore, the CGIAR mission, which was once clearly focused on agricultural research for development, lost some relevance with the emergence of new world problems, such as climate change. This has created new interrelations between agricultural production, natural resources use, climate change, and the world energy matrix.

The square formed by these four vertices, and the recognition of the importance of policy and institutions in the final outcome, define new areas of concerns for the CGIAR. The new vision and strategic objectives defined by WG1 fully incorporate these new areas and point to the fact that they will also require even more extensive partnerships with a widening set of organizations, all of which also need different modalities. An example of this is the growing importance of international agreements and international organizations, which play a role in defining normative frameworks that are crucial not only to agriculture but also to interrelated issues such as climate change.

2.2.3 Mapping our potential partners

Who are the main potential partners in this new and more complex world, given the new vision and core functions of the CGIAR? Following are the relevant types of institutions with which the CGIAR could establish and/or further develop collaborative activities:

- NARIs of developing countries
- Other research institutions, besides NARIs, in developing countries that can provide research capacities and facilities
- Strong NARIs that can provide advanced research capacities
- Research institutions and universities in industrialized countries
- Private firms that are leaders in technological innovation
- Private firms that produce, sell, and disseminate technologies
- International NGOs
- Local NGOs
- Public institutions involved in decision-making on policies that are relevant to CGIAR goals
- Organizations that specialize in capacity building, whose programs may complement those of the CGIAR
- Regional organizations
- International organizations
- Farmers and professional organizations.

This rich universe of potential partners provides a wide range of opportunities for successful partnerships to be optimized by the CGIAR. The nature of these partnerships, the preferred partners, and the specific business model to be used will vary for each individual Center and with specific issues and countries. The main challenge for the CGIAR is to develop an institutional culture and the necessary incentives appropriate to an open and participatory organization.

2.2.4 How the CGIAR sees partnerships: Results from two surveys

A number of studies on partnerships have been developed within the CGIAR. Two surveys developed by the Science Council and by the ongoing External Review present information that elicits several interesting observations:

- The main objectives of partnerships belong to two broad categories: a) accessing disciplinary expertise and material resources, and b) facilitating testing and dissemination of information.
- All Centers have a large number of partnerships and the number of these does not seem to correlate with the main focus of the individual Center. The most frequent partners (78% of total organization with which the CGIAR Centers have established partnerships) are institutions in the developing world. This could suggest that, although one of the main reasons mentioned for establishing partnerships was access to science and technology, the most frequent objective of partnerships relates to research and technology dissemination activities.
- Most of the organizations that collaborate with the CGIAR have relations with one Center; only 13 % of them have developed multi-Center partnerships.
- In spite of being less frequent, partnerships with the universities and research institutions in industrialized countries are thought to be, by those interviewed, the most valued and successful. This is confirmed by the survey carried out by the External Review, which indicates that the most valued partnerships are those with the ARIs and the NARIs.
- Partnerships with the private sector are few (only 4% of total partnerships, and these are concentrated in only four Centers, which work mainly in breeding) and they are the least valued, according to the External Review survey. Only 10% of respondents think that partnerships with the private sector are effective.
- The picture in relation to partnerships with CSOs is not totally clear, but the surveys suggest that, in the eyes of the CGIAR persons who were interviewed,

they have not been as successful as they could have been. Other studies have documented examples of very successful relationships.

- A few research organizations in the industrialized world appear to be the strongest and most frequent partners. This evidence brings forward the potential usefulness of the 'Strategic Partner' concept described in Chapter 1.
- In general, all groups interviewed indicate their belief about the importance of partnerships. However, all groups – with the partial exception of Challenge Programs – indicate their dissatisfaction about the usefulness and productivity of partnerships at present.

2.2.5 How partners see the CGIAR: The case of civil society organizations

It is important to listen to what our partners say in conversations on partnership issues. Following are three different examples of dialogues from which we gained a sense of our partners' thinking. They are all examples of CGIAR-initiated conversations, and this could imply some biases; on the other hand, they represent the opinions of people who are very familiar with the CGIAR.

A virtual conversation between CGIAR staff and research partners¹

Throughout November 2006, a diverse group of researchers and development professionals discussed its partnerships with CSOs. Nearly 160 people registered for the conversation, and about 65 of these posted more than 200 messages in English, French, and Spanish.

The conversation prompted participants to express views on key issues underlying their partnerships. Much of the discussion centered on the respective roles and responsibilities of CSOs and the CGIAR, and there appeared to be a consensus that these are reasonably clear and complementary. Participants agreed on a set of commonalities, such as the joint goals of poverty reduction, equity, and environmental sustainability. Many expressed agreement on the need for participatory research and action to empower farmers and their communities. Participants generally felt that the deeper the relationship, the more productive it is

¹From the CSO-CGIAR Virtual Forum on partnerships between civil society organizations and the CGIAR, at: <http://www.dgroups.org/groups/cgiar/cso-cgiar-forum/index.cfm>

likely to be. They highlighted the need for joint decision-making and the involvement of private partners.

The strengths of CSOs were seen as their capacity to implement change at the grassroots level, to promote policy advocacy, to coordinate short-term actions that benefit clients, and to assure continuity. CSOs have strong linkages to national systems, are good at taking initiative, and actively involve research institutions. They are usually good at reaching out to farmers. For these reasons, they are more effective in a development context.

The strengths of the CGIAR were seen to be in research (specifically related to germplasm); it leads cutting edge science that builds new knowledge based on methodological rigor and technical capacities. Participants felt that the CGIAR should do more capacity building and provide training on the technologies it develops.

The forum also provided space for discussion on how CSOs and the CGIAR, with their differing roles and responsibilities, can best create partnerships that offer maximum benefit to rural people. Comments on this question highlighted the heterogeneity of the organizations and individuals involved. Some argued that successful partnerships depend mainly on strong relationships between the individuals who actually perform research and development work. Others, in contrast, emphasized the importance of positioning partnerships within strong institutional frameworks through formal agreements between CGIAR and CSO managers. Stronger CSO alliances at the international level, it was suggested, could facilitate the creation of such agreements. Many participants stressed the importance of inclusive, participatory processes at every level – from decisions about project design to interaction with farmers in rural communities.

The CSO-CGIAR Forum that took place at AGM 06²

During the 2006 CGIAR Annual General Meeting (AGM), the first CSO-CGIAR Forum took place. The focus of the forum was on finding common ground, sharing lessons from experience, and creating avenues for working together. Approximately 300–400 stakeholders participated in the forum. Participants stated some guiding principles for CSO-CGIAR partnerships, such as mutual respect, trust, and commitment, and the

² The CSO-CGIAR Forum was held at the 2006 CGIAR AGM in Washington, DC. Details at: http://www.cgiar.org/csos/cso_agm06_main.html

need to work together to define our common priorities; these priorities should be demand-driven in order to increase their impact. Participants also reflected on the lessons learnt from CSO-CGIAR collaboration, such as the need to generate appropriate incentives for inter-institutional collaboration, or the fact that successful partnerships happen when there are synergies between farmers, CSOs, national and international research organizations, and policy-makers. The value of engaging farmers' input through participatory research methods was highlighted. Participants raised five major avenues for working together:

1. Focusing on areas of common interest
2. Investing in better communication between CSOs and CGIAR
3. Engaging in mutual capacity building and learning
4. Raising funds together for developing and implementing collaborative work
5. Expanding collaborative mechanisms for developing relationships.

A virtual conversation around a Science Council study on partnerships

In 1995 the Centers, supported by the CGIAR, recognized linkages with CSOs as imperative to a fully effective CGIAR system. A decade later, a survey of CGIAR Center collaboration made by the Science Council found that although 17% of Centers' collaborators are CSOs, Centers rarely consider them to be 'highly relevant'. To shed light on the paradox revealed in the 2005 survey, a recent CSO-CGIAR partnership study looked at six partnership projects between CSOs and Centers. The Science Council led a CG-CSO partnership study in 2007. The findings of the study were discussed by CGIAR Center staff and CSO partners through an online dialogue that was open for two weeks in November 2007. Key points raised in the discussion included:

- Communication and methodological problems with current partnerships may be at the root of the perception that CGIAR Centers own the partnership process, and this should be reconsidered.
- Good methodologies for monitoring and evaluation, process documentation, and capturing and sharing knowledge should be built into partnerships in order to enable joint learning processes.
- The process of engagement is important for achieving innovations. Partnerships should contribute to the research-for-development process, not just to delivery.

- Under the current CSO funding model, building local capacity is difficult and doing world-class development work is almost impossible.
- Beyond time and resources, another key constraint is 'know-how', i.e. ideas and approaches.
- The tools, approaches, formats, and mechanisms used by 'articulate' partnerships should be shared.
- There is no single recipe for successful partnerships, and time is needed to develop sustainable partnerships that produce sustainable results.

Based on these three studies, WG2 has come to the following conclusions regarding partnerships with CSOs:

1. CSOs consider partnerships with the CGIAR as an important vehicle to link research to development and to achieve impact at scale: they should be flexible, clear in purpose, inclusive, and based on synergies and participatory approaches.
2. CSOs wish to see more equitable partnerships through joint fund raising.
3. The roles of CSOs are to represent the demand side by providing a voice for the needs of the disadvantaged, bring in the local knowledge, link to national systems and reach out to farmers, do policy advocacy, and assure continuity.
4. CSOs emphasize the need for more capacity building and training on the technologies that the CGIAR develops.
5. CSOs suggest improving/increasing interaction with the CGIAR from two sides: formally, through stronger CSO alliances at the international and regional levels, and informally by encouraging and rewarding fruitful relationships between the individuals who are actually conducting the research and development work.
6. CGIAR and CSOs need to invest in facilitated collaborative processes, such as regular dialogue, monitoring and evaluation of partnerships, communication, and sharing knowledge of best practices over the long term.

2.2.6 Challenge Programs as a special case of partnerships

Challenge Programs were established in 2001 as a means to deal with complex issues of global or regional significance, help mobilize a critical mass of scientific expertise and resources, improve the focus of research activities, and increase the likelihood of

attaining impacts and outcomes. Thus, in many ways, they were a big step in the implementation of a research for development strategy.

In addition, they were designed to be time bound and have independent governance, which could bring together a large group of partners with different views, approaches, and capacities. Thus, they attempted to integrate more fully a large number of partners and gain distance from the 'silo' concept attributed to the individual Centers. In one way, Challenge Programs attempted to promote inter-Center cooperation.

Available evidence suggests that the success of the Challenge Programs has been mixed. On the one hand, they have not developed as a major way of organizing activities in the CGIAR. After eight years there are three or four Challenge Programs in operation and their acceptance by the CGIAR community is mixed.

The results of the survey carried out by the External Review indicate that only 26% of respondents think that Challenge Programs have been successful. Especially low ratings were provided by Board Chairs and Center executives, who rated them at 13%. On the other hand, 82% of Challenge Programs participants considered them effective.

These differences are interesting and perplexing. One main explanation is that Challenge Programs, because they have independent governing mechanisms, are seen by the Center executives and Boards as resources that escape their influence. In addition they are seen as a source of additional work and potential problems, especially when things go wrong, with few direct rewards when things go well. This resistance probably explains why the number of Challenge Programs is very limited and why they have not become a major system for organizing research activities in the CGIAR.

From a partnership point of view, Challenge Programs have been an important step forward and have provided many practical experiences and capacity building in the art of forming solid and productive partnerships. As mentioned previously, Challenge Programs participants are more interested, more aware, and have a more positive view about the importance and the relative success of partnership arrangements than their peers in the CGIAR.

2.3 Conclusions drawn from experience with partnerships

1. Partnerships have always been an important element in the overall strategy of the CGIAR. In the initial stages, the partnership strategy was relatively simple and emphasized relationships with some universities and research institutions in

industrialized countries and the NARIs. The CGIAR directly funded an important proportion of these partnerships, which were effective and played an important role in its early success.

2. The global agricultural milieu has changed. Agricultural research problems are more complex and interrelated with other issues such as climate change and natural resources conservation. In addition, many new institutional actors are present, and CGIAR now has a smaller proportion of the total global investments in agricultural research.
3. Partnerships have grown in complexity and the CGIAR mandate has also expanded into new areas. The evidence suggests that within the CGIAR partnerships are considered to be very important, but a majority of its members are dissatisfied with the efficiency and effectiveness of partnerships. The opinions of partners themselves are not very positive, either.
4. In this context, which is characterized by a new situation in terms of substantive issues, institutional settings, and global needs, the CGIAR needs to define a new partnerships strategy that is more open and collaborative, in which the CGIAR can fully use its comparative advantage to build on the synergies and capabilities of potential partners.
5. This strategy must start by recognizing the existing problems and must fully assume the proposed mission, strategic objectives, and core functions, as well as the opportunities and challenges that emerge from the new global context.

Chapter 3 CGIAR partnerships: The main issues

3.1 Why partnerships and for what

Globalization, the food crisis, the growing complexity of science, and the emergence of new and diverse social actors involved in R&D activities define a new and more complex international context for the CGIAR. It is quite clear than in this context the need for successful partnerships becomes more crucial and, at the same time, more demanding. Responding to these demands requires substantial changes to the CGIAR business model; it needs to become more open and inclusive, to allocate resources to priority programs, to embed the notion of networking in the operational structure, and to place development impacts and outcomes as its ultimate objective.

The analysis in the previous chapter suggests that, although partnerships are considered important and desirable by all participants, the results have been less than satisfactory from the perspective of the CGIAR and also from the partners themselves.

Partnerships must be an essential element of the new CGIAR. In defining the objectives and purposes of partnerships, WG2 proposes the following:

1. Acquiring mutual support for positioning the product (in this case, agricultural research for development) in the wider market (in this case, society and policy-makers)
2. Gaining social and political legitimacy for resource mobilization and access to beneficiaries
3. Internalizing the perspective and knowledge of partners in the definition of strategic objectives and main priorities in order to bring greater relevance to the work
4. Achieving greater efficiency in attaining the desired objectives through collaborative work that generates a critical mass of scientists, optimizes synergies, integrates complementary capacities, and improves information sharing and knowledge access
5. Mobilizing greater financial resources by accessing sources that are available to only one of the partners
6. Augmenting the potential reach to beneficiaries by accessing relationships and location advantages of one of the partners

7. Increasing the strategic flexibility and scale of activities with a potential gain in economies of scale and response capacity
8. Generating an institutional culture of openness to cultural, ethnic, and gender diversity
9. Strengthening behavioral habits and operational procedures that emphasize sharing and a strong commitment to social and development objectives
10. Making a contribution to the construction of social and institutional networks that are dedicated to the public good and to socioeconomic development.

This process requires the development of an appropriate institutional culture and structures, as well as operational policies that facilitate and promote effective partnerships.

WG2 has analyzed the accumulated experience on partnerships, lessons learned as recorded in several documents, and the opinions and perspectives that can be derived from the recent CGIAR surveys and consultation processes with partners (see Chapter 2). By contrasting the results of this analysis with the possible contributions of partnerships, we have identified ten areas in which there are substantial shortcomings or that require new actions as a consequence of the context outlined above.

3.2 Moving forward in partnerships

In order to improve the quality and impact of partnerships and to move forward in the construction of a global research and innovation capacity with the potential for high development impacts, the CGIAR needs to define new modes of operation and appropriate institutional mechanisms. The CGIAR must:

1. **Reposition itself as an active participant in the global development dialogue** by raising awareness, providing inputs to such discussions, and linking research contributions and needs to development issues and outcomes.
2. **Recognize itself as an integral part of a global agricultural system** with a growing number of institutional actors that interact in many different ways. The CGIAR has a unique role to play within this system and needs to develop an explicit effort to mobilize and support it. It needs mechanisms at the system level to ensure the participation of developing country stakeholders, including partners, in the definition of its work plan through open and equitable dialogue and action.

3. **Strengthen the regional dimension**, especially in regards to the selection of priorities and problems to be resolved. This will imply a closer collaboration with regional institutions and fora and with international programs that are being shaped by local demands and clear addition of value.
4. **Fulfill its role as a research for development organization**, which implies that most of its research activities need to respond to clearly identified development problems. The CGIAR must take responsibility for developing the necessary partnerships with organizations that can contribute to the dissemination and uptake of its research results in order to improve the likelihood of achieving outcomes.
5. **Recognize itself as a research and knowledge management organization** that contributes to agricultural innovation. One implication of this perspective is that not all of its activities need to be research only. In some cases, the main role of the CGIAR may be to mobilize and apply knowledge and technologies that have been developed by other organizations. This implies a new type of partnership with research organizations all over the world, including the private sector.
6. **Develop an institutional culture that values partnerships.** Partnerships are essential for achieving and sustaining development impact. However, they may carry considerable costs, which need to be recognized as part of the real cost of doing agricultural research for development. They require an explicit policy of appropriate institutional and personal incentives and appropriate funding mechanisms, as well as a recognition of the role and value of partners in achieving efficiency in research and effectiveness in development impacts.
7. **Build new and stronger relationships** with private sector organizations, the international CSOs, new private foundations, and the strengthened research organizations of some developing countries. (The CGIAR has a long and fruitful working experience with the NARIs and local NGOs, but there is less experience accumulated in the CGIAR system in regards to the four other partners.) Establishing overall frameworks would save time and effort.
8. **Identify and develop new partnerships for policy and institutional innovation.** Although the CGIAR has always been involved in policy advice, the inclusion of policy as one of the main strategic objectives and the additional emphasis on institutional change that is not restricted to research institutions implies new responsibilities, as well as the need for new types of partnerships

that do not respond to the logic and culture of traditional ones. The CGIAR needs to identify these new partners and learn to work with them.

9. **Identify and develop partnerships with organizations outside the agricultural research system** that generate knowledge and technologies for agricultural innovation. Medicine and information and communications technologies are examples of areas of research and technology development that are relevant for agriculture. In addition, in a growing number of countries, research and innovation fall within the purview of ministries of science or councils that have a large influence on the allocation of research budgets and the definition of national research priorities.
10. **Enable institutions through capacity building**, which has been included as an explicit function of the CGIAR. This creates new markers of performance whereby the CGIAR is assessed in terms of its value to other institutions as a source of technical knowledge. This requires further consideration on how this function will be developed, to what extent and depth, with which partners and within which business model.

In the following sections, we examine these issues and areas of work in detail and make recommendations based on these analyses.

Chapter 4 Achieving successful partnerships

4.1 Repositioning the CGIAR in the development dialogue

CGIAR's main purpose is to contribute to agricultural development through research and knowledge management. This role, however, must be integrated with the wider development goals and activities performed by a large constituency made up by the countries themselves, the international organizations that support their development efforts, and a large variety of other social actors. For this reason, the vision and strategic objectives proposed by WG1 correctly made an explicit reference to the Millennium Development Goals as the formal expression of the vision, aspirations, and commitments for collective action made by the members of the development community.

Although it is a small player in this wide community, the CGIAR is the main international organization with a clear mandate and essential capacities to work in the field of research for development. It needs to reposition itself in the agricultural development community and actively participate in the international dialogue and awareness-raising activities proposed by WG1 as a new core function of the CGIAR. This dialogue could emphasize issues such as: a) the potential contribution of research and innovation to development, b) the needs of international and national agricultural research, and c) options and opportunities in terms of the international agricultural research agenda.

In order to be able to play a strengthened role in the international dialogue, the CGIAR needs to introduce some new elements in the area of partnerships and structure.

First, more vigorous partnerships are needed with the international organizations and, in particular, the intergovernmental organizations that have a mandate that includes agricultural development (FAO, FIDA, UNEP, and others). In addition, new and stronger partnerships are necessary with international CSOs, research organizations and NARS in order to join forces to reposition the agricultural research agenda within the broader discussions on development.

Second, the CGIAR needs to assign this responsibility to someone within the organization that has the authority and the means to represent the CGIAR as a whole. **WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board of the performance contract model proposed by WG3; alternatively, in**

the other two models that are being considered the responsibility would be assigned to the Chair of the equivalent boards. Furthermore, to fulfil this responsibility, the Chair will need the following:

- Financial and human resources to study the problems and develop proposals
- To develop strong coordination mechanisms with other areas of the CGIAR, in particular with the Chair and the Director of the Corporate Office
- To consult and interact with CGIAR members who need to participate in articulating a clear global dialogue strategy
- To consult and interact with other stakeholders and partners – especially with GFAR and the global and regional ARD partners brought together under the GFAR mechanism – so that proposals are transparent regarding their positions on the issues.

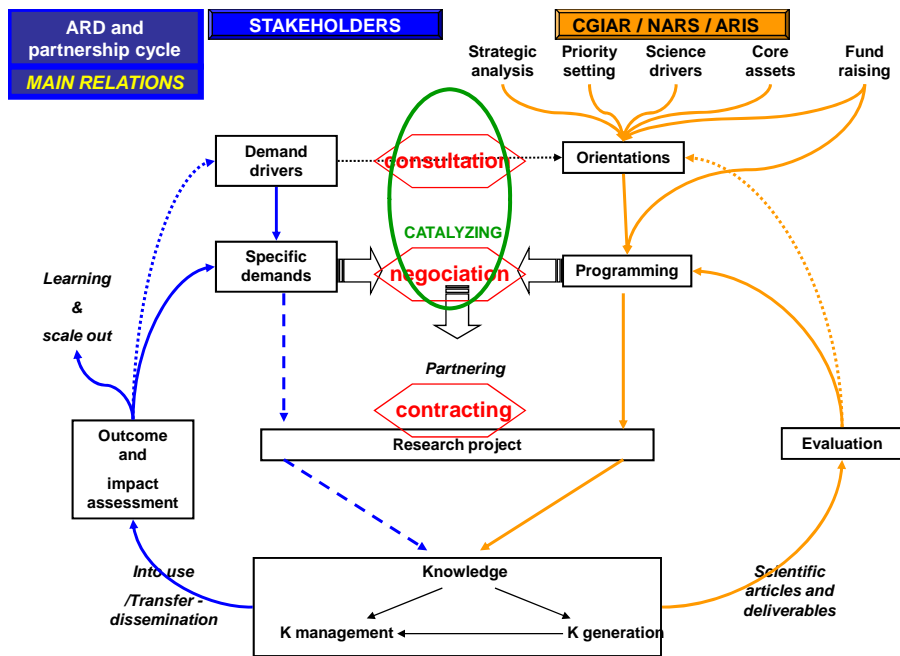
4.2 The need for stakeholder consultation

The CGIAR is part of a global system with many diverse partners. Its relative size of about 4% of total investment is small, but large in terms of potential impact if the appropriate partnerships are established.

Clear and relevant development objectives and targets must be identified at the system level, as well as at the Center and program levels, through appropriate institutional mechanisms that allow for constructive and effective stakeholder participation in the definition of the CGIAR's strategic objectives and higher order priorities. Stakeholders also should have a say in the periodic assessment of the relevance and impact of the CGIAR and its work. The same is true at the level of the Centers and programs. Such consultation should be implemented according to international standards and best practices.

Figure 1 presents, in a schematic form, the agricultural research for development (ARD) cycle and emphasizes three points in the process at which the participation of stakeholders is especially important. (This does not imply that these are the only points at which stakeholders may participate or that they are necessary in all cases, nor is it meant to have normative significance.)

Figure 1. ARD cycle



The figure emphasizes the interrelations that make up the cycle and the entry points where stakeholders should play – in most cases – an explicit and important role:

- Consultation on defining the general orientation and demand drivers
- Partnerships for research and knowledge generation projects, and
- Transfer and dissemination.

Points b and c will be discussed in Chapter 4.3.

4.2.1 Stakeholder consultation at the system level

The process of defining an overarching strategy for the CGIAR and for identifying the most appropriate demand drivers requires widespread consultation with stakeholders. The CGIAR has traditionally organized a broad range of activities designed to satisfy this need; GFAR was created by the CGIAR a number of years ago as the primary consultation mechanism at the system level.

WG2 has found that the mechanism as it now exists is insufficient for adequate interaction with the stakeholders and to fully integrate their views into the CGIAR's programming system. The main weaknesses are the following:

- Participation of developing countries at the AGM and in other governance bodies has been weak and their voices are not strongly heard, in part due to the complex decision-making processes in the CGIAR. Those that participate tend to represent the larger and more powerful developing countries.
- Consultation requires continuity, appropriate preparation, technical backstopping and strong follow-up activities in order to internalize the recommendations, perceptions, and lessons learned from the interaction with stakeholders and partners.
- Non-member participants should not be hand picked or selected by the CGIAR; they must be truly representative of the constituencies that are important for the CGIAR. This is essential not only for assuring the interest and motivation of stakeholders but also to give the process political legitimacy.

The process could be organized within the following general phases:

1. The development of regional agricultural research strategies identified through the regional fora. These strategies should build on existing national strategies whenever possible.
2. An interregional meeting.
3. A final proposal, prepared and discussed with the appropriate institutional locus of the CGIAR (Secretariat, Science Council, and the System Board included in Model 3 proposed by WG3).
4. Discussion at the AGM between the CGIAR and representatives of the global forum.

WG2 considers GFAR to be the most appropriate institutional mechanism to organize this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders (in particular the private sector and the CSOs) and the availability of sufficient resources, GFAR needs to be reorganized and strengthened.

GFAR has not been in a position to organize the process as described for a number of reasons:

- GFAR has not been provided with the necessary human, financial and institutional resources to be able to organize the consultation process in an effective manner.
- GFAR is dominated by the NARIs' perspective, while other important actors are not sufficiently represented or do not participate as needed.
- The relationship and interaction with the regional fora and regional organizations is not strong enough to fully incorporate the regional dimension in the strategic planning process.

In order to fulfil this function, GFAR must resolve its present limitations. This includes:

- The explicit recognition by CGIAR members and the governance structure that GFAR is the official institutional mechanism by which the stakeholders are consulted in regards to the strategic directions and priorities that will guide CGIAR's work
- The construction of necessary mechanisms to facilitate the participation of all the relevant stakeholders
- The provision of the necessary human and financial resources to allow GFAR to implement the assigned responsibilities.

Strengthening GFAR will require the active participation and support of the CGIAR and other GFAR partners. The CGIAR, through the Secretariat, (or whatever unit replaces it in the new structure) will need to:

1. Recognize GFAR as a forum for mechanisms being proactively used at global and regional levels by the CGIAR and its Centers for consultation on strategic guidelines, priorities, and research for development demands and needs
2. Ensure that existing global and regional platforms, including GFAR, participate in an appropriate manner in internal processes leading to strategic orientations, selection of priorities, global programs, etc.
3. Take responsibility for the strengthening of GFAR, including a stronger participation of existing sub-regional platforms in CSOs, NGOs, and the private sector.

4.2.2 Internalizing the regional dimension

The Technical Advisory Committee and the Science Council have successively analyzed on various occasions how the CGIAR should deal with the regional dimension, particularly in the context of priority and strategy. The issue, however, has not really been formally recognized by the group. There is ample evidence that the CGIAR has approached this issue with great caution and has not clearly included it in its mode of operation, for two possible reasons. First, CGIAR work has been dominated by the concept that its main responsibility is the production of global public goods. Second, the belief (and the reality until very recently) that regional institutions operating in agricultural research were not effective enough to engage in a fruitful and efficient dialogue.

The current CGIAR includes a series of global and/or regional research networks with strong links to national agricultural and innovation systems, although these networks have resulted in new ways of supporting global research for development programs and effective collective actions. The revised CGIAR strategy will benefit from more inclusive processes and research tools involving advanced research institutions and NARS at regional and sub-regional levels. As described by WG1, the impact pathways through which the CGIAR will contribute to achieving its vision necessitate complementary actions by partners. A new type of dialogue with regional organizations, in particular, would help the CGIAR in rethinking, better prioritizing, and implementing its international research agenda. Up to now, the regional dimension was timidly incorporated in CGIAR governance through geographical representation of the world's different regions (or sub-regions) at different levels – CGIAR Executive Council, Science Council, International Agricultural Research Centers Board – but has not been used as an operational tool of the system.

In a number of regions, for example Latin America and Sub Saharan Africa, regional and sub-regional organizations have gained in strength considerably and have reached a level where they constitute much more efficient and effective institutions, better equipped and empowered by NARS to represent their views and interests in addressing research and development priorities. These views, complemented with those of other stakeholders including the private sector and CSOs, need to be internalized in the consultative process.

Some possible actions

Dialoguing with regional organizations and sub-regional organizations in an attempt to

align its programs with relevant regional/national priorities constitutes a valuable objective for the CGIAR. On one hand, its mandate is to deliver international public goods that are also relevant to national situations; on the other hand, the CGIAR obviously cannot adopt a country-by-country approach to ensure continued national/local relevance while addressing global issues. With agricultural development being largely location-specific, and the need to include this dimension in the international agricultural research agenda, the CGIAR certainly has much to gain in deciding to use the channels provided by regional and sub-regional organizations as a single avenue to coordinate its activities with NARS in strategy formulation, priority definition, and program implementation. Other avenues are also needed for nurturing partnership relations with other constituencies and organizations.

From an operational point of view, consideration of the regional dimension requires three major actions:

1. Mechanisms must be developed that allow for the regional dimension to be factored in, through the participation of appropriate partners, and aligned with regional political mechanisms in the planning and programming processes within the CGIAR, as has been proposed in the previous section. This suggestion is consistent with the proposals articulated by the last two system-wide external reviews, the CDMT, and more recently the Task Force on programmatic and structural alignment in SSA.
2. The regional dimension must be incorporated in the composition of GFAR and should be strengthened its repositioning, as suggested in Chapter 4.2.1. One issue to be resolved is the weak representation of non-public institutions and organizations in the existing regional mechanisms. The absence of these stakeholders limits the value of the interaction and the legitimacy and inclusiveness of the regional strategic plans.
3. The structure and mandate of the CGIAR Centers must take into account a strengthened regional mandate focus, a subject that is being discussed by WG3.

4.2.3 Centers and programs

The next step is to identify how these general orientations can be translated into actual research programs. This requires a discussion between appropriate partners and CGIAR research decision-makers and can be carried out in different ways: at a regional level, at

the Center level, or, in the case of the 'programmatic' options of a new governance model, at a program level (either global or thematic definition).

At a regional level, the purpose is to determine the concrete goals and objectives of CGIAR research programs and to establish what they require in terms of resource allocation and fundraising. Stakeholders and scientists enter into a process of discussion – and eventually of negotiation – on the research outputs that are expected to meet both the demand and the scientific orientations selected at the previous (higher, i.e. more general) level. 'Stakeholders' here can include farmers' organizations, professional organizations, consumers' organizations and other CSOs, private sector, public services and ministries, research institutions (national and regional), and universities.

The goal is to transform the global 'macro-objectives' into operational scientific and technical objectives with the expected outputs and broad resource allocation, including the human skills required. It is at this level that calls for proposals can be prepared.

From an operational point of view one can consider:

- **Elaborating the targets and objectives for the medium-term plans (or what will replace them) of the CGIAR Centers:** Establishing these objectives in discussion with stakeholders will ensure that they are designed in a way that allows not only for inclusiveness in the research process but also an effective appropriation of the results as uptakes or inputs by the actors that will scale up and scale out the resulting technologies and institutional progresses. Although the Centers have always kept the applicability of their research in the forefront of their strategic thinking, such a process negotiated with the stakeholders will be a major step forward in the inclusiveness and capacity building of these stakeholders.

All major orientations and programs set up by a Center should go through a 'partnership quality process' to ensure that stakeholders are involved, even if the final decision remains the sole responsibility of the Center.

- **Global (or thematic) programs addressing global (or thematic) issues** should follow the same path, either through a Center selected to carry out the work at the system level or through a process similar to the one followed by Challenge Programs. However, it is the conviction of WG2 that this programmatic approach should draw on the lessons of the heavy transaction costs and operational limitations met until now by the Challenge Program process. From a partnership point of view, the selection of these global programs should go

through a mechanism of consultation convened by GFAR, as discussed in the previous section.

4.3 The CGIAR as a research for development and knowledge management organization

The CGIAR is part of a continuum of agencies concerned with the generation and management of agricultural knowledge for development in a complex system of inter-linked and inter-related knowledge-generation and management institutions. The realization and harnessing of this diversity of knowledge should enable global agriculture to better sustain growing needs and populations. The challenge among knowledge generators and managers at all levels is often the absence of clear and proactive strategies for working in partnership, while keeping focused on the ultimate agricultural knowledge users – the producers.

Three main questions are addressed in this section:

1. What are the main roles and responsibilities of the CGIAR in the global agricultural innovation process and how should or could it relate to other agencies through partnerships to improve its effectiveness?
2. How do these responsibilities and partnerships vary under different institutional conditions, as determined by the relative development level of the countries involved?
3. What requirements need to be met from an organizational point of view to make this perspective and the needed partnerships possible?

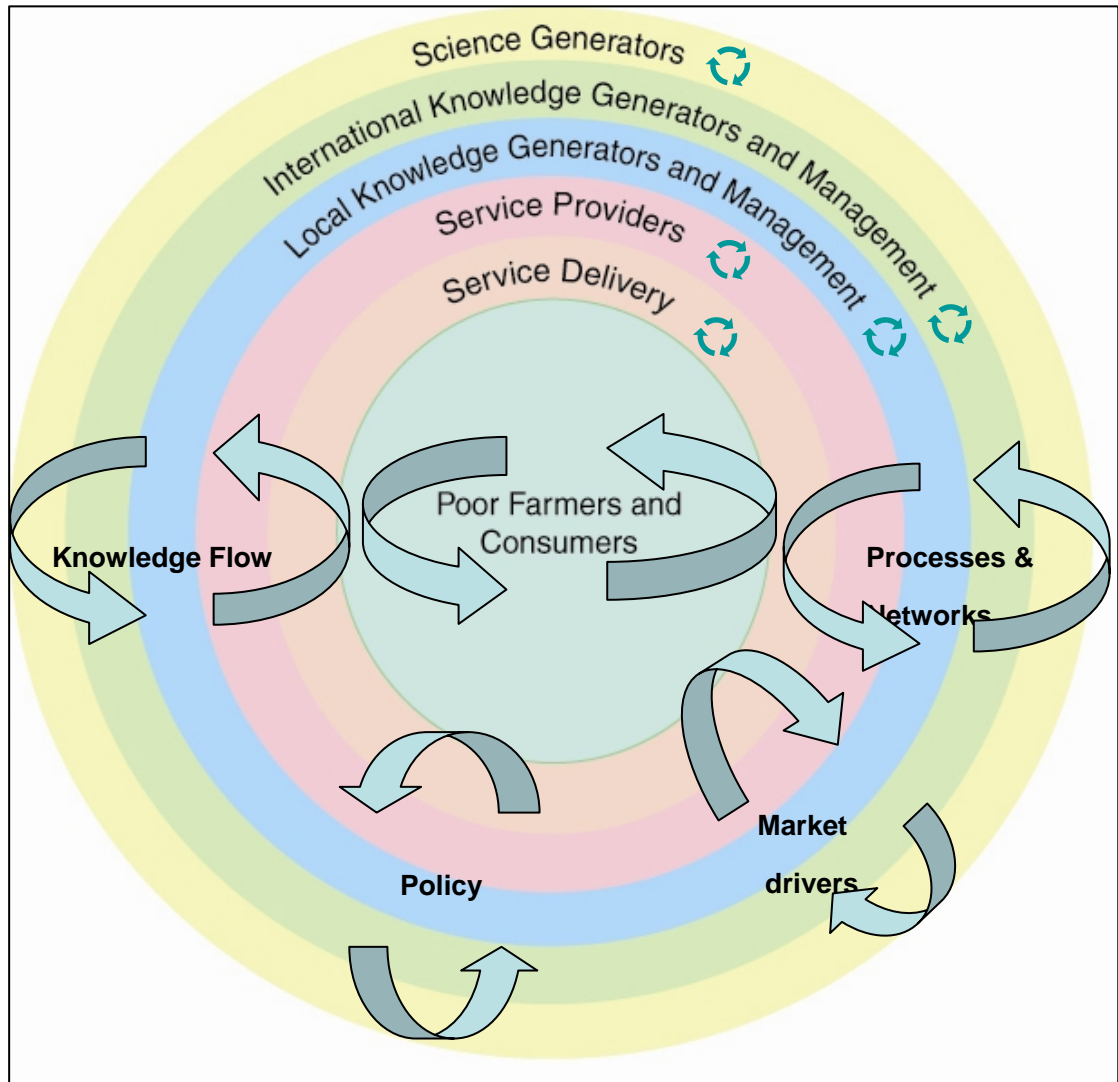
4.3.1 The global agricultural research for development system

The ARD system proposed in this document places poor producers (farmers, pastoralists, fisher folk, foresters) and poor consumers at the center as both the drivers of demand for poverty-focused research (whose needs inform the focus and magnitude of the deliberations of others in the system) and as the ultimate beneficiaries of research for development processes.

Key partners in the global ARD system are shown schematically in Figure 2, which illustrates that drivers and processes of knowledge generation operate at all the various levels of agricultural knowledge generation and management. This establishes the role

of international agricultural research (principally the CGIAR) in the overall frame, but also recognizes that innovation happens among all stakeholders and that working linkages can and do occur between any of the partners concerned. Turning innovation into impacts on development requires the actions and interactions of multiple partners, but there is no assumption that linkage between partners requires simultaneous involvement of all.

Figure 2. Innovation process and institutional participants



Circular arrows denote cycles of learning

Six levels have been identified for purposes of the change management process:

Agricultural producers

The system recognizes that farmers are themselves innovators and have been for generations, developing and adapting technologies to fit their particular agro-ecosystems and circumstances. They work in a continually risk-aware environment and trust interventions founded on personal and communal knowledge.

Service delivery

Production processes are greatly enhanced (at times in a revolutionary way) by access to external knowledge and associated inputs that enable change. Knowledge needs are met by a variety of external information sources directly by connection through 'service delivery' groups (farmer associations, community organizations, input retailers, extension officers, etc.) serving the needs of a wider community. These groups create an interface between knowledge that is gained through science and knowledge from the community, acting as 'innovation brokers'.

Service providers

Service delivery groups are in turn supported by wider networks operating at national or regional scale. These include larger NGOs, national farmer's organizations, support services such as plant and animal clinics, and regulatory bodies, thereby creating the frame and mechanism for knowledge flow. These bodies are often focused on development agendas that make use of research, rather than doing research *per se*.

Local knowledge generators and management

National/local agricultural research/innovation systems provide the framework by which innovation is institutionalized within a country to address national needs. They include the public-funded national agricultural research institutions and universities, private enterprises that commission and undertake research, and those charged with creating national policies, frameworks, and sustainable. The framework has changed in recent years, with increased focus on commercially supplied technologies, while the poorest remain dependent on the public and civil society sector to enable access to many recent advances. Although investment in these systems in the least developed countries is currently well below that required, they are of fundamental significance in ensuring national ownership of agendas and alignment with national policies, as well as in ensuring post-project sustainability and scale-out of approaches.

At the regional level, cross-learning and exchange of knowledge can confer significant advantages in efficiency and returns on research investment. Regional research fora and regional and sub-regional organizations provide an institutionalized basis through which

the diverse partners that make up national systems can voice their needs and demands for research, as discussed in Chapter 4.2.

International knowledge generators and management

This group provides a rapid mechanism for applying knowledge from one region to another, as was seen in the case of the Green Revolution. The CGIAR Centers (operating across regions or internationally) fall under this category. Other development-focused research organizations or universities, such as the Centre de coopération internationale en recherche agronomique pour le développement (CIRAD), the Institut de Recherche pour le développement (IRD), or Wageningen University (WUR) are also important. Although their main strength is to generate knowledge to address specific needs emerging from specific priorities, they also are in a position to harness and manage knowledge from other knowledge generators for agricultural development, and they have the opportunity and capability to pull in new ideas from external technology generators (in and beyond agriculture from science and technology generators) and to make these accessible to the agricultural sector in the form of basic or targeted applied research.

Science generators

The knowledge generators of international science in the broad sense may not have a focus on international agricultural development at all, but develop technologies that can bring benefit in development contexts. Examples include advanced research institutions in agriculture, IT companies, and medical research. Many of these are now privately funded commercial operations for which the CGIAR can provide an essential bridge to development opportunities and ultimately to new and sustainable markets as an incentive to focus on development needs.

These partners each have different constituencies, and each has its own cycles of innovation. It is important to emphasize that while this diagram defines relative niches and roles within the system, the 'layers' of this system do not have tangible boundaries and players in one context may link directly with many or all of the others. What is important is that the process is driven from the center (i.e. the development context) outwards, so that each layer adds value to the next, all contributing to meeting the needs of the poor.

A number of partnership mechanisms cut across these relationships and link these actors in the development of demand and the implementation of ARD:

- Knowledge flow needs to occur both from science to producers (and consumers) and from wider society to science. This cross-learning is essential to truly sustainable innovation, as this requires the perspective and knowledge of multiple actors.
- Policies created in regard to agriculture impact on the strengths and weaknesses of each type of player and determine the shape of their interactions.
- Markets of all forms (e.g. agricultural input and output chains, consumer markets, and research investment) shape the demands of agricultural innovation, as well as who has control of knowledge and who stands to gain.
- Processes and networks serve to cross-link different players in the system and provide the mechanisms and opportunities for disparate partners to interact.

Working against the ability of any of these players to connect are: real challenges of institutional failures, negative policies, non-conducive environments, distorted funding arrangements, and unequal power relationships. These are the constraints that need to be overcome to achieve successful partnership for development.

4.3.2 Implications for the CGIAR change process and future partnerships

The fundamental shift here is toward a system of knowledge generation, management, and use that is centered on the explicit development needs of the poor. *The role of the CGIAR thus becomes clearly defined as: responding specifically to the needs of the poor and those who cannot be reached or who are excluded by conventional established markets (expressed in national poverty reduction strategies and via partners directly connected with their needs), generating and managing its knowledge in the wider context of development, and recognizing and adding value to the roles, objectives and needs of other players in the system.* The CGIAR then becomes a torch bearer for the poor among international knowledge generators and managers whose objectives are focused elsewhere.

This does not negate the generally accepted principle in the CGIAR that most of its work concentrates on the production of public goods. It does imply, however, a few practical qualifications:

- The public goods to be produced will be defined, in most cases, in response to clearly identified problems and articulated demands.

- In some cases, the public goods will have a definite regional dimension.
- In most cases, the public goods will apply to the more specific conditions of poor smallholders and will be made available to them. Thus, they are public goods that apply mainly – or are useful to – potential users with special characteristics.

Furthermore, we argue that the CGIAR must assume responsibilities for organizing/catalyzing the necessary partnerships to increase the likelihood that the obtained public goods will be translated to concrete technologies through adaptive research, that they will be produced and disseminated, and that impacts and outcomes will be achieved.

This fundamentally shapes the nature of partnerships entailed:

- Research must align with the development processes implemented by countries and regions themselves. Research support and research activities should take greater account of prioritization of agricultural development within poverty reduction strategies and work to support local institutions in their influencing these strategies where required.
- Innovative partnerships should be formed in advance of funds being controlled by any one agency, so that equitable partnerships result, based on mutual understanding and perceived comparative advantages in different sectors.
- Principles of subsidiarity prevail. International research for development is driven by the common needs and contexts of a number of countries or regions. It has no role and no justification in replacing, displacing, or competing with national capabilities.

The Fund must support the research for development processes of the CGIAR and its partners to the point and scale at which, according to the impact hypothesis, the development partners become themselves directly responsible and accountable for resourcing and scaling research outputs up and out into development outcomes, according to ex-ante concepts of partnership.

The principles of development funding, as encapsulated in the Paris Declaration, place strong emphasis on subsidiarity and ownership of national development programs by the countries themselves. Research under the CGIAR should reflect and enhance these principles. Its purpose is to generate international public goods that add value to what can be achieved nationally and regionally and to respond to demands from key partners in the countries concerned. It can do much to constructively influence the development

agenda, recognizing that **fostering the development of institutional capabilities that can catalyze, sustain, and disseminate change on a national scale is every bit as important in development terms as is producing a successful research outcome.**

This means moving away from agendas based on research project outputs and towards the role these play in achieving development impact, of itself requiring the development of local capabilities. This is illustrated by the Green Revolution itself; the yield gains achieved depended on a combination of international research thinking, inspired champions, and the conversion of these processes into development impacts by commitment to creation of an enabling environment (policy, institutions, finance) by the governments concerned.

Effective and equitable partnership is thus identified as a key factor for the success of the CGIAR in development terms. A corollary of this is that the system needs to develop markers of success in developing abilities in others to carry research outcomes forward into development, rather than seeking to document direct impact with farmers. The latter approach may appear good for a project, but leaves little in terms of sustainable development.

The successful generation, management, and access to knowledge for development requires all of these parties to be strong and effective. In reality, the role of the CGIAR varies between that of research partner and capacity development partner. However, it should resist the temptation of subsuming the role of the NARS as this runs counter to development sustainability.

CGIAR interfaces with many partners who operate internationally, nationally, and at the community level. From the above, rather than itself acting directly in each of these roles, the system needs to identify capacity needs in advance of research for development programs and work to ensure these are met from whichever mechanism is appropriate. This greatly increases the likelihood of successful development outcomes, in addition to research outputs.

4.3.3 The need to adapt to different institutional contexts

Recognizing the strengths and weaknesses of the ARD system is an essential part of ensuring appropriate positioning of CGIAR's research efforts. The following spider charts illustrate two generic scenarios among the partners above and their implications for the types of partnerships required of the CGIAR. Partnership is highly context-specific and

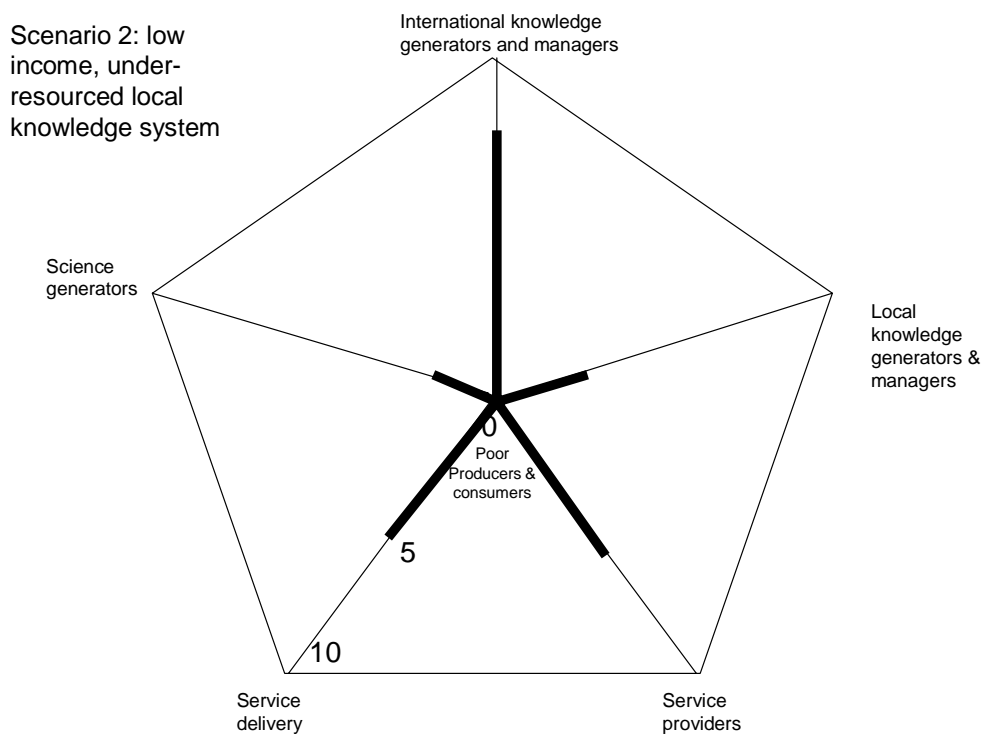
this means that the CGIAR has to adopt many dimensions in its own role and that of partners, and must agree on the basis for these relationships in advance of programs.

Interpreting the diagrams

In each case, partners are described in terms of their ability to generate and manage knowledge for development in that context and therefore help deliver change.

Successful systems should have strength (high scores) at all levels:

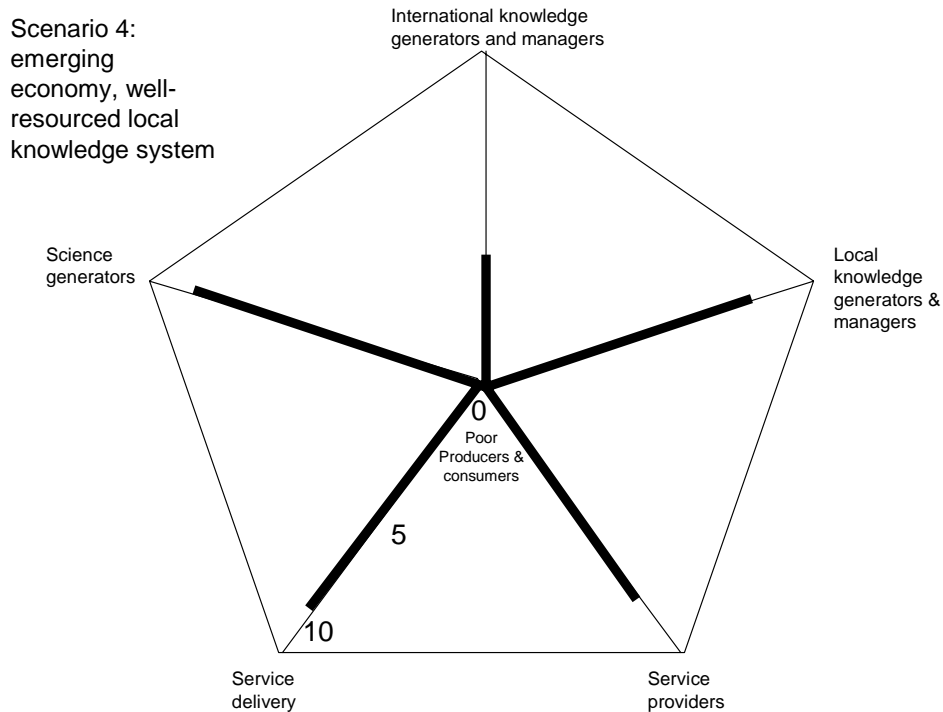
Least developed countries: A lack of investment and capacity in national/local knowledge systems creates real blockages to the generation, access, and use of knowledge in development. This is not just a question of low investment due to the relative size of economy, but also of the proportion of available funds devoted to agricultural research. Achieving sustainable development outcomes that recognize national sovereignty and build from the communities concerned requires international partners to support and strengthen – not displace or replace – these national systems. Effective ARD demands that alongside support and capacity building there are clear strategies by which research outcomes from international work are adapted into national systems through partners who are themselves resourced to deliver these to the target groups.



The value system of international agricultural research needs to be adjusted to take account of these local contextual realities and needs. *The value of the CGIAR should be seen not just in research quality but also in how it has helped to deliver sustainable development outcomes through its partners.* This calls for a fundamental shift in the present markers of CGIAR research effectiveness from the number of farmers reached directly by the CGIAR to effective partnerships, and these must be measured in terms of enhanced capacity to receive, re-package (where necessary), and deliver CGIAR research outputs to poor producers.

Emerging economies have invested in research and usually have strong national research systems. The CGIAR here should play the role of an equal partner, brokering knowledge (as well as safeguarding quality) between knowledge generators, creating opportunities for its partners to access international knowledge, and harnessing knowledge for sharing with less privileged partners. National systems can here work directly with others as they may choose. However, the maintenance of international resources and international mobilization of research remain key functions here. Strong local knowledge generation and management systems create locally appropriate

technologies and are able to draw in ideas from the international pool, either directly from science generators or via the international research system. Such systems are also able to readily contribute technologies out to the wider international scientific knowledge pool and act in international development roles themselves.



4.3.4 Governance and funding implications

This way of seeing the role of the CGIAR in the innovative process as a research for development organization has profound implications for partnerships. In order to facilitate the establishment of the needed partnerships, it is important for procedures and funding mechanisms to allow the joint funding of partners.

In order to achieve this, the following procedures would be necessary:

1. **The CGIAR decides that in order to be eligible for funding (by the International Fund proposed by WG4) a significant proportion of projects and programs – those intended to deliver development impact within the next decade – must include in their design the necessary**

- partnerships for research collaboration, dissemination, and the initial stages of uptake.**
- 2. The Fund explicitly allocates funds to activities to be developed by relevant partners that have committed their participation to a particular project or program, including those that are involved in dissemination and early uptake up to the point and scale at which the development partners become themselves directly responsible.** In these partnerships, the CGIAR's role and responsibilities and the assignment of resources should be consistent with the project's institutional context.
 - 3. The Fund accepts that, based on comparative advantages, the management of the approved program or project be made by CGIAR Centers or other participating institutions.**
 - 4. The Fund accepts to fund research initiatives by other research institutions within CGIAR initiatives and priorities, but recognizes that a fair implementation of this recommendation would require that the CGIAR Centers receive predetermined core funding in order to position themselves on an equal basis with other potential competitors.**

It is important to note that a decisive advantage of point (2) above is that in applying this recommendation, it will be possible for the International Fund to attract existing pledges and future restricted funding, which in most cases is earmarked to applied research and/or development work for that same purpose, but in relation to research activities that have been identified as priorities within the CGIAR. In addition the CGIAR could play a role in articulating the activities developed by itself and its partners with bilateral resources that could be channeled directly to the partners within overall agreed activities.

Chapter 5 **Towards a partnerships strategy**

In the previous chapter, we analyzed the three main areas of relationship with non-member stakeholders and those who would characterize a new approach to partnerships. In this chapter, we focus on the operational components of an emerging partnerships policy.

5.1 Some general principles

Four areas define the partnership process, each requiring different resources, skills, and institutional capacities:

1. Identifying and evaluating partnership opportunities
2. Structuring individual partnerships
3. Managing the partnership, and
4. Learning from partnership experiences to improve over time.

Partnership opportunities will arise from a variety of processes. Specific priorities, goals, or needs may be articulated at the Center level, the system level, by donors, or from other sources. The CGIAR Centers will often be a part of an agenda-setting process (while not leading it), identifying where the CGIAR can add value. Partners can then be selected based on their ability to effectively achieve the goals. It should be recognized that partnerships will often involve multiple partners from different sectors – public, private, civil society, etc. Mechanisms for selecting goals will depend on both direct and indirect expression of needs, as well as on hypotheses on potential impact in alleviating poverty. Then, an evaluation of each particular partnership must then be made that considers the costs and benefits at several levels.

The skills and resources of CGIAR Centers are currently insufficient for effectively participating in agenda-setting, identifying partnership opportunities, and evaluating partnerships. There needs to be both an increase in the capacity of the Centers and in their ability to access external resources. Within each Center, there is a need for greater product delivery discipline and to focus on output objectives, as well as the ability to identify specifically where the Center's work can add value when complemented by other partners. The skills involved in the evaluation of partnerships are likely to be found externally. In addition, there is a role for Center Boards to evaluate certain aspects of

partnerships, including their alignment within the broader objectives of the CGIAR system.

The second stage in the partnership process involves the **structuring of individual partnerships**. This will differ case-by-case and will require project-specific solutions to many issues including, for example, intellectual property, confidentiality, and governance of the partnership, as well as the definition of roles, rights, and responsibilities. The skills to structure partnerships are most efficiently accessed externally, at least in the short term. It is not efficient to create this capacity at the Center level.

Each partner will bring a set of specific requirements (commitment to public goods, ownership of results, and management of intellectual property, etc.) and these needs must be considered when establishing the partnership. A structure that has proven to be effective for involvement of the private sector is the public-private partnership, which, if well constituted, can ensure the needs of all partners are met.

The third stage outlined here involves the **management of partnerships over time**. The responsibility for managing a partnership from start to finish must be clearly defined and assigned at the start of the partnership. However, the CGIAR Centers will benefit from increased capacity in this area. For example, the private sector will often not be willing to commit the resources needed for this level of project management. Partnership management will extend beyond pure project management and include conflict resolution processes, the allocation of resources, ongoing management of the budget, decisions on intellectual property that arise during the project, termination issues, etc. Good partnership management will involve investment in capacities at the Center level, as well as supporting the Centers where they play a role in steering committee management.

Lastly, the effective use of partnerships within the CGIAR system will involve **mechanisms for learning** as well as incentives for improvement. Currently, potential lessons learned are not recorded, but investment in this area will allow the entire system to benefit from Centers' experiences. To support learning, processes must be transparent (however, this does not need to restrict the ability of Centers meet their partners' confidentiality requirements). While donors will demand monitoring and evaluation in terms of delivery on targets, additional system-wide evaluations can be beneficial. These skills, and the functions discussed here, are very different from the case-by-case structuring of partnerships. The capacity to support learning and create incentives for improvement would be most efficiently created at the system level; however, incentives for improvement will need to be internalized at the Center level.

5.2 Operational guidelines

At the Center and program levels, WG2 recognizes the diversity of needs, programs, and operational contexts. Rather than being prescriptive, WG2 proposes some operational guidelines that complement the general principles outlined in the previous section and that can ensure mutual learning and added value in practical and concrete partnerships.

1. Innovation and partnerships are complex social processes. Building capacity, experience, and lessons learned are all major parts of the process.
2. Identity and a sense of belonging are vital in creating a good 'community of practice'. Attention must be given to how this may be achieved.
3. Partnerships must be strategic, in the sense that we need to understand what we want from the partner and what the prospective partner might want from us. Realistic expectations among all partners should be articulated and agreed upon.
4. For this reason, understanding the cycle of research programming and identifying the moments for interaction with partners is useful. These include, at the very least, the establishment of mechanisms to discuss, negotiate, and agree with other partners on:
 - The specific reasons for the collaboration
 - The objective of intended outcomes
 - The specific roles and contributions of each partners including the CGIAR
 - The governance and management of the partnership
 - The way in which each partner will be accountable, how the appropriate codes of conduct are specified, and how agreements will be enforced, and
 - The way in which the rules of engagement and prior agreements can be changed as the partnership and its work develops.

In the emerging global agricultural research and knowledge system, these properties are specific to the partnerships that emerge and are agreed at the time of creation of the partnership; they should not be predefined by any one single partner.

1. Partners in the region must recognize that the proposed strategies are aligned with their higher agricultural development priorities and, when possible, relate to activities initiated by partners.

2. Pathways by which development impacts will be attained should be clearly defined.
3. Not all programs/projects need to include players who fill all potential roles from the farmer's field along the continuum to the basic research institutes. But all partnerships in which the CGIAR engages should be justified by a very clear potential to add value to the achievement of development goals. Partners are especially important for the CGIAR in scaling up impacts and outcomes.
4. In building up partnerships, it is important to recognize that a major issue is the asymmetry of power, influence, capabilities, experience, and credibility that frequently exists between partners. The CGIAR needs to face this problem with transparency and generosity and must make special efforts to build trust among partners.
5. Some partnerships are amenable to being governed by clear, formal contracts or contract-like agreements. Others – in particular partnerships aiming at complex objectives, those in places with less developed legal and political institutions, and those that involve partners with different backgrounds or who work at different scales – are likely to be 'messy partnerships' and cannot be governed by log frame type protocols; these will require innovative accountability and administration mechanisms.
6. Some strategic partnerships under the umbrella of the CGIAR could be supported by medium-term contracts. These contracts need to define objectives, expected results, codes of conduct management, administrative rules, accountability procedures, and levels of funding. Contracts must be negotiated and adapted to each particular case.
7. Systems of contracts work only if there are efficient and effective mechanisms to enforce such agreements, and if all parties have effective access to the approved mechanism.
8. Sharing information is a basic step in building networks. The means of communication should be clear and mutually understood, and the necessary equipment and costs involved should be considered in the agreed budget.
9. Transparency and sharing responsibilities in management and decision-making is an essential component of good partnerships.

10. A solid and mutually agreed monitoring and evaluation system of project results and of partnership functioning should be established from the beginning of the partnership.
11. Dissemination of results and attribution of credit and responsibilities must be carefully designed from the start, and the agreed procedures carefully followed.

5.3 Areas that need new or strengthened partnerships

The redefinition of the core functions of the CGIAR and the emergence of new institutional players in the global innovation process imply that greater attention must be given to some of these new players.

5.3.1 Partnerships with institutions involved in policy and institutional innovation decision-making

WG1 has proposed that this type of work be greatly strengthened. Not only it has been identified as one of the six CGIAR core functions, it has also been elevated to one of the three strategic objectives.

This implies a new dimension for the CGIAR. Its program of work needs to extend beyond the important work done by IFPRI and Bioversity and, to a lesser extent, by a few of the other Centers. This implies not only that CGIAR will need to allocate more resources and strengthen its existing capacities in this field – a process which might have implications for the present physical and organizational structure of the CGIAR – but it also will demand the construction of special partnerships with new and different players.

Main partners in this field will be, in addition to the international organizations (including the lending agencies), the policy units in developing countries, NGOs, and consulting firms that have essential experience in advisory work on policy and institutional matters in the developing world. These organizations, both public and private, have a different institutional culture than the research institutions. They are interested in advisory processes that, while they may be based in solid research, includes the location of specific practical work that is not by definition an international public good.

This dilemma has two possible solutions:

1. **To incorporate this type of work as a regular activity of the CGIAR Centers**, as in the case of ISNAR in the field of policies and institutional innovations with regard to research institutions. This implies a strong effort in capacity building by the CGIAR itself and the acceptance by CGIAR Members that this type of work is a legitimate activity by the Centers.
2. **To build new partnerships with organizations** that are ready and capable to provide the direct advice and to respond to the specific demands for advisory services by policy units in developing countries. The CGIAR Centers would participate by providing information and tailor-made research developed jointly with the governmental units involved and the partner organizations that will perform the hands-on work. In many cases this research will not necessarily respond to the characteristics of an international public good.

5.3.2 Partnerships with institutions and organizations in the area of science and technology and other areas related to agricultural issues and concerns

In a growing number of countries, especially middle-income countries that are potential CGIAR members, the main decisions on research priorities, resource allocation and international collaboration fall within the purview and responsibility of ministries and/or secretaries of science and technology. The CGIAR, who has traditionally privileged its institutional relationships with ministries of agriculture and the National Research Institutes that they supervise, is relatively unknown in the wider science and technology communities.

WG2 considers this situation a serious limitation for three reasons:

1. First, because it limits the political visibility of the CGIAR in the local scientific communities and in the relevant governmental units that make decisions regarding funding, participation in international events, and in the end, the possible incorporation of these countries to the CGIAR as members.
2. Second, because it has been difficult for the CGIAR to interact with and influence the wider science and technology discussion and hence the countries' policies on research for development in agriculture, including the organization, funding, and responsibilities of NARIs, who are essential CGIAR partners.
3. Third, because it has limited the articulation and cross-fertilization of agricultural research (performed by the CGIAR and its partners) with other research areas

that are increasingly important sources of knowledge, such as medicine and health sciences, environmental science, climate change, and natural resources.

WG2 is of the opinion that the CGIAR and its Centers need to make a new effort in establishing working relationships with these areas of developing country governments in order to transcend the more limited institutional connectivity that exists at present. These actions would require a CGIAR mechanism to coordinate the overall process of establishing these new relationships, which are essential for implementing the awareness-raising and policy decision-making support that are now defined as core functions of the CGIAR.

5.3.3 Partners for capacity building

Capacity building has been restated by WG1 as a core function within CGIAR, a proposal that is consistent with the demands and expectations voiced by many of our partners. WG2 supports this recommendation based on the importance of these activities in increasing the overall capacity of the global research for development system. Fostering the development of institutional capabilities that can catalyze, sustain, and disseminate innovations and research outputs on a national scale is a crucial element of development.

WG2 proposes that the main objectives of the capacity building function be the following:

- To develop the institutional capacities of our partners to catalyze, sustain, and disseminate research results and outputs
- To promote academic exchange programs to contribute to the growth of scientists from developing countries, and
- To seek synergies with universities from the developed and developing world by having students do their research within the CGIAR research programs.

In order to implement these objectives, it is necessary to:

1. The CGIAR redefine its capacity strengthening strategy, including a wider partnership with universities in developed and developing countries
2. Projects include activities for fostering processes that equip those partners concerned with the uptake chain with the necessary skills and capacities to bring about development impacts
3. The CGIAR rewards capacity strengthening activities by its scientists, and

4. The International Fund, proposed by WG4, incorporates as fundable items capacity-strengthening activities that are within approved programs and projects.

5.3.4 International civil society organizations (ICSOs)

ICSOs are key players in development work and are increasingly gaining recognition for their participation in the dissemination and application of research for development objectives.

In its analysis, the Secretariat elaborates the domains of value added by partnerships with ICSOs as:

- Improving research effectiveness and development impact
- Bringing innovative ideas and new perspectives to CGIAR research agendas, and
- Enhancing CGIAR's ability to meet public accountability and transparency needs in global public programs.

These three domains present areas of important collaboration that have been addressed in a more general way in other parts of this report.

In specific relation to ICSOs, WG2 makes the following recommendations:

1. Partnering with ICSOs is a major element in project and program execution. As indicated in Chapter 4.3, where national government research and extension systems are underfunded or emerging from crisis, the ICSOs are extremely important partners that should be solicited for the implementation of programs. They have the resources and capacity to play a bridging role and to ensure that the management and use of agricultural knowledge can be maintained and can continue to reach the poorest people. A more systematic approach to engaging with ICSOs will help to streamline research delivery and foster accountability and institutional learning among partners. The operational guidelines presented in Chapter 5.2 provide potentially useful insights on how to build these partnerships in each particular case.
2. The development and conceptualization of demand-driven programs at the system level must be a multi-stakeholder process, facilitated through the networks of GFAR. WG2 endorses Recommendation 5a of the 2006 CGIAR Strategic Framework, namely to develop GFAR-CGIAR collaboration in conducting CSO consultations, with specific attention to linking with regional dimensions.

- This will require the CGIAR to work through the mechanisms of GFAR and the regional fora (as described in detail in Chapter 4.2), giving considerable attention to policy processes of the ICSOs at their headquarter level and engaging with their agendas as they relate to agricultural development. This will enable mutual support and learning between ICSOs and the CGIAR, as well as aligning research demands with those of other partners.
3. ICSOs play an increasingly important role in awareness raising and agenda formulation for development issues at the global level. They are important strategic partners for the CGIAR, and consultation mechanisms should be developed, as described in Chapter 4.1.

5.3.5 Strong NARIs

Partnerships with public sector research systems in industrialized countries have been important for the CGIAR in the past. Developments in various fields of science and technology emphasize the need to strengthen and renew such partnerships. Such radical new developments commonly occur outside the view of development-oriented groups in such institutions, requiring a continuous search for new linkages. Challenge programs have proven useful in several cases, but novel mechanisms may need to be developed in new situations.

The public sector research organizations in emerging countries – such as Brazil, Russia, India, and China (BRIC), as well as Argentina, South Africa, and Vietnam – need to be recognized as essential partners for the CGIAR, in roles that are more ample and complex than what has been recognized until recently. These NARIs are becoming most important players in public sector agricultural research for development and are responsible for the most significant proportion of the global resources allocated to this objective. A main goal for the coming years should be to stimulate the already significant presence of the advanced NARIs in CGIAR matters so that they reaffirm their role as active members in the CGIAR. It also means that the CGIAR needs to experiment with modalities of cooperation with these NARIs to mobilize their substantial and growing scientific capabilities for the production of international public goods that could be essential in the development processes in other less favored countries.

Challenge Programs have proven useful in several cases to develop partnerships between NARS, CGIAR Centers and northern research organizations, however, in addition, novel mechanisms may need to be developed. One essential new strategy for both the northern and southern strong research organizations is to support the

participation of CGIAR Centers in initiatives developed by these organizations, rather than CGIAR taking the lead in such partnerships. An example is the participation of CGIAR scientists in EU-funded (or Brazil-funded) research that is primarily directed to the European (or Brazilian) agenda, but which may create important spin-off for the development goals elsewhere.

WG2 recommends that the already initiated effort to attract and involve these partners be strengthened.

5.3.6 Public-private partnerships (PPPs) as a special case

Private sector involvement and contributions to global agricultural innovation have become extremely important. Their involvement can be seen in the production of knowledge and technologies and in dissemination and uptake (in their role as service providers). However, PPPs in the CGIAR have been relatively scarce. Of the 3000 institutional collaborations that existed in 2006, only 6% were between a CGIAR Center and a private sector firm.

The potential benefits of PPPs for the CGIAR system include:

- Access to private sector technologies
- Improved delivery, and/or commercialization of CGIAR products
- Leveraging new sources of funding
- Knowledge sharing, reducing costs, and gaining synergies, and
- Promoting organizational change.

Achieving these potential benefits requires addressing reputational issues and the need for transparency in embracing PPPs within the historical 'public good' mission of the CGIAR system. In addition care must be exercised to maintain the focus on serving the poor in order to remain 'user driven' and to clearly address the high transaction costs inherent in establishing and sustaining effective PPPs.

The greatest challenge for the CGIAR is to leverage the substantial investments made by the private sector in agricultural research and to integrate the expertise, technologies, and facilities into its own work, while recognizing the specific constraints under which the private sector operates (particularly as it relates to intellectual property issues). The art of identifying strategic opportunities for PPPs lies in finding areas of common ground

where public and private interests are aligned and where private sector resources can be adapted to serve the poor.

There are three areas where work is needed and where specific actions should be taken:

1. **Identifying opportunities and partner selection.** Robust partnerships begin with a collective recognition of the benefits of collaboration and by identifying the scope of a project, evaluating partners and projects, agreeing on common goals and objectives, and negotiating the details of the working relationship. This must also include due diligence as well as benefit–cost analysis of the project and its potential impact.

There is some evidence that third party facilitation in partnership formation may be useful, a function that could be played by the Partnership/Development Panel proposed in next section. From the private sector perspective, it has been mentioned that companies are deterred by the complex structure and procedures of the CGIAR – a question that needs to be addressed.

2. **Structuring and managing partnerships.** Clearly defined roles, goals, rights, and obligations need to be defined from the outset. Intellectual property rights remain one of the most challenging issues. The CGIAR Centers must be able to articulate – and be prepared to negotiate – project-specific intellectual property strategies that will support their goals. There is an increasing complexity in the intellectual property rights landscape and the Centers need to access the adequate legal capacities for each particular case. Finally, PPP agreements in some cases will have to address a range of downstream issues that are not related to the research itself. These include product stewardship, biosafety regulations, and product liability.

3. **Alignment with CGIAR goals. Private sector companies are driven by objectives that are inherently different than those of the CGIAR.** Creating PPPs requires flexibility, but it also needs supervision to ensure that they do not compromise the basic principles of the CGIAR system. Transparency is a major issue to be considered. Monitoring and evaluation of these agreements to promote learning from accumulated experience and successes is important. This function is included in the responsibilities of the Partnership/Development Panel recommended in next section.

5.4 The Partnership/Development Panel

The development and implementation of an explicit and evolving partnership policy in the CGIAR will require a long-term institutional effort including clear responsibilities, appropriate incentives, and promotional efforts.

To help in the construction and implementation of such a strategy **WG2 recommends the creation of a 'Partnership/Development Panel' comprised of independent persons with extensive experience in partnership building and who are knowledgeable about the different constituencies engaged with the CGIAR.**

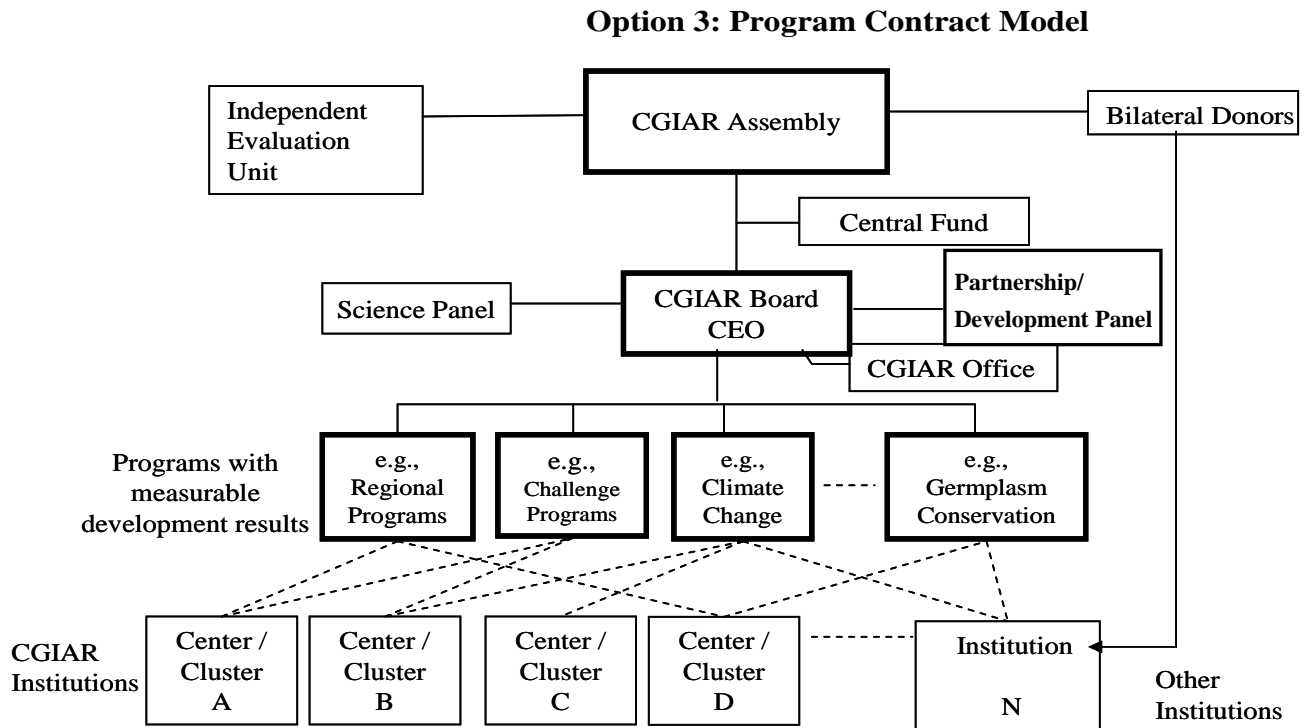
Their role would be to foster, monitor, and promote the use of partnerships within the CGIAR system itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR as a whole – and in its various components – on these matters. It would have a supervisory function on system-level partnership quality in the CGIAR, similar to the way in which the Science Council oversees science quality. In fulfilling its role, the Panel should be in close contact and consultation with GFAR. One example of this work is the development of lessons learned and of operational guidelines for partnerships with important partners such as the private sector, CSOs, and private foundations. The Panel could be seen as an element that contributes to the strengthening of partnerships through the implementation of the recommendations proposed by the Change Management Initiative, and thus could have a temporary nature.

The Panel's reporting structure would vary according the different organizational models that are being considered. The Panel would report:

1. In the present structure, to the CGIAR Executive Council
2. In the Performance Contract model proposed by WG3 there are three options:
 - a. To the CGIAR Board as an independent unit
 - b. To the CGIAR Board through the CGIAR Office, or
 - c. As a special panel within the Science Council.
3. In the Alliance model, to the Partnership Board
4. In the model proposed by the External Review, to the Fund Council.

The following figure depicts the position of the Panel within the structure of the proposed performance contract model:

Figure 3: Revised performance contract model



5.5 Incentive policies

The construction of a strengthened partnership mode of operation needs a number of concerted long-term actions to promote healthy and successful partnerships and to provide incentives and institutional signals to its members. Following are some of the functions to be performed by different institutional components of the CGIAR.

5.5.1 The Partnership/Development Panel should:

1. Review Centers' strategic plans for an explicit partnership strategy and suggest possible actions
2. Review Centers' policies for an explicit Board-approved (i.e. framework) policy on partnership principles
3. Review Centers' websites for partnership toolkits
4. Review Centers' documents/publications on lessons learned from partnerships

5. Perform an annual review of project implementation partnership case studies:
 - a. **Project conceptualization:** How were project partners selected? Was there due diligence, i.e. was there accurate evaluation of proposed partners? Were there partnership readiness agreements and partnership profile analyses? Was benefit–cost analysis carried out, including risk assessment?
 - b. **Project development:** How much voice did partners have in the design of the project/program? How was the governance model selected?
 - c. **Project management:** How were problems identified and corrected? How did the partners learn from difficult situations?
6. Define partnership indicators for the CGIAR Performance Measurement Report, including partnership effectiveness and efficiency criteria.

5.5.2 The International Fund (and eventually the individual donors) should:

1. Request the inclusion of an explicit partnership strategy as part of the project concept note.
2. Fund the partnerships-formation stage, including initial field visits and a proposal development workshop, to jointly develop the final proposal, including definitions of:
 - a. The role and responsibilities of each partner
 - b. The expected benefit(s) for each partner institution (value proposition statements)
 - c. How the partnership will deal with partners that default
 - d. The governance of the partnership
 - e. The strategic communication strategy
 - f. The expected life of the project/program, and
 - g. How the partnership will evolve over the life of the project.
3. Fund a final (social learning) workshop that includes the partnership process and lessons learned.
4. Request a report on the partnership process and a partnership satisfaction survey at the end of the project.

5.5.3 A CGIAR performance measurement report (indicators to be developed by the Partnership/Development Panel) should include:

A. Partnership output criteria (publications):

- Number of publications with northern ARIs
- Number of publications with southern ARIs
- Number of publications with NARS partners
- Number of publications including women
- Number of publications including young professionals.

B. Partnership outcome criteria:

How do you measure a successful partnership? How do you measure added value? The basic questions are:

- *Effectiveness criteria:* How has the impact been enhanced by the partnership? (i.e. what has been achieved due to the partnership that could not have been done independently?)
- *Efficiency criteria:* How have the outputs and outcomes been achieved more efficiently due to this partnership?
- *Cultural learning criteria:* How did this partnership benefit from lessons from previous partnerships and/or collective action projects/programs?

5.5.4 External program and management review

Each review panel should include a partnership expert to specifically review the partnership processes of major Center-led projects and programs.

Chapter 6 **Main recommendations and their implications for governance and funding**

Based on the analysis and proposals developed in the previous sections, we have defined five main recommendations that address problems in the four levels, or headings, that summarize the conceptual framework we have used: Policy, Strategic based outcome-based planning, Program implementation and outcome delivery, and Monitoring and learning. These recommendations have, in most cases, significant implications for governance and financing. In the analysis of their implications and relationships with governance and funding, WG2 has assumed that there are three governance proposals that are being considered: Model 3 proposed by WG3, the model proposed by the Alliance, and the model proposed by the External Review. WG2 favors Model 3.

Policy

Recommendation 1: Strengthen CGIAR's participation and recognition as a major player in the global dialogue and in the construction of global perspectives and agreements on research for development.

Participation in this process requires the development within CGIAR of capacities and institutional mechanisms, as well as the allocation of specific responsibilities in order to participate in a coordinated manner with other partners. CGIAR participation should be focused on bringing to the global dialogue the issues related to the use of agricultural research and technology in the development process.

WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board in the Performance Contract model proposed by WG3 (and to the equivalent Boards in the other two proposals under consideration). To fulfill this responsibility, the Chair will need the following:

- Financial and human resources to study the problems and develop proposals
- To develop strong coordination mechanisms with other areas of the CGIAR, in particular with the Chair and the Director of the Corporate Office

- To consult and interact with CGIAR members who need to participate in articulating a clear global dialogue strategy
- **To consult and interact with other stakeholders and partners – especially with GFAR** and the global and regional ARD partners brought together under the GFAR mechanism – so that proposals are transparent and partners are knowledgeable of each other's positions on the issues.

To effectively fulfill this, role the CGIAR will need to strengthen its policy analysis capacity and its partnerships with the institutions and organizations that are directly involved in policy analysis and implementation.

Strategic outcome-based planning

Recommendation 2: Organize appropriate consultative processes with relevant non-member stakeholders at the CGIAR system level to define strategic dimensions and main priorities. Due to the growing number and diversity of relevant stakeholders, this process will require the existence of an elaborate institutional mechanism and appropriate funding leading to an informed and well-structured position by non-member stakeholders. This position should be considered explicitly in the deliberations of the Assembly and taken as an important input by the System Board proposed by WG3 in Model 3. This process has to take into consideration the global, regional, and sub-regional dimensions and priorities for which appropriate consultation with regional fora and organizations such as FARA, FORAGRO, APAARI, AARINENA, CACAARI, and EFARD is needed. In addition, the individual CGIAR-supported Centers and programs need to strengthen the existing consultative mechanisms with relevant stakeholders and partners for defining their priorities and program of work.

WG2 considers GFAR to be the most appropriate institutional mechanism to organize this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders (in particular the private sector and the CSOs) and the availability of sufficient resources, GFAR will need to be reorganized and strengthened. This will require the active participation and support of the CGIAR and other GFAR partners. The CGIAR, through the Secretariat, (or whatever unit replaces it in the new structure) will need to:

- Recognize GFAR as a forum of mechanisms being proactively used at global and regional levels by the CGIAR and its Centers for consultation on strategic guidelines, priorities, and research for development demands and needs.
- Ensure that existing global and regional platforms, including GFAR, participate in an appropriate manner in internal processes leading to strategic orientations, selection of priorities, global programs, etc.
- Take responsibility for the strengthening of GFAR, including a stronger participation of sub-regional CSOs, NGOs, and the private sector within existing platforms.

Program implementation and outcome delivery

Recommendation 3: Program implementation

Key issues

Centers need to work with a wide range of partners and in widely different ways. This creates challenges to finding a consistent approach and one where relationships are equitable, mutually agreed in advance, and not determined by the fund holder. The greater involvement of private sector and civil society partners, as well as of researchers from emerging economies brings new challenges for the linkage with international public goods research. It is not enough for research outputs to be of high quality; they must also contribute towards the alleviation of poverty, system sustainability, and development of appropriate research institutions in the countries concerned.

In order to fulfill these requirements WG2 makes the following multi-dimensional recommendation:

1. Funding for partnerships

As evidence of commitment to a more open way of working, the group expects that a significant proportion of funds flowing through the new Fund would support the activities of the partners to the system. This is essential to establishing ownership of programs by others and as a catalyst for further development beyond the System's reach. This would support partner activities within agreed programs and operate to the point and scale at which partners have accepted *ex ante* that they themselves become directly responsible for the subsequent uptake and use of research outputs:

The new fund is primarily intended to support the role and function of the CGIAR and this should be clear. The group suggest this could be addressed by assigning fund components as:

1. Funds for essential long-term functions (e.g., germplasm storage)
2. Funds for CG Centers for research involvement, and
3. Funds for partners to be effective partners to this research.

An indicative figure of 70% is thus proposed as the overall proportion of funds that should be retained within the system (this will vary widely between individual projects).

2. Program leadership

On the basis of comparative advantages in international research, the management of the approved programs or project would be made by CGIAR Centers or by other institutions, either of which would be subject to the fiduciary and reporting norms of the system.

A decisive advantage of the inclusion of funds for other partners is that it will be possible for the fund to attract both existing pledges and future restricted funding, which is often earmarked to applied research and development goals.

3. Private sector

Public-private partnerships require particular attention; it is recognized that the Centers require specific support in engaging with this sector, in particular with regard to its policy of making results publicly available. This includes an urgent need for development of a system-wide strategy for the realization of practical intellectual property returns from such partnerships towards greater benefits for the poor, or for applying financial returns from public goods to increase the overall funding efficiency of the system towards meeting development goals. Without this, there is a high likelihood of public-goods investment either failing to reach market-sustained delivery or, conversely, of profiteering from public investment. The longer Centers pursue separate policies, the more complex this will be to resolve.

The CGIAR's history lies in public research and institutions, and these perspectives have proved difficult to reconcile. There is a need to explicitly shift to clear outcome-based planning if the private sector is to see a value in more active engagement, so that the scope for partnership and relative returns can be

understood by all.

4. NARS

Many national research partners require support if they are to take on and follow through from the outputs of CGIAR research. As highlighted also in the independent review and in other studies, the deficiencies in many NARS³ still require support to reverse the present 'brain drain'. Much of the CGIAR's support is now delivered via individual project-based training, but this brings less focus on institutional strengthening.

It is not the responsibility of the CGIAR to resource national systems, but WG2 recommends that the system work more strategically and systematically with national partners to advocate and promote greater national investment in research systems. It must also provide full recognition of national partners on an equal basis. This again requires outcome-based planning with clear agreement on how specific responsibilities should be transferred from international to national partners and overall joint ownership of intended development outcomes.

5. Advanced NARS

Advanced NARS of the emerging economies are changing the CGIAR's operational landscape and require a different approach. The CGIAR needs to actively and urgently develop effective partnership with the NARS of countries such as China and Brazil as they extend their reach internationally, so that international research for development efforts become coherent and focused towards common goals, rather than being seen as institutional competition. To increase success, WG2 recommends that the CGIAR diversifies its relationship with these governments to include the ministries and secretaries of science and technology and affiliated institutions.

6. Non-governmental organizations

The emergence of some international NGOs as key international research partners in their own right is also changing the CGIAR landscape. These institutions are in some cases partners and in other cases competitors (as

³ National agricultural research systems are here taken to include the public, private, and civil organizations active in the generation and application of knowledge from science within a country.

research managers). As well as joint strategic planning, implementation requires acknowledgement and engagement with the many alternative pathways now available in national systems. NGOs can be very effective research and delivery partners; however, for long-term impact, continual attention must be paid to the sustainability of such processes and to ensuring a fit with government mechanisms.

7. Capacity building in program implementation

Capacity building by the CGIAR should have as a prime objective the development of CGIAR partners' institutional capacities, to catalyze, sustain, and disseminate research results and outputs in ways that are appropriate to achieving development outcomes. It should also actively extend and strengthen links with universities from the developed and developing worlds through student research within the CGIAR's research programs. Capacity building should be explicitly recognized as a budget line within International Fund-supported programs.

Monitoring and learning from partnerships

Recommendation 4: The Partnership/Development Panel. The CGIAR needs to develop an explicit and evolving partnership strategy to include the above recommendations and suggestions. CGIAR partnerships should be more than a means to gain efficiency, effectiveness, and relevance in its research for development activities. Engaging in partnerships must be a guiding principle that leads to the strengthening of a wide network of institutions and people who contribute to agricultural research and the well-being of the poor.

To help in the construction and implementation of such a strategy, **WG2 recommends the creation of a 'Partnership/Development Panel'** in the same four lines proposed by WG3; the Panel would be comprised of independent persons with extensive experience in partnership-building who are knowledgeable about the different constituencies engaged with the CGIAR. The selection of its members should respect the usual criteria of regional representation and experience with the main CGIAR constituencies. Their role would be to foster, monitor, and promote the use of partnerships within the CGIAR system itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR as a whole – and in its various components – on these matters. It would have a function similar to that in which

the Science Council advises and contributes to science quality. In fulfilling its role, the Panel should be in close contact and consultation with GFAR. It is crucial for the CGIAR to engage stakeholders effectively, objectively, and equitably in order to ensure the relevance, effectiveness, and efficiency of the System.

The Group recommends the use of GFAR as a neutral and inclusive platform by which the CGIAR strategy can be developed in response to key future needs and through open discussion with other stakeholders in agricultural research for development. There is a clear need for investment of time, resources, and institutional commitment by the System to strengthening GFAR.

The proposed Partnerships Panel should play a key role in providing coherence for the System i) in its engagement with other stakeholders via GFAR, ii) in supporting and helping to mentor constructive change processes within the Forum, and iii) in ensuring, on behalf of the System, that the Forum is equipped to deliver the role required of it (from the perspective of the System).

One example of this work is the development of lessons learned and of operational guidelines for partnerships with important players such as the private sector, CSOs, and private foundations. The Panel could be seen as an element that contributes to the strengthening of partnerships through the implementation of the recommendations proposed by the Change Management Initiative, and thus could have a temporary nature.

The Panel's reporting structure would vary according the different organizational models that are being considered:

1. In the present structure, to the CGIAR Executive Council
2. In the Performance Contract model proposed by WG3 there are three options:
 - a. To the CGIAR Board as an independent unit
 - b. To the CGIAR Board through the CGIAR Office, or
 - c. As a special panel within the Science Council.
3. In the Alliance model, to the Partnership Board
4. In the model proposed by the External Review, to the Fund Council.

Recommendation 5: Monitoring, incentives, and learning

To date, the criteria by which the system has been judged have relied largely on linking research outcomes to measures of increased productivity at national level. This is valid, but flawed as it i) avoids integrating the social and environmental components of sustainability with yield gains and ii) does not adequately recognize the contributions of others in the research for development process. The Independent Review Panel's questionnaire has shown that even among the CGIAR members and actors, there is a wide gulf between the perceived importance of specific partnerships and their current quality.

More sophisticated, more encompassing, and more integral measures are thus required; these become embedded in operations and emphasize the essential need for effective partnerships to deliver beyond research outputs to development outcomes.

WG2 envisages this operating at the System and program levels:

System level:

The Partnership/Development Panel proposed by WG2 and WG3 would have explicit monitoring oversight of the quality of development partnerships in the programs under the new Fund, and the relationships that the CGIAR has with its partners would become an explicit measure of the Center's success.

The way the System expresses its success also needs to change. Rather than focusing on productivity gains alone, the positive and negative implications of social and environmental impacts should also be determined in the context of development objectives. Criteria of success should include the active and acknowledged empowerment of others to take research outputs forward into development impacts and full recognition of their roles.

Work is thus required to determine the markers for the quality and effectiveness of partnerships (already under active discussion between GFAR and the Science Council); these markers could be used by the Partnership/Development Panel in their analysis. Research for development entails complex multi-stakeholder networks, some of which may be only transient. Evaluation of networks should build on previous studies under ISNAR.

Program level:

At regional level, the regional and sub-regional research fora now provide a mechanism for open debate and alignment of CGIAR and national objectives. Properly used as open and inclusive fora, these vehicles could also provide a mechanism for learning, evaluation, and feedback on program-level research for development, as it relates to the countries concerned and their development objectives.

- For effective partnership, mutual benefits are required and these should be elaborated during program planning, so that all involved have realistic and grounded expectations of each other and share common objectives from their partnership.
- Program partners on the ground should also be involved in participatory reflection, evaluation, and impact assessment as a routine part of the research process.
- Peer-to-peer monitoring and feedback within the partnership should also be encouraged as a mechanism for true partnership, rather than a one-sided relationship.

A broad policy of incentives at all levels should be developed and applied as described in the main text.

These five recommendations have a number of implications for the governance structure and the funding procedures that may be adopted by the CGIAR as a result of the Change Initiative.

With respect to the three governance models that we understand are being closely considered (Performance Contract model proposed by WG3, the Alliance model and the Model proposed by the External Review), the proposals by WG2 are relatively neutral in all cases, with the exception of the proposed Partnership/Development Panel and, more specifically, where it should be placed in the organigram. The table below presents in summary form the implications of the seven recommendations in relation to the three models:

Table 1: Implications of the seven recommendations made by WG2 on three governance models

OPTIONS	INDEPENDENT REVIEW	ALLIANCE	PERFORMANCE MODEL (WG3)
4 – Partnership/ Development Panel	- Reporting to	- Reporting to	- Op. 1: Reporting to

	Corporation Board or/and the Fund Council	Partnership Board	CGIAR Board - Op.2: Idem through CGIAR Office
1 – CGIAR voice in the international dialogue	- Chair of the Corporation Board	- Chair of the Partnership Board	- Chair of the CGIAR Board
2 – Consultative process with stakeholders - at System level - at Center/program level	- Strengthened GFAR - Centers and programs	- Strengthened GFAR - Centers and programs	- Strengthened GFAR - Centers and programs
3 – Program implementation and delivery - Funding partners	- OK - OK, rules to be made explicit	- OK - OK, rules to be made explicit	- OK - OK, but wary of competition for Centers
5 – Monitoring, incentives and learning	- OK (whatever level)	- OK (whatever level)	- OK (whatever level)

Most of the recommendations proposed by WG2 have funding implications regarding the scope and procedures to be adopted by the International Fund that is being proposed by WG4.

Glossary of terms

In this paper we have used a terminology that, although well known and commonly used, has some times different meanings for different people. In order to minimize possible misunderstandings, we include some definitions that clarify the use and interpretation we have given to these words and concepts:

Global agricultural development community: Governments, institutions, organizations and the universe of stakeholders that are collectively concerned in agricultural development.

Global agricultural research for development (ARD) system: The universe of institutions and organizations that have a mandate to do research and related activities – including organization, management, and funding of research – with a clear objective of contributing to development.

Knowledge management: Activities that are clearly directed to the generation, adaptation, diffusion, and uptake of information, knowledge, and technologies and their articulation in the solution of specific problems.

Research outputs: Specific products of research, such as new knowledge on various types of phenomena (physical, biological, social, economic, etc.) that are directly or indirectly linked with agricultural activities, technologies, improved processes, new organizational systems, institutions, etc.

Impact and outcomes: The observable results that activities and inputs will have on the real world. Specifically, outcomes refer to short-term consequences resulting from the direct use of the research outputs or from the research process itself, while impact refers to longer term effects resulting directly and indirectly, completely or partially from the research outputs that are implemented and from the consequences of the research process itself.

Uptake and scaling:

Scaling up a technology, institution, or organizational system, refers to knowledge that is produced and implemented at large scale and across other contexts.

Scaling out a context-specific technology and/or knowledge refers to its application to other similar contexts.

CGIAR members: Governments and organizations who agree to make financial contributions equal or superior to US\$500 000 participate in the governance of the CGIAR and comply with the charter decisions and policies approved within the CGIAR.

CGIAR stakeholders: Institutions and organizations that have a legitimate interest in the CGIAR and its products.

CGIAR partners: Organizations and institutions that intentionally enter into collaborative action with the CGIAR, as a participant of CGIAR activities (i.e. in analysis, decision-making or implementation), in a shared division of labor, through complementary activities, or by using research outputs. These actions may or may not be supported by formal agreements between the parties.

Strategic partners: Partners that share long-term interests, goals, and objectives with the CGIAR.

Bibliography

- Anderson J.R. 2008. *Aligning Global Agricultural Research Investments with National Development Activities: The CGIAR Experience*. Report. CGIAR Secretariat.
- Bezanson K. 2004. *Independent Evaluation of the Partnership Committees of the CGIAR*.
- Boettiger Sara and Bennet A. 2008. *Practical Changes to Enable More Effective Public–Private Partnerships in the CGIAR*.
- CGIAR Annual Report: Partnerships for Effective Research*. 2006.
- CGIAR Charter 2004* (revised in 2006 and 2007).
- CGIAR Science Council Standing Panel on Impact Assessment (SPIA) Impact Reports 2006: *Costs and Benefits of CGIAR and NARS Research in Sub-Saharan Africa*.
- CGIAR Secretariat. 2006. *A Strategic Framework for Engagement between the CGIAR and Civil Society Organizations: The CGIAR Perspective*.
- CGIAR Working Group 1 2008. *Visioning the Future of the CGIAR*. Internal report to the Change Steering Team.
- CIMMYT 2006. *Impacts of International Wheat Breeding in the Developing World*. Center IA case study brief.
- CIP 2006. *CIP's Contribution to the Genetic Improvement of the Potato*. Center IA case study brief.
- Declaration of Corporate Support for Strengthening Co-Operation between the Private and Public*.
- Easterly W. 2006. *Planners vs. Searchers in Foreign Aid*. Asian Development Bank.
- Guijt I. 2008. *Seeking Surprise: Rethinking Monitoring for Collective Action in Rural Resource Management*.
- Harvest Plus Challenge Program (CPH+) External Review*. August 2007.
- ICRISAT 2006. *Spillover Increases Returns to Sorghum Genetic Enhancement*. Center IA case study brief.
- IFPRI 2006. *Impacts of a 'Food for Education' Program in Bangladesh*. Center IA case study brief.
- IRRI 2006. *The impact of Modern Rice Varieties on Livelihoods in Bangladesh*. Center IA case study brief.
- Lynam J., 2007. *Research into Development: Assessing CGIAR Research Priorities from the Perspective of Development Priorities*.
- Maredia M.K. and Raizer D. 2006. *CGIAR and NARS Partner Research in Sub-Saharan Africa: Evidence of Impact to Date*. CGIAR Center Collaboration: Report of a Survey.
- Natural Resource Management Research 7 Case Studies.

Perkins A. 2008. *Overview of Survey Results*. External Review.

Principles and Good Practice of Humanitarian Donorship. Endorsed in Stockholm on 17 June, 2003 by Germany, Australia, Belgium, Canada, the European Commission, Denmark, the United States, Finland, France, Ireland, Japan, Luxemburg, Norway, the Netherlands, the United Kingdom, Sweden and Switzerland.

Rajalahti R., Woelcke J., and Pehu E. 2005. *Developing Research Systems to Support the Changing Agricultural Sector*. Discussion paper No.14. World Bank ARD.

Rochlin S., Zadek S., Forstater M. 2008. *Governing Collaboration: Making Partnerships Accountable for Delivering Development*. AccountAbility, Belmont Press.

Sagasti F. and Timmer V. 2008. *A Review of the CGIAR as a Provider of International Public Goods*.

Science Council & CGIAR Secretariat. 2007. *Lessons Learnt from Selection and Implementation of the CGIAR Challenge Programs. CSO-CGIAR Partnership Study Summary*.

Science Council Secretariat 2005. *System Priorities for CGIAR Research 2005–2015*.

Science Council Secretariat 2006. *Positioning the CGIAR in the Research for Development Continuum*.

Spielman D., Hartwich F., and von Grebmer K. 2007. *Sharing Science, Building Bridges, and Enhancing Impact: Public-Private Partnerships in the CGIAR*.

Science Council 2006. Sub-Saharan Africa Challenge Program (CP SSA) External Review.

TAC Secretariat 2000. *A Food Secure World for All: Toward a New Vision and Strategy for the CGIAR*.

TAC Secretariat 2001. *Regional Approach to Research for the CGIAR and its Partners*.

Task Force on Funding System Priorities Coordinated Action by CGIAR Members. *Final Report for the Annual General Meeting 2005*.

The CGIAR's Stakeholder Perception Survey. 2006.

Towards Development Challenges for the CGIAR. Discussion paper from the Alliance of Centers supported by the CGIAR, March 6, 2008.

von Braun J. 2008. *Agriculture for Sustainable Economic Development: A Global R&D Initiative to Avoid a Deep and Complex Crisis*. IFPRI.

Water and Food Challenge Program (CPWF) External Review (August 2007).

World Development Report 2008: Agriculture for Development. World Bank Publications.

WORLD FISH 2006. *Improved Tilapia Benefits Asia*. CGIAR Centers' 'Best Practice' Case Studies. Center IA case study brief.

Short working papers prepared by WG2 members:

Geheb K. *Experiencing Partnerships: Experiences, Lessons and Suggestions from the CGIAR Challenge Programs for Water and Food*.

Holderness M. *The CGIAR and the Global Forum on Agricultural Research.*

Jeffries P. *Overview of Potential Private Sector Partners for CGIAR.*

Kapiriri M. *A Review of CGIAR Partnerships with Local NGOs.*

Kapiriri M. *Highlighting the Emerging Role of Local NGOs in International ARD.*

Palmier H. *The Regional Dimension of Partnership in the CGIAR: Challenges and Opportunities in Africa.*

Remington T. *Achieving Impact at Scale. A Critical CGIAR-INGO Partnership.*