

**CGIAR Facilitated Change Management Process  
Proposal for AGM – Submitted by the Scoping Team  
November 19, 2007**

**EXECUTIVE SUMMARY**

**Context for this Proposal**

The majority of CGIAR stakeholders have concluded that a broad-based and inclusive examination of the system's effectiveness in accomplishing its mission is required. They see great potential for CGIAR to execute its mission more effectively and bring more benefit to the poor and the farmers it serves, especially in the developing world. To do so, the CGIAR must become more streamlined, focused and connected. At the same time, the individuals who make up CGIAR can enjoy more satisfying experiences and higher trust in their relationships.

That, in short, is the story behind this change process. In response to a recommendation of ExCo 12, a facilitated change management effort was launched this August with the purpose of revitalizing the CGIAR. As a starting point, ExCo 12 commissioned a Scoping Team to outline the change process. This document proposes the Scoping Team's strategy for the next year's collaborative change process. This paper has been approved by ExCo 13 and will be reviewed at AGM in Beijing in December 2007.

This document represents the views of the Scoping Team, which were informed by a survey and a series of interviews with individuals representing a broad group of stakeholder organizations and geographies of the CGIAR system. The process proposed is meant to align with efforts running in parallel to the change process, such as the ExCo Ad-Hoc Committee on Funding System Priorities and the ongoing CGIAR External Review.

**Overview of this Proposal**

The CGIAR continues to receive broad recognition for its substantial contribution to poverty reduction and global development. It continues to deliver effectively on a necessary, inspiring mission. That said, it is self-evident that CGIAR must revitalize and reposition itself in response to megatrends and changing context. Though diverse, CGIAR's stakeholders share a strong desire to support this revitalization and a CGIAR that is efficient, streamlined, responsive, focused, transparent and connected with stronger partnerships within and outside the system.

Before trying to craft solutions, it is critical to know what issues we are trying to solve. The Scoping Team invested a good deal of time to identify five essential issues that, if addressed, would provide a sharp, relevant focus for efforts to revitalize the CGIAR. These are the areas for improvement:

1. Research Priorities and Programs – CGIAR lacks a clear guiding strategy to explain how it will carry out its mission through a research agenda. Some feel the recent process to set priorities identified competencies but did not make the trade-offs required of true prioritization. Not surprisingly, there are differing views on what the vision and the strategy should be across the system in order to meet emerging global challenges.
2. Strategic Partnerships – While partnerships, between the Centers and NARS, CSOs and the Private Sector, have improved recently but there is still need for continued progress. Key is starting at the priority-setting stage, as well as taking into account varying capacities of the many different kinds of partners and the need to optimize transaction costs.

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3. Funding Mechanisms – How well donors understand and engage with the CGIAR system and priorities determines their ability to provide financial resources that have maximum impact and maintain necessary stability. We need to strengthen connections between donors, Centers and system-wide agendas.
4. Governance (at the System Level) – CGIAR participants agree there is a need for greater efficiency and effectiveness in system-wide governance, coordination and leadership. These areas are strongly linked to excellence in research, funding and strategy.
5. Governance (at the Center Level) – The Centers also have unique, endemic governance challenges that impact their effectiveness. At both the Center and system levels, there is a strong desire to move away from bureaucratic and cumbersome systems and instead focus on CGIAR objectives and deliverables.

The Scoping Team also identified some meta-issues that are less tangible but no less important. These have to do with levels of trust, quality of relationships and degree of commitment to the CGIAR as a whole system. They are reflected in the change focus areas described below.

### **The Imperative for a New Approach**

The issues above are not new. A look at CGIAR's history indicates that past efforts to address these or similar issues have achieved some gains but in many ways fell short of expectations. To learn from these experiences, the sponsors of this change process asked for and the Scoping Team proposes a highly inclusive approach with a bias toward action. The process would engage all CGIAR components and their partners, beginning with the AGM and continuing onto other forums, some existing, and some new. *Change will be internally driven.*

### **The Change Process**

This document suggests focusing change efforts in three categories: (1) Formal Change Plans (2) Strengthening Trust and Empathy (3) Strengthening the System Mindset. The first addresses efforts to alter the structure, priorities, processes, culture and other core elements of the CG system. The second two address the dominant mindsets and relationships that shape everyday interactions between players in the CG system. To effect change in these three areas, the Scoping Team proposes creating a Change Steering Team that would oversee the process and five Working Groups to create detailed change plans addressing the five issue areas described above. The work would commence after AGM 2007 and culminate in change plans submitted for approval at AGM 2008.

As the change process addresses issues and proposes solutions, we must remember that the CGIAR system is heterogeneous. One region to the next, one Center to the next, one Member to the next – this change process is designed to be flexible to create approaches suitable to the inherent diversity of the System. To meet that goal, the change process seeks good ideas and accountability for change across the system, not to be driven top-down.

### **Recommendations of the Scoping Team for Members' Consideration**

1. Recommend for approval of the CGIAR the five issue areas identified by the Scoping Team as the focus for the Change Process.
2. Recommend for approval of the CGIAR the change management process for Phase 2 as outlined in the paper.

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**SECTION 1. Background and Objectives of Scoping Exercise**

**Catalysts for the Change Process**

This change process has several catalysts:

- Megatrends – increased productivity (relative to land, labor and inputs); industrialization of agriculture; vertical integration of the production chain; multiple objectives for agriculture (food, environmental protection, landscaping, energy etc.); movement toward a participatory interaction knowledge model; and increasing emphasis on nutrition content of food (e.g., micronutrients and “functional” foods).
- Changing playing field – new service providers are emerging (e.g., middle-income countries with increasing expertise in agricultural research) as are new philanthropic entities (e.g, the Gates Foundation) with different priorities and approaches. The CGIAR must adapt continuously to the opportunities and even threats of these changes. ODA is fluctuating, as well.
- Internal conditions – every organization, however structured, requires periodic renewal and revitalization; it has been enough time since CGIAR has gone through that process.

In addition, having new leaders in a variety of positions (a new CGIAR Chair, a new chair of the Science Council, a new head of the Alliance and a new CGIAR Director) also suggests now is an auspicious time to undertake this process.

**The Scoping Team**

In response to a recommendation from ExCo 12, a small Scoping Team was tasked with designing the change process to be carried out in 2008. Supported by the CGIAR Secretariat, the Scoping Team consists of two ExCo members, one Alliance representative, one Science Council representative, and one partner representative. The Scoping Team had support from The Trium Group, a management consulting firm specialized in the area of organizational transformation.<sup>1</sup>

While maintaining focus on the goal of revitalizing CGIAR, the Scoping Team was charged with completion of three deliverables in Phase 1 of this exercise:

1. A short interim proposal for review by ExCo 13 that outlines the scope of the change process. This includes a proposed design of the consultative process for identifying and then implementing key focus areas and solutions for the next 3-5 years.
2. Following input from ExCo members in October, and also feedback received from other stakeholders, the preparation of a final proposal and the design of a kick-off exercise to be held at the CGIAR AGM in December 2007.
3. A proposed work plan and timeline for Phases 1 and 2 of the overall change effort.

If the paper is accepted at AGM, once the Scoping Team effects a transition into Phase 2 it will consider its work complete. To be clear, however, the Scoping Team understands that in the issue areas more work is needed to refine, validate and prioritize the findings to date.

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<sup>1</sup> A summary of the interview and survey outcomes in relation to these issues is provided in the Annex.

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**The Scoping Process**

The scoping process, like the change process, has aimed to be consultative. After meeting in Rome in late August, the Scoping Team, with support from Trium, consulted thirty-five individuals through one-on-one interviews throughout the organization from a range of CGIAR orientations and geographies, including Members, Center boards, Center management, Science Council members, partners, private sector and other stakeholders. In addition, the Scoping Team conducted an online survey of a broad group of individuals across the System, including CSO representatives, farmers and young scientists from around the world. Summaries of the interview and survey findings are in the Annex.

The target of the interview conversations and the survey with stakeholders was to understand:

- Key issues and opportunities the CGIAR should address
- Important considerations for the change management process
- Desired outcomes for the change process

The Scoping Team also considered related initiatives, such as the ExCo Committee on Funding System Priorities and the ongoing External Review. The Scoping Team held an initial meeting with Jonathan Wadsworth (the chair of the ad hoc funding panel) in Rome in August to gather ideas and has had subsequent conversations at and after ExCo 13 regarding the linkage between the two initiatives.

The Secretariat and the Scoping Team are in continuing conversations with the External Review Panel to explore ways for these efforts to be mutually supportive. That said, we want to adhere to a few principles to ensure the success of each effort:

- The External Review must retain its independence.
- The two efforts must be coordinated so as not to frustrate or fatigue stakeholders.
- The External Review is fundamentally an evaluation; this change process is about revitalizing the CGIAR.
- Both must keep their commitments to their stakeholders and explicitly re-negotiate them.

**SECTION 2. Nature of CGIAR**

The CGIAR Centers were created on the premise that science and technology could help solve acute social problems related to food security, agricultural productivity and management of natural resources. As the CGIAR has grown, it is important to remember its essential role – it is to enable the NARS in helping the poor farmers in their countries. As the mission statement reads:

*The CGIAR is a strategic alliance of Members, partners and international agricultural Centers that mobilizes science to benefit the poor.*

To fulfill that mission, and to provide CGIAR's scientists with a productive work environment, the CGIAR's unique mission requires a unique structure much like the most modern and networked universities. Center affiliation matters still, but individual scientists must network aggressively across organizational walls with scientists not just in other CGIAR centers but in universities and a variety of partner organizations. The emphasis on collaboration and knowledge (over hierarchy and formal structure) supports the CGIAR's commitment to scientific excellence among the staff of the CGIAR Centers. CGIAR's success depends on organizing around common interests and the belief that the whole is more than the sum of the parts.

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### **Evolution and the Future of the CGIAR**

The CGIAR began as a small group of research Centers focused on raising agricultural production, largely through crop-breeding activities. Today, it encompasses a much larger number of research Centers and expanded partnerships addressing broader and more diverse set of research-for-development activities. At least seven distinct phases of development can be identified over its brief history (see Annex 1).

At the same time, CGIAR moved from concrete research products (e.g., improved crop varieties) to a process focus: developing approaches, clarifying issues and building common agendas and solutions with its partners. Its role as a moderator, initiator, facilitator, stimulator and bridge to broader stakeholder groups has become increasingly important. More than ever, CGIAR's research and partnerships must remain strong and relevant.

The need for global public goods is increasing. Critical global issues such as climate change, natural resource management and geopolitical stability link closely to food and nutrition. Although the CGIAR's mission is still relevant, adaptation of its mode of operation and structure is required from time to time. This adaptation is required to strengthen the positioning of the CGIAR between the universities and knowledge institutions of the north and the south, and to amplify its role as an important player for building capacity in national agricultural, environmental, nutrition and health research institutions in the developing world.

### **Opportunities**

To revitalize the CGIAR and assure its ongoing relevance, the change process must recognize and build on opportunities.

- Funding environment - After decades of decreasing interest and investment in agriculture, the pendulum is swinging back. Policy makers realize that the Millennium Development Goals (and similar goals beyond 2015) can be achieved only with renewed attention to rural and agricultural development, because the large majority of the poor live in rural areas of the developing world. The World Bank's 2008 *World Development Report* on agriculture highlights the need for increased attention to agriculture and the environment, to meet global development objectives. The WDR argues for increased attention to agriculture, including increased research investment, to meet development objectives.
- Rapid developments in science – Molecular biology, information technology and other advances provide new opportunities to address significant problems. In particular, participatory research approaches, often supported by information technology, build on both traditional and scientific knowledge. The approaches are especially important in marginal areas where the greatest poverty occurs.
- Center alliance and cooperation – Increasing alignment between Centers on a variety of fronts (in both research and administrative realms) is promising and there is opportunity to expand it.

It is important to see these opportunities as intrinsically linked to CGIAR's ability to revitalize itself and maintain relevance. They are keys to serving the rural poor.

### **SECTION 3. Key Internal Issues Facing CGIAR**

Initial interviews with stakeholders and Scoping Team discussions led to five possible focus areas for the change process. Addressing these focus areas would impact a broader set of challenges around the System's ability to revitalize itself, for instance our ability to attract new talent and increase diversity across the CGIAR to move away from the "old boys' network."

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An important element of the envisioned change process is consensus within the CGIAR system in defining the issues or focus areas for this initiative. The change process in 2008 cannot skip over a consensus about defining the issues, but it will quickly need to identify options to build confidence and momentum of the effort.

**1. *Research Priorities and Programs***

- The CGIAR system lacks a clear consensus about how it carries out its mission.
  - Stakeholders across the system hold varying views on where CGIAR should operate on the research-development continuum.
  - There are mixed views around how broad or narrow the high-level focus areas should be (whether it should include new global challenges, or be limited to the narrow set of issues from the early days).
- Stakeholders have varying views on the ideal number of priorities the system should have and what they should entail.
  - Some believe this issue was resolved with the System Priorities, which were subsequently approved by the CGIAR in 2005. In fact, the System Priorities are already being operationalized (e.g. developing the Framework Plans, the analysis of MTPs, the work of the ExCo ad hoc committee on funding system priorities etc.), hence the decision to launch a new visioning exercise would need to be taken cautiously.
  - Others still have concerns that a large number of priorities means that prioritization choices remain. This leads to a lack of clear, shared focus of efforts across the System – which impacts donor perception of the CGIAR system-wide coordination and efficiency. Another view is that these priorities are just an amalgamation of existing Center priorities and therefore do not reflect thoughtful, coordinated decisions or trade-offs. In any event, Centers are often forced to divert from the System Priorities to meet their individual funding requirements – creating a cycle of misaligned efforts across the System.
- The CGIAR also needs to review the effectiveness of various research mechanisms, such as challenge programs and system-wide and eco-regional programs (SWEPS).

In summary, the CGIAR system lacks a clear, consistent and shared strategy about how it will carry out its mission through a research agenda. To complicate matters, Centers must respond to increasingly restricted funding that requires working off a set of priorities that may be misaligned with others across the system. Together, these factors contribute to perceptions that CGIAR’s mission is “creeping,” building a vicious cycle in which it is harder still for the Centers to access more sustainable donor funds.

**2. *Strategic Partnerships***

- Partnerships between the Centers and a wide variety of institutions are strategic and essential. Today these relationships are strong but require renewed efforts to strengthen and broaden them.
  - The next step in the relationship between NARS and CGIAR involves CGIAR further enabling the NARS, with access to new technology and other resources. Most stakeholders agree that, in an ideal world, the CGIAR would transfer technology to the NARS and the NARS become the mechanisms that translate basic science to development, relevant to the end recipients (i.e. the poor in the developing world.) Clearly, NARS vary in capacity owing to the degree of investment and importance given by national governments to agricultural research. Some NARS have research

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capacities that are equal to or even stronger than the international centers; other NARS are in the process of strengthening or even establishing basic facilities.

- A shift in the modality of collaboration is also required, moving toward equal partnership. The CGIAR needs to communicate more effectively with the NARS. It should be a two-way communication, in which the NARS and other partners are involved in the CGIAR priority-setting exercise.
- Lastly, partnership with other key stakeholders in the private sector and civil society should be more creatively mobilized in the CGIAR.
- In engaging with more partners, we need to recognize the heterogeneity of partners, especially in regional differences.

### **3. Funding Mechanisms**

The interviews highlighted a number of issues related to donor relationships and funding mechanisms. Many believe the donors hold the keys to the CGIAR's revitalization.

- While many lament the fall in unrestricted funds and the shift toward restricted funding, it is the donors that place these conditions on their contributions. OED's external Advisory Committee to the 2003 CGIAR Meta-Evaluation concluded in the following terms:

*At present the CGIAR faces a "tragedy of the commons." Each donor furthers its aims by providing funds restricted to those aims. Each Center goes its own way, partly to get such funds, partly because doing so frees it from pressures to work with the System as a whole. The results are lack of system-wide strategy, little sense of overall ownership, and loss of system efficiency. Donors and Centers, all acting on their own priorities, together produce results that harm the priorities and productivity of all.*

- Some link a lack of understanding of the needs and priorities of the CGIAR as a whole to a decrease in unrestricted funding, forcing Centers to seek project (restricted) funding that distracts them from the core priorities. It also weakens the basic financial condition of the Centers and their ability to invest in their own infrastructure.
- Donor and Center needs often seem mismatched: long-term research should not be funded with short-term development money. Longer term funding commitments (around five years or so) would help Centers allocate resources more efficiently and focus more executive attention on research rather than administration and fundraising. In addition, volatility in funding creates an uncertain funding environment in which Centers simply cannot commit to long-term research activities.
- Priorities, and therefore funding requirements, can be conflicting to the extent the donors act without coordination.
- Often donors seek their own separate evaluations of the Centers' effectiveness and use of funds, even though the Paris Declaration on Aid Effectiveness calls for donor harmonization. This may push aside evaluations carried out by the Science Council and discussed by ExCo and the CGIAR (e.g. EPMRs) or – worse – add to them. At the same time, many Centers would like to see the donors demand more accountability from DGs and Board Chairs in general. Duplicative evaluations do not serve this objective. A rigorous, streamlined and codified system would.
- While there has been significant legitimate focus on Center performance in the recent past, donor funding arrangements have not been subject to the same scrutiny. The current CGIAR funding arrangements are more fragile than are most other international instruments.

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In summary, donor involvement, participation, and understanding of the CGIAR system and priorities are a key contributor to their ability to provide financial resources that are in the best interests of the system. Some donors have operated with this principle in mind. More broadly, however, there is still a great opportunity to improve relationships between the donors and Centers – leading to a “virtuous cycle” of communication, trust, relationship, efficiency and inspiring results.

**4. & 5. Governance (at the System and Center Level)**

There was strong agreement that governance represented a significant area for improvement. The governance issues are evident at both the System and Center levels.

**System-level**

- The CGIAR system is intrinsically complex, governance structure and processes tend to increase rather than reduce the complexity.
- Stakeholders inside the system find the structure too bureaucratic and cumbersome – making it difficult to accomplish the core mission of the system.
- Despite these fairly complex governance structures, many feel that stakeholders are often not held accountable for behaviors and results. In general roles and accountabilities across the system are unclear, sometimes feeding unnecessary tensions.
- The CGIAR Secretariat and the System Office need to strengthen their role as coordinators and facilitators by focusing on efficiency and transparency.
- Certain processes are overlapping, impose high costs, and are distracting some participants from their core obligations. Some argue that scarce resources are being drawn more to system processes - and away from research/development objectives. Decision-making in the System needs to be more efficient.
- The Centers drive innovation for CGIAR. That they need to be more networked with one another is clear, how is less so, but we do know the scientists themselves must bear considerable responsibility for those connections.

CGIAR system participants see the governance as creating challenges, which has major implications on research, funding, and a clearly articulated system-wide strategy.

**Center-level**

- Many argue that Center governance and oversight needs to be tightened. In some cases, Center boards are ineffective or too large or both. Board members are often less involved than needed and too focused on a Center rather than a system perspective. That is understandable, given their positions, but Center boards need to play a more active role in ensuring a system perspective at the level of the Centers.
- Outside the Centers themselves, there is a growing belief that there are too many Centers, sometimes with overlapping mandates. With fewer Centers, it would be easier to coordinate objectives and processes. In general, there is a feeling that Centers need to work together more closely for increased effectiveness and efficiency.

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- More importantly, Centers have unique circumstances, challenges, structures, processes and other characteristics, so it is difficult for CGIAR leaders to recommend a “one size fits all” approach for improvements.

Despite their heterogeneity, Centers do experience similar effects from system-level decisions and processes. Many Centers feel burdened by administrative and reporting requirements. These requirements divert DG attention and other Center resources from their mandate. In summary, challenges to system-level coordination and governance have a direct impact at the Center level. At both levels, there is a strong desire to streamline bureaucratic systems to re-focus energy on CGIAR objectives – and the highest-level mission.

#### **SECTION 4. Early Momentum in the Change Process**

Early gains represent a kind of down payment or good will gesture from stakeholders that also help reduce the scope of our challenges and make them easier to solve. The proposed change process emphasizes a culture that inspires individuals and stakeholder groups to actively care and work for the overall health of the CGIAR system. In that spirit, several stakeholders took some positive decisions to help the CGIAR become more efficient and streamlined, even before the formal change process is launched in 2008:

- Organize a group of willing donors to discuss funding system priorities and issues — as recommended by the Ad-Hoc Committee on Funding System Priorities and ExCo13, and presented for discussion at AGM’07.
- Streamline structure and governance of the System Office — an outcome of the System Office workshop on streamlining governance. The System Office Steering Committee already took some decisions on streamlining the structure and governance.
- Reduce reporting burden on the Centers by simplifying MTPs — as recommended by the Science Council, and approved by ExCo.
- Grant decision rights to ExCo, for example on EPMRs — as recommended by ExCo 13, and presented for discussion at AGM’07.

#### **SECTION 5. An Overview of Phase 2 of the Change Plan**

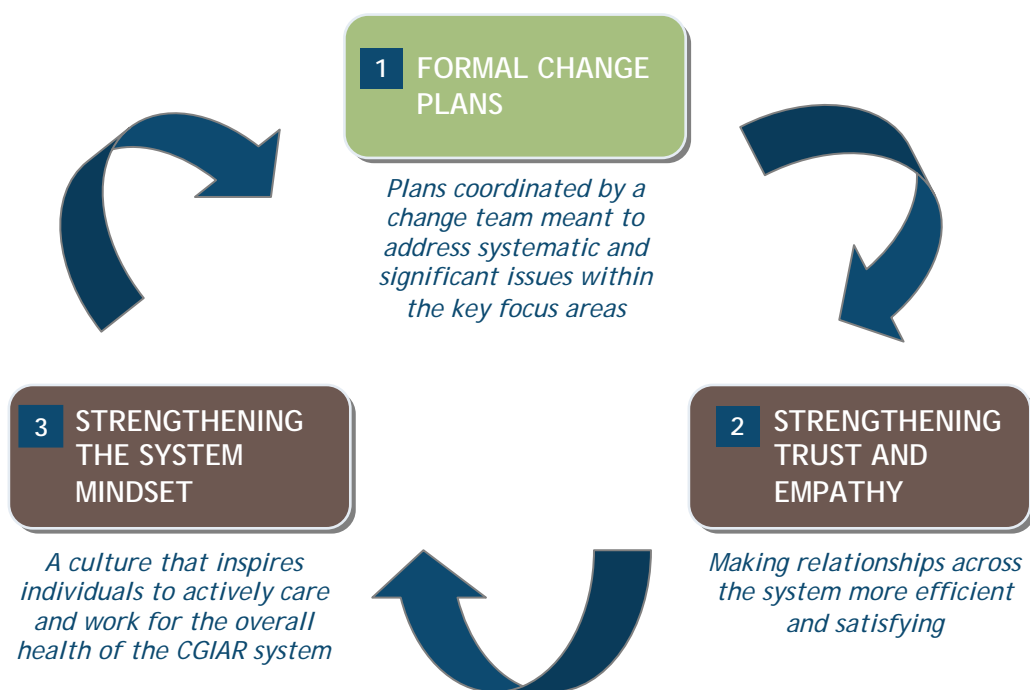
CGIAR has undertaken change efforts several times before. It is important to sustain ongoing prior efforts that are promising, learn from successes and avoid approaches that experience shows do not work. Most importantly, we want the change process, from planning through to implementation, to foster stronger communication, coordination and relationships. Better connection between the components and individuals within CGIAR is itself a quick win, which in turn will foster other improvements.

We propose a change process with three connected work streams:

1. Formal Change Plans – formal change plans are perhaps what most think of with regard to a change process like this one. Formal change plans aim to change structure or processes that shape the functioning of the CGIAR. They may also be sustained programmatic efforts targeted to improving culture, competencies or other people-related features of the System. Formal change plans represent integrated action plans that require AGM approval.

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2. Strengthening Trust and Empathy – because trust contributes to organizational efficiency and satisfying shared experiences, and because empathy is one foundation for trust, the Scoping Team proposes taking on these challenging areas. This work will begin with clear, persistent messages from System leaders about the importance of trust and empathy. The formal change process will support conversations across the system by leveraging existing meetings to introduce the topics and catalyze conversations between stakeholders to address and raise levels of trust and empathy. These conversations will seek to utilize concrete, applicable tools (for example, for conflict resolution) and develop a shared language.
3. Strengthening the System Mindset – these are efforts to encourage all the stakeholders across the CGIAR system to take actions that contribute to the long-term capacity and effectiveness of the entire system. Driven by consistent leadership communication and facilitated through a process that will be integrated with efforts at *Strengthening Trust and Empathy*, this effort is ambitious in that it aims to shift mindsets across the CGIAR. The benefit of this parallel “grassroots” effort, and the prior, is that they catalyze change at the individual level, a necessary ingredient for true change.



As mentioned earlier, these elements and the other features of the change process are designed to allow tailored approaches.

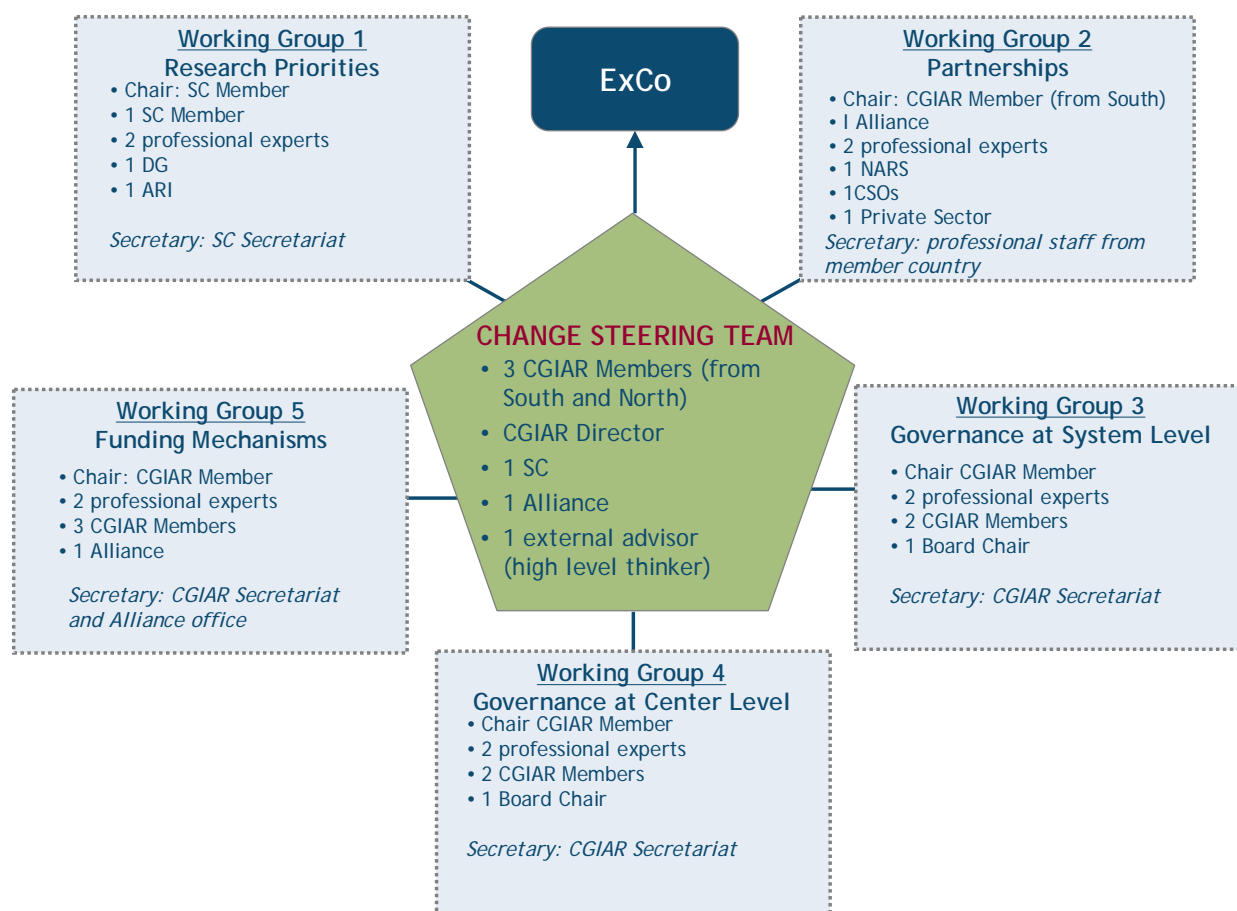
### **Overview of the Change Bodies**

The Scoping Team proposes two new bodies in the change process. The *Change Steering Team* is fundamentally accountable for leading the change process, ensuring it is on track and receiving the right resources and guidance. The *Working Groups* would develop deep understandings of the issue areas (one group per issue area) and make rigorous, creative suggestions for formal plans to address the issues. Representatives from the Working Groups (one per group) would communicate regularly to coordinate. The Scoping Team’s mandate is complete with the AGM.

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	<b>Change Steering Team (CST)</b>	<b>Working Groups</b>
<b>Mission</b>	Provide overall leadership of the change process	Develop formal change plans based on broad input that are creative and well-reasoned and will help the CGIAR revitalize
<b>Decision Rights and Accountabilities</b>	<ul style="list-style-type: none"> <li>▪ Amend membership of the Working Groups as needed</li> <li>▪ Engage stakeholders</li> <li>▪ Facilitate communication between working groups (e.g., shared internet workspace)</li> <li>▪ Plan and facilitate meetings or calls of the Working Group representatives (one from each Working Group)</li> <li>▪ Build a shared resource pool for all the Working Groups</li> </ul>	<ul style="list-style-type: none"> <li>▪ Seek input and involvement from across and outside the system so as to ensure a broad perspective</li> <li>▪ Stay in close communications with Change Steering Team; engage in productive debate to push change process forward</li> <li>▪ Provide one member to serve on a coordinating body of Working Groups</li> </ul>
<b>Commitment</b>	~ Thirty working days in 2008	~ Thirty working days in 2008

The proposed composition of the teams, still to be validated with further input, is as shown:



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To provide more detail on roles:

- CST and the Working Group – the CST and Working Groups are ultimately accountable for change plans that help the CGIAR revitalize, but it is critical to note that they must be highly inclusive in the process. While they must provide thought leadership, they are also asked to bring many voices into the conversation – running the process in a way that reflects the level of connection, networking and relevance to which CGIAR aspires.
- The ExCo – the ExCo will govern the change process. The CST and Working Groups will be accountable to ExCo for the quality of their work and their mission to help revitalize the CGIAR. ExCo should provide helpful feedback in support of the process.
- The CGIAR Chairperson – the Scoping Team asks the Chairperson to lend overall leadership to the change process, but in particular be a strong voice for the second and third work streams, *Strengthening Trust and Empathy* and *Strengthening the System Mindset*. That means addressing, exploring and encouraging these two work streams in virtually every interaction as well as highlighting cases where the system is excelling, changing or falling short. In addition, the Scoping Team asks the Chairperson’s help in securing the resources required to sustain the change effort.
- The CGIAR Director – the director has the same requirements and expectations, with additional roles to play. The Director will serve on the Change Steering Team and provide support, leadership, recognition, resources and barrier-removal for the CST and Working Groups.

**Timing and Flow Overview of the Three Workstreams**

The process to develop Change Plans in 2008 will have a few major steps with deliverables associated with each:

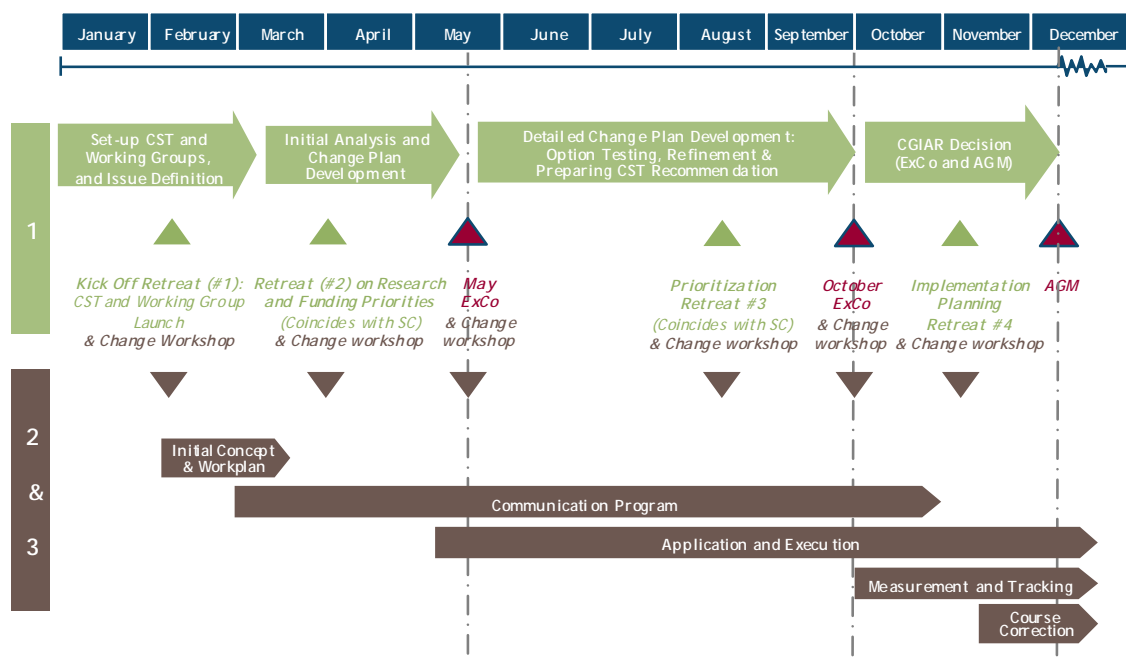
- January – February: Issue Definition. The first three months of the year will include setting up the Change Steering Team and then the Working Groups to *frame their objectives and work plan*. Through consideration of the data and structured discussion, the Working Groups will then *produce a set of crisp, inclusive and accurate issue statements*. These issue statements are meant to give a precise definition of the most important challenges facing CGIAR (the current state) and clear objectives (the future state). By their nature, the issue statements will involve trade-offs and prioritization, reflecting thoughtful choices about which challenges to solve and which not to. Critical to their usefulness is extreme specificity and accuracy. For example, it will be insufficient to say “Transaction costs within CGIAR are high.” Much more detail – where are the costs highest, what are the key drivers of high transaction costs, what particular actions, processes regulations etc. are making them high, who is bearing the cost – will be required for the issue statements to represent new and actionable insight.
- March – April: Initial Change Plan Development. In the next two months the Working Groups will *consider the issue statements* they have developed and the *change plan options* they have created or that have been offered through the Change Workshops, existing meetings, an open web site and other channels. Working closely with the CST, the Working Groups will develop *change plans* that are efficient, courageous and original – not restatements of solutions that have been discussed for some years with the CGIAR without action. The CST then will integrate the five Working Group plans, and present a *preliminary, high level change proposal* to ExCo.
- May – October: Detailed Change Plan Development. Based on feedback from ExCo, the Working Groups will *refine the change plans*, with additional data gathering, analysis and discussion. The Working Groups will draw on external professional resources as needed. The change plans will require a high level of detail, so they *offer implementation plans* that offer a clear view of what would happen. To the extent possible, the Working Teams will seek support for the change plans to create a sense of momentum and possibility heading into ExCo and AGM.

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- October – December: CGIAR Decision (approval from ExCo and AGM). The change plans will be presented by the CST to ExCo in late September/early October (depending on the scheduling) for approval. Based on ExCo’s input, the Working Groups will *refine the change plans and present final versions for approval at AGM 2008*.

Throughout this process, the CST will perform its essential coordination and support role. Targeted change initiatives that have obvious merit and widespread support will be implemented as soon as practical.

For the other work streams (*Strengthening Trust and Empathy* and *Strengthening the System Mindset*), more has been left to the CST to determine. The Scoping Team proposes that work begin in January and February to frame (plan) these efforts. Communication about these plans would begin in February to be followed by the actual discussions (facilitated work shops, introduction of tools, targeted leadership communication). The first communication of progress to the broad organization would begin in June, and explicit changes to the work plan to reflect lessons learned would begin in August.



One additional note about timing: there has been discussion of a high-level meeting of government officials from Member countries (a “Lucerne-type meeting”). To have such a meeting in early 2009 the CGIAR would need a compelling statement of its priorities that would provide motivation and clarity for the officials. Yet such meetings take a year or more of preparation, and so we should take the decision at AGM 2007 whether to commit to such a meeting.

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### **The Role of Change Workshops**

The change workshops are facilitated discussions meant to support all three work streams of the change process. These change workshops would be integrated with existing meetings, such as the Science Council, the Alliance meetings, ExCo and any other interactions of key stakeholders where there is appetite and space in the meeting. The change workshops would evolve from one to the next based on the prior experiences of the participants (to what extent they have learned the concepts before), the nature of the relationships of the participants (the extent to which they would benefit from trust and empathy conversations) and the needs of the Working Groups (to what extent they would like feedback on change plans from the participants).

The change workshops have the following objectives:

- Discuss the health of the CGIAR and surface potential ideas that would support the Working Groups
- Explore the notion of the “System Mindset” – what it means and how we can each take new actions to exhibit that mindset
- Make specific, voluntary and shared action commitments that will strengthen the system below the level of formal change plans
- Discuss the elements of trust and empathy and make specific commitments to build them in a way that is immediate and actionable

Conversations and commitments in each area would be documented and selectively communicated to help raise awareness and accountability and to catalyze similar commitments.

### **The Philosophy of Change**

However the change process proceeds, we suggest a set of principles that would guide our effort at every step. Some of these might include the following:

- Emphasize rapid impact – Early impact from change efforts is critical for its own sake, as the CGIAR’s needs are pressing, but it has the added benefit of constantly refreshing enthusiasm for the change process. We want the participants to feel continuously rewarded for their emotional investment in the change process and therefore motivated to continue working at it.
- Learn from the past – Past change efforts have addressed similar issues and set about to achieve similar goals. Some of these efforts have shown promise. With more time and focus, they could yield substantial gain. Others have failed and provide learning opportunities.
- Emphasize the informal and the voluntary – While binding agreements are attractive for their clarity and definitiveness, they are also time-consuming and difficult to negotiate. They do not, by their nature, emphasize dialogue and trust-based relationships, which are powerful levers for system efficiency. While some formal governance work is clearly required, there is great leverage to be had by building trust, clarifying mutual expectations and building compassion for the challenges each element of CGIAR faces.
- Rely on outstanding communications– Change processes have the most impact when they benefit from exceptional communication across all parts of the organization. Efforts should always be made to over-communicate key messages, promote debate and capture and circulate lessons learned.
- Focused accountability with broad consultation – we have composed the Change Steering Team and Working Groups to be small in an effort to make them efficient and accountable. Still, the process is meant to encourage broad consultation to leverage the best thinking and reflect a variety of circumstances – without growing the teams to the point they are ineffective.

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- Use the existing organization – We have sought to minimize the number of new bodies in the change process, because too many new bodies are confusing and tiring and it is far preferable to invest responsibility in the existing structure.
- Quality over quantity – We recommend more focused change plans that are well reasoned, force real trade offs and have detailed implementation plans over wide-ranging change plans that propose more change than the organization can actually process.
- Address issues of trust and relationships directly – In the midst of conversations about governance, process, issues and so on, it is critical to remember that trust is the oil that keeps the CGIAR machine running efficiently. We want to take time in the change process to raise trust levels and improve our facility in these conversations.

**Conclusion**

The change process is meant to revitalize the CGIAR. A process driven by key stakeholders across the system will be vital to ensure full buy-in and implementation. The sponsors of this change effort, and the Scoping Team, picture a CGIAR that operates with high levels of trust, efficiency and connection. We see CGIAR as an essential contributor, well connected to other organizations that are critical to efforts to reduce poverty. We see ever-increasing awareness, recognition and support for CGIAR's efforts. We see CGIAR as a productive and satisfying place to work for those who want to address issues of poverty. The change process will surely be challenging at times. It is important to remember why we are undertaking it.

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**ANNEX**

1. *Evolution of the CGIAR System*
2. *Summary of interviews and survey findings*
3. *Philosophy of the change process*

**ANNEX 1 - Evolution of the CGIAR System**

1. Plant breeding activities oriented to high yielding varieties of rice, wheat and maize, the major food staple crops. IRRI, CIMMYT (1960 – 1965).
2. Plant breeding activities underpinned by agronomic activities tailored to the needs of the high yielding varieties, crop protection, irrigation, soil fertility, plant nutrition. IITA, CIAT, ICRISAT, ICARDA (1965 – 1975).
3. Farming systems research to fine tune the agronomic and technological activities to the specific needs of various socio-economic characterized farming systems. More socio-economic research and policy research to address distorted policies and weak institutions recognizing the critical role that good agricultural policies and strong NARS play in accelerating technological change and fostering agricultural development and to enable impact. IFPRI, ISNAR (1975 – 1980).
4. Broadening the objectives of the research by including biodiversity, natural resource management, natural ecosystems, and agro-forestry. IPGRI, ICRAF, CIFOR, IWMI, ICLARM (now WorldFish) (1980 – 1990).
5. Problems can't be solved at farm level unless the conditions are created that enable them to do the right things. Eco-regional progress aiming at higher integration levels were identified (Eco-regional Programs). (1990 – 1998)
6. Global programs have to be addressed by combined and collaborative efforts of the Centers (Challenge Programs). (1998 – present)
7. Mobilization of science and stimulating agricultural research closer and more extensive partnerships with private sector and civil society. (current)

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**ANNEX 2 – Top-Level Insights from the Interviews and Surveys**

Detailed summaries of the interviews and survey are available and will also be presented before the AGM'07 in Beijing. In this document, the Scoping Team would like to share a few of the highest level findings that informed the change approach.

- The CGIAR continues to be a unique organization with a history of tremendous success against a very worthwhile and inspiring mission – although there is lack of consensus about how in the future the CGIAR should carry out its mission.
- While partnerships with different stakeholder groups (NARS, CSOs and private sector) have made progress in recent years, there is still room for significant improvement and long-term strategic dialogue – especially around linking the research results to development.
- The CGIAR system is intrinsically complex, yet the current governance structure and processes tend to deepen that complexity rather than reduce it.
- At the same time, respondents want to see more accountability and transparency across the system – from center governance to funding mechanisms.
- Stakeholder groups often act for their own short-term benefit in ways that undermine the overall CGIAR system in the long run.

Key facts about the interviews:

- 35 people interviewed from August to November 2007
- Interviewees included 19 Members, 5 Center representatives, 8 Science Council Members and 3 Partners
- Interviews were conducted by consultant from The Trium Group in person or over the phone
- The length of these conversations ranged from 30 – 90 minutes

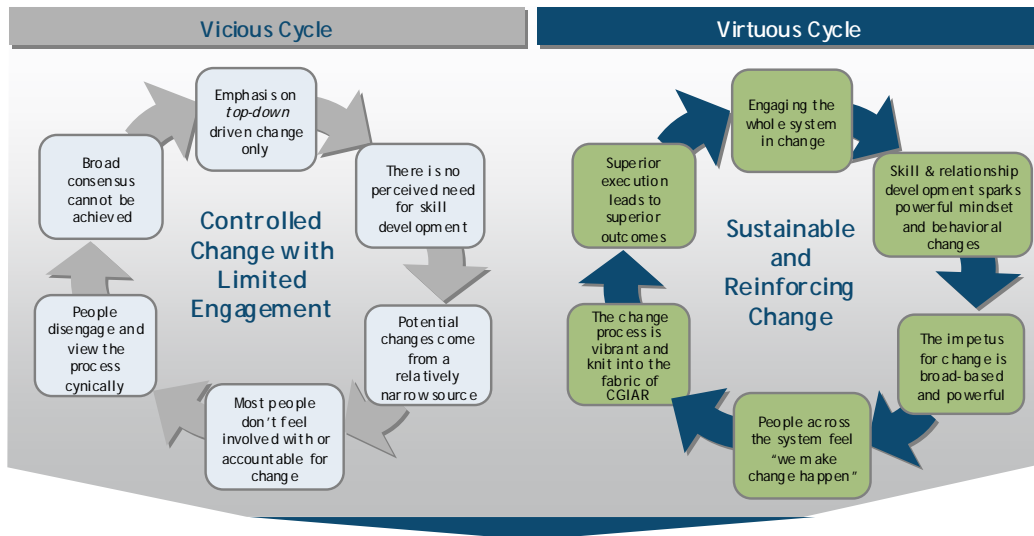
Key facts about the survey:

- Open from October 29 to November 12
- The survey was sent to 274 people – 107 Members, 30 Centers, 8 Science Council Members, 18 Private Sector representatives, 54 CSO representatives, 37 Partners and 20 young scientists
- 115 people (42%) responded, although some of these were partial responses

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**ANNEX 3 – Philosophy of the Change Process**

The proposed change approach emphasizes ownership for change across the System

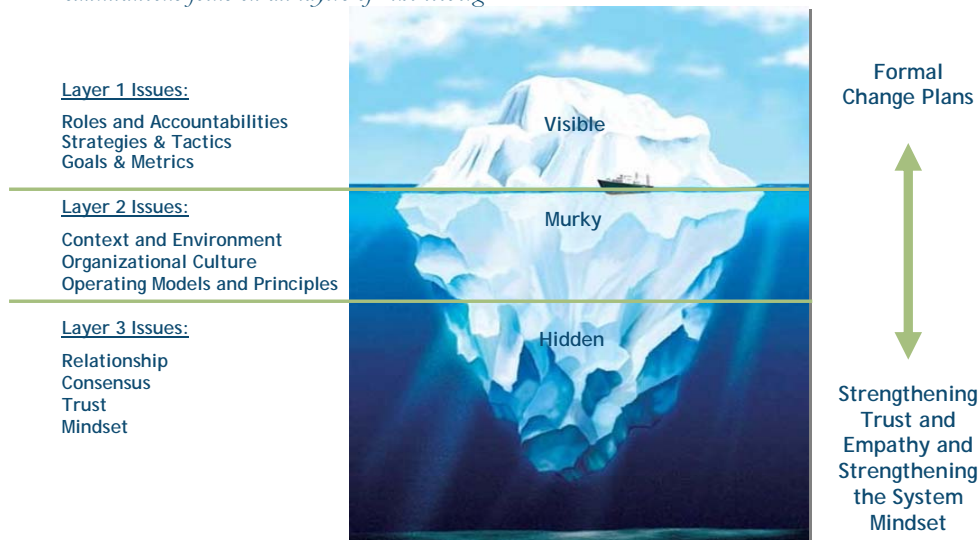


**PROPOSED PRINCIPLES OF THE CHANGE PROCESS:**

- We should foster good ideas at all levels
- When needed, formal approval for a change initiative should come from the lowest possible level for quick implementation
- Formal change initiatives should never be seen as more important than informal processes, relationships and voluntary action

**Fundamental Design Principles of Proposed Process**

*At the same time, high impact and long term, sustainable change management efforts require simultaneous focus on all layers of "the iceberg"*



Like the bottom of an iceberg, Layer 3 issues are hidden from view, yet represent the center of gravity for organizational change - they are necessary for real and lasting change