

A Business Plan Concept: 5 Proposed Themes and 15 potential ‘big ideas’

Purpose: This document sets out an introduction to 5 proposed themes and a series of potential ideas to include in an initial 3-year CGIAR Business Plan. It is intended to inform discussions during a number of agenda items during the System Council’s 6th meeting on 16-17 May 2018, as referred to in the Provisional Agenda.

Prepared by: CGIAR System Management Office

Background on business plan concept



At System Council 5th meeting in Cali:

- [SC5-04: CGIAR Business Cycle](#) set out a proposal for the CGIAR System to adopt a business planning cycle as a mechanism to deliver a systematic approach to the sequencing of major operational, financial and institutional decision-making at the system level.
- **Decision SC/M5/DP4:** The System Council **endorsed** a business planning cycle concept for the CGIAR System, with a proposed multi-year business plan for the CGIAR System being brought for final approval to the System Council’s November 2018 meeting (and launched from 1 January 2019), with an update on progress being provided to the System Council’s May 2018 meeting.

Key delivery dates for a 1st CGIAR Business Plan

Date	Meeting	Status/planned activity
9-10 November 2017	SC5	✓ <i>Concept endorsed</i>
11-12 December 2017	SMB8	✓ <i>Discussions were based on incorporation of key workstreams into proposed cycle</i>
23-24 January 2018	2 nd General Assembly	✓ <i>Presented to and discussed with GA</i>
6 March 2018	SMB consultation call	✓ <i>Concept developed following consultation to be presented and discussed</i>
10-11 April 2018	SMB9	✓ <i>Refined concept paper to be presented for discussion</i>
16-17 May 2018	SC6	Concept paper further refined based on Board’s inputs to be presented for discussion
26-27 September 2018	SMB10	Draft final developed concept to be presented for discussion
Mid-November 2018	SC7	Final paper submitted to Council for approval
13 December 2018	SMB11 (Virtual)	Any required decisions on operationalizing the planning cycle

Framing the business plan concept

- **Overriding purpose:** To fully unlock the potential of the 2016 CGIAR governance reforms – which opened the door to a reinvigorated sense of collective ownership of the Centers to help chart the destiny of the CGIAR System, with the System Management Board having been created by the Centers and Funders to be a major convening and guiding force.
- **What is emerging from consultations since November 2017:** Is a business concept whose elements add up to an ambitious but achievable set of innovations. Not a “big bang” reform, but a series of changes aimed to proactively manage necessary evolution.
- **A major challenge - and opportunity - in putting together the building blocks for the 1st multi-year business plan:** Is the absence of clarity on a shared CGIAR business model for how CGIAR as a System can deliver on its ambitious goals in the context of an accelerating pace of global change.
- **Hence: the proposed first business plan for 2019-2021 will have the twin goals:**
 1. Modernizing and improving today’s CGIAR, yet at the same time,...
 2. Defining the need, and processes, for potentially radical rethinking and clarifying a shared CGIAR business model, to inform a clear longer-run strategy for the next portfolio and to provide a framework for anticipated ongoing institutional innovation.
- **A key consideration on the emerging issues as the business plan concept evolves - they are self-reinforcing:** Requiring a change in behavior by all key stakeholders to improve performance. For example, programs will only be able to better drive performance improvements across the System if Funders increase the share of resources allocated to Windows 1 and 2. Similarly, Funders will only do this if they have increased confidence around a plan to improve performance, requiring action by program leaders and Centers. There are many other such symmetries in this business plan concept.

A possible business plan meta-narrative?

An overall objective

To position CGIAR for a relevant role in the 21st century through sharp focus and increased relevance and impact in a rapidly changing context where 'business as usual' approaches no longer apply.

A longer-run goal

CGIAR has a high degree of relevance and name recognition as a thought leader, agenda-setter and go-to place for continued innovation in the fields of evidence, analytics and scalable solutions for natural resource management in a broad sense of the term, agriculture and attendant transformations, and nutrition, health and balanced diets – guided by an operational framework that is lean in terms of transaction costs, efficient, more effective, and clear about its brand and unique selling points.

The challenge and opportunity: focus and simplify :

- **The pace of change in our operating environment is accelerating** – we must identify how we can continue to remain relevant in this context. This requires deeper consideration to help frame the business plan and the required planning exercise. The food system is at the center of climate change, health challenges, environmental degradation, jobs creation and of course food security. Drawing on CGIAR's new narrative, how can CGIAR position itself in the face of the simultaneous transformations in genomics, information technology, markets, the natural environment and nutrition?
- **We have assets the world is going to need for a long time to come, but only if we adapt and create value from them** – reinventing and rebranding ourselves and what we do as and when required. Incredible resources in terms of science capability is at our disposal, as well as influential assets such as our global presence and critical mass in terms of skilled staff that should allow us to continue to rethink and reconfigure the way we work.
- **Shift further from 'small stuff' to 'big things'** - big, bundled initiatives that can command the funding and long-term drive enabling us to go for large-scale, transformational impact in cooperation with partners. This was the principle in setting up the CRPs – we need to finish the job.
- **Tackle any spread, repetition and fragmentation.** For example bundle efforts strategically; elicit synergy through cooperation; coordinate and align the work of Centers that are doing similar work, bringing the comparative advantages of each cooperatively to bear on the causes we serve.
- **Lower transaction costs and overhead related to governance and administration.** Take internal measures, including structural measures, addressing commons and boundary issues that are unlikely to be fixable by individual Centers acting on their own.

Situating the Business Plan - Global Challenges

Food – the way we grow, catch, transport, process, trade, and consume it – is central to the main challenges facing humanity.



FOOD SECURITY

Yield increases of staple crops have flatlined, struggling to keep pace with growing demand. Agricultural output must increase in harmony with the natural environment by improving access to quality inputs, extension services and innovations along the value chain



HEALTH

2016 saw this decade's first increase in the number of chronically undernourished, now more than 800 million people. Two billion people suffer from micronutrient deficiencies, an equal number are overweight or obese.



ENVIRONMENT

Water, land and forests are precious, yet finite, natural resources. Agriculture accounts for about 70% of global water withdrawals and is the biggest cause of forest loss. Additionally, a third of the world's soil is classified as degraded.



CLIMATE

Climate change and climate shocks put the most vulnerable people at risk. Heat, drought, flood, and unpredictable growing seasons harm farmers and production systems.



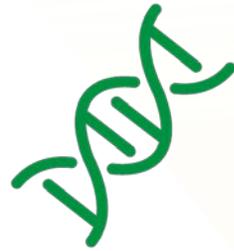
PROSPERITY

Many of the world's poor rely on agriculture and natural resources for food and livelihood. More than 85% of the world's 1.2 billion youth live in developing countries where meaningful employment and entrepreneurial opportunities are limited – contributing to migration and political insecurity.

Situating the Business Plan: Harnessing knowledge-intensive transformations



To solve these complex challenges, CGIAR partners with governments, national research institutes, civil society and the private sector on 5 global transformations... all knowledge intensive.



GENOMICS REVOLUTION

To accelerate development of a new generation of crops and animals, to improve yield, as well as increase nutrient content and market value – while increasing resilience to climate challenges, pests and diseases.



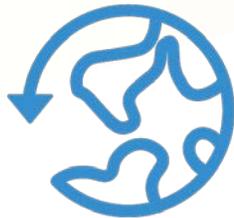
NUTRITION TRANSFORMATION

To tackle chronic malnutrition, hidden hunger and the availability of safe, healthy and diverse foods by harnessing the political, technological, and market potential of food systems



ECONOMIC TRANSFORMATION

To revitalize rural economies, bring value to consumers, and leverage the power of economic growth to reduce poverty – targeting equity and the key role of women in production, post-harvest processing and across the value chain.



ENVIRONMENTAL TRANSFORMATION

To drastically cut the environmental cost of agriculture and reverse land degradation by scaling up climate-smart agriculture, and improving soil health, agroforestry practices, natural resource management and water use efficiency.



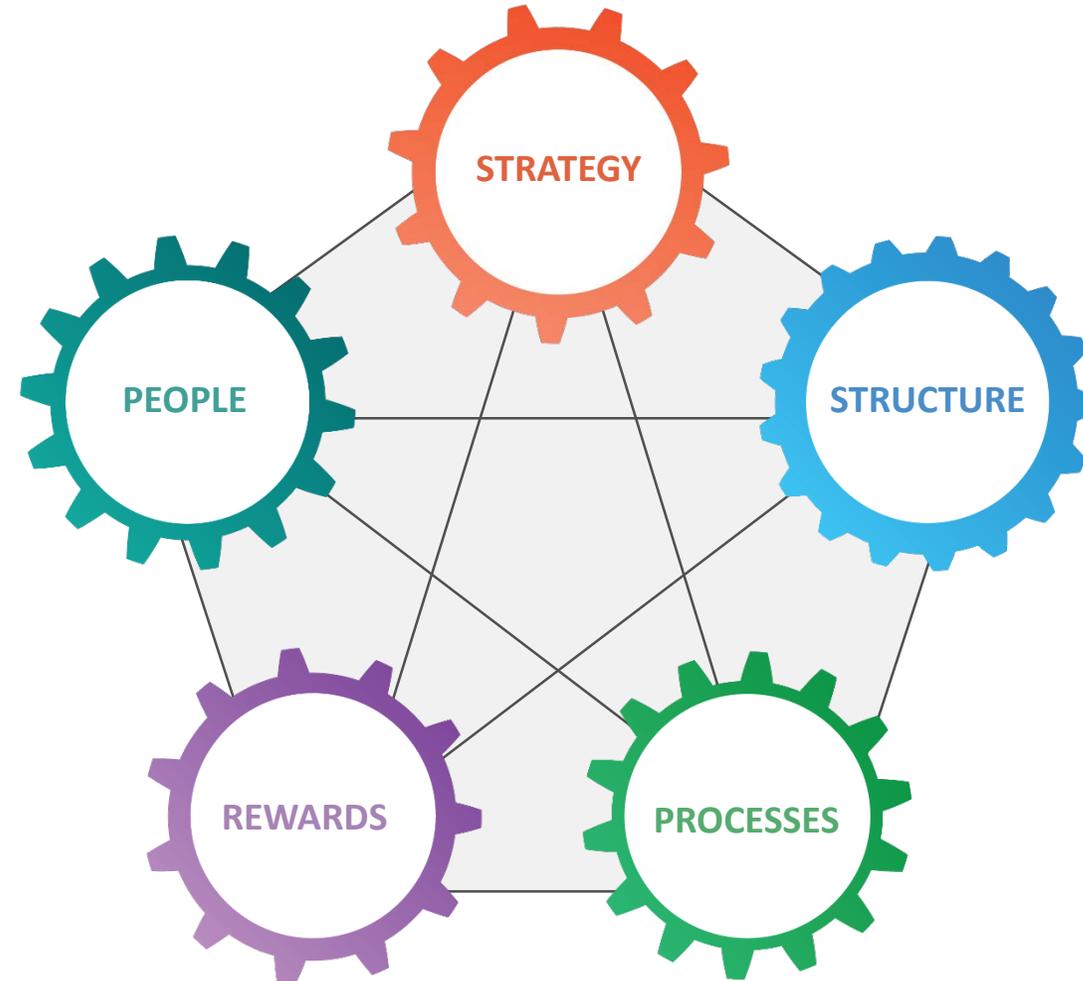
INFORMATION REVOLUTION

To deliver impact-at-scale by harnessing the power of agriculturally relevant data and analytics for farmers, businesses and governments, and to facilitate two-way information sharing for learning and decision support

A possible structure for the Business Plan

There are many ways to divide up the complex set of issues to be addressed in the CGIAR Business Plan that will be developed during 2018.

This concept document uses the “**Star Model**” by Jay Galbraith¹ which defines a taxonomy to articulate the elements of a business model, with each element individually important as well as being deeply dependent upon and connected to others in the model.



¹ From Business Model Generation, by Alexander Osterwalder & Yves Pigneur

Summary: 5 themes and 15 potential ‘big ideas’ for an initial CGIAR System 3-year business plan



Section 1. <u>Strategy</u>: Improving Strategizing and Planning	1.1 Defining a planning landscape to 2030 1.2 Optimizing the current portfolio 1.3 Planning for financial viability	Slides 8 to 15
Section 2. <u>Structure</u>: Catalyzing institutional innovation	2.1 Deeper System-wide cooperation and alignment 2.2 Enhancing CGIAR assets and response preparedness 2.3 Strengthened collaboration with delivery partners	Slides 16 to 21
Section 3. <u>Processes</u>: Defining and improving	3.1 A program performance management framework 3.2 A 5-point plan to improve System funding modalities 3.3 A 4-point plan for an aligned assurance system	Slides 22 to 40
Section 4. <u>Rewards</u>: Securing a long-term funding base	4.1 Reaffirm funder commitments 4.2 Attract new investments to shared research agenda 4.3 Stewardship, visibility and recognition	Slides 41 to 44
Section 5. <u>People</u>: Attracting, retaining and nurturing the best	5.1 Embed gender equity in the workplace 5.2 Operate according to best practice ethical standards 5.3 Monitor metrics around an agreed people strategy	Slides 45 to 46

Interpretation note: The ideas listed within each of the 5 business plan elements above represent some of the key concepts that are emerging from consultations across the System. However, this does not necessarily represent the way in which each idea is covered in this document. As some ideas are more developed than others, individual ideas within each of the sections may be presented as a part of: a combined slide of ideas; expanded on a separate slide; or described across multiple slides.



Section 1 – Strategy

Improving Strategizing and Planning

The opportunity:

For CGIAR to adopt a forward-leaning strategizing and planning process to the 2030 SDG ‘milestone moment’ – facilitating constant innovation and proactive change management to head off problems before they require “big-bang” reforms. The accelerating pace of change in CGIAR’s operating environment demands this.

The ideas:

- 1.1 Defining a planning landscape to 2030
- 1.2 Optimizing the current Portfolio
- 1.3 Planning for financial viability

More detail:

Slides 9 - 12

Slide 13

Slide 14 - 15



Sub-section 1.1

Defining a planning landscape to 2030



1



2



3



4

2019 Annual Work/ Budget Cycle	2020 Annual Work/ Budget Cycle	2021 Annual Work/ Budget Cycle	2022 Annual Work/ Budget Cycle	2023 Annual Work/ Budget Cycle	2024 Annual Work/ Budget Cycle	2025 Annual Work/ Budget Cycle	2026 Annual Work/ Budget Cycle	2027 Annual Work/ Budget Cycle	2028 Annual Work/ Budget Cycle	2029 Annual Work/ Budget Cycle	2030 Annual Work/ Budget Cycle
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January 2019 January 2022 January 2025 January 2028

2030

Key goals

- 1 NO POVERTY
- 2 ZERO HUNGER
- 3 GOOD HEALTH AND WELL-BEING
- 5 GENDER EQUALITY
- 6 CLEAN WATER AND SANITATION
- 13 CLIMATE ACTION
- 15 LIFE ON LAND



1.1. Defining a planning landscape to 2030 - 4 layers

The opportunity

A key date is 2030 – the reconciliation moment in terms of progress against the global SDGs. It is also the moment that our Strategy and Results Framework (“SRF”) ends. As an anchor date to our forward thinking it therefore seems like a good target date for our planning processes.

The ideas

First, the **SRF** as a broad expression of our overall research strategy and goals – running to 2030.

Second, a **CGIAR “2030 Plan”** that sets out a new round of programming for the 2022-2030 period, framed in terms of CGIAR’s planned contribution to meeting the SDGs. The Plan would cover three business cycles. This would cover much of the strategic content of current CRP/Platform submissions, filling a critical gap in terms of providing clear institutional strategies on key areas and a vision around CGIAR’s niche and theories of change – but would stop short of detailed activity and budgeting plans – these would be covered and renewed periodically in successive 3-year business plans. Key questions for the 2030 Plan could include: whether/how to re-frame CGIAR’s objectives and reporting in terms of SDGs? what could be the longer-term institutional objectives to 2030? What should be the major ‘programming themes’ in the plan – and how closely could these relate to the SDGs? How could the CGIAR research program modality be further improved? E.g. Comprehensive or not? Larger or smaller? Frameworks or programs? Role of W1/2 as now or more narrowly focused? How to improve the process? Built in flexibility to respond to changing circumstances or fixed over business plan period?

Third, **3-year CGIAR System Business Plans**. These would align all key elements into a well-managed cycle (see slide below). Three year program implementation plans in support of the 2030 research themes would be presented from Business Plan 2, which taken collectively are the backbone of the 3-year business plan. Key advantages of a 3-year cycle include: it fits best with CGIAR’s funder’s typical multi-year approval cycles – only a few extend beyond 3 years, with those longer funding cycles still welcomed and not requiring shortening; it enables a more nimble Portfolio – 3 yearly adjustments but based on longer-run program themes in the 2030 Plan to ensure more stability; 3 years is short enough to allow for deeper reprogramming and reallocations if required every 3 years, simultaneously providing for more within-period stability and space for researchers to focus on implementation; a 3-year cycle is typical for multilateral organizations (e.g. IFAD, IDA).

Fourth, an **annual cycle** that has as its focus an SMB submission to November System Council meetings recommending any changes to budgets and/or CRP annual programming plans.

Center-level planning cycles are foundational. Centers have the opportunity to explore any scope of alignment with the 3-year business plans and/or the 2030 Plan.

1.1. Aligning with the Sustainable Development Goals (SDGs)

The opportunity:

To align System goals and reporting to the SDGs, and improve the quality of measurement of CGIAR's contribution to the SDG targets.

The ideas:

- In a '2030 Plan', CGIAR could reformulate goals and high-level theories of change to align with SDG targets
- Improve measurement of the CGIAR contribution to SDGs, building on ongoing analysis commissioned by ISPC
- Use of SDG metrics in CGIAR impact assessments

CGIAR STRATEGIC GOALS



2030 TARGETS AS STATED IN CGIAR'S 2016-2030 STRATEGY AND RESULTS FRAMEWORK

- 350 million more farm households have adopted improved varieties, breeds or trees, and/or improved management practice
- 100 million people, 50% of them women, assisted in exiting poverty



- Improve the rate of yield increase for major food staples from current <math>< 2.0</math> to $2.5\%/$year
- 150 million more people, 50% of them women, meeting minimum dietary energy requirements
- 500 million more people, 50% of them women, without deficiencies of one or more of the following essential micronutrients: iron, zinc, iodine, vitamin A, folate and vitamin B12
- 33% reduction in women of reproductive age who are consuming less than the adequate number of food groups



- 20% increase in water and nutrient (inorganic, biological) use efficiency in agro-ecosystems, including through recycling and reuse
- Reduce agriculture related greenhouse gas emissions by 8 Gt CO₂-e yr⁻¹ (15%), compared with a business-as-usual scenario in 2030
- 190 million hectares (ha) degraded land area restored
- 5 million ha of forest saved from deforestation

SUSTAINABLE DEVELOPMENT GOALS



1.1. Defining a planning landscape to 2030 - 3-year business plan concept*

	Key element	Preparatory year (2018)	Year 1 (2019)	Year 2 (2020)	Year 3 (2021)
1	Business planning process	Initial 3-year (2019-22) business plan prepared and approved by November 2018	Launch implementation of business plan	Initiate planning and scoping for next business cycle	Finalization and initial green-light of 2022-24 business cycle at May SC meeting. November SC - agree new 3-year business plan for next cycle
2	Getting to 2030 – SDGs/ CGIAR SRF	SC, General Assembly, and SMB reflections on case for a '2030 Plan'	2030 Plan preparation including planning for check-in moments	May System Council – 2030 Plan approval	Relevant implementation actions
3	Evaluation	Agree a CGIAR evaluation plan over 3-year cycle – bringing in visibility of all evaluation work undertaken in System	Carrying out planned evaluations by Centers, System, other stakeholders	Completion of planned evaluations – with main evaluation inputs received by end of year 2	Completion of planned evaluations by end of year 3 and agree next 3-year workplan as part of new business plan
4	Reporting	Pilot 'CGIAR Annual performance report' concept on 2017	Annual performance report on 2018	Annual performance report on 2019	Annual performance report on 2020 – to include a meta-level assessment of progress towards CGIAR's System Level Outcomes + SDGs over cycle
5	Impact Assessment (past research)	Align funding and work plan for SPIA to 3-year business planning cycle	Capacity strengthening in impact assessment + one major cross-cutting thematic review	Lessons learned from SPIA + 1 or 2 major impact assessments of past research to inform broader conversation on CGIAR's role	Preparation of next cycle of impact assessment support to Centers/programs
6	Foresight	Foresight event aligned to SC November 2018		Year 2 – major foresight publication/science event to help to frame strategic focus of next 3-year research cycle	Potential specific foresight questions to address if specially requested by SC
7	Research programming	For first cycle: continue with 2017-2021 Portfolio (amended and improved as appropriate). 3-year indicative Program Plans prepared as basis for Business Plan	Relevant updates to 2019-2021 indicative 3-year Programs Plans [* Second cycle 2022-2024 – launch updated/new research themes/programs]	Guided by the '2030 Plan', commission development of next round of rolling program implementation plans + set criteria for independent review. Relevant updates to 2019-2021 indicative 3-year Programs Plans.	Independent review of planned next cycle of research + November System Council decision on a new round of 2022-2024 3-year implementation plans towards the '2030 Plan' research themes/programs.
8	Funding	Collective multi-year pledging process (total amounts + at CRP/Platform level)	Annual contributions (and annual pledging for relevant funders)	Annual contributions (and annual pledging for relevant funders)	Multi-year pledging process (total amounts + at CRP level)
9	System Council Funder membership	Possible reconsideration of the timing for considering Funder seating		End of year 2 - reconciliation of last 3-year Funder seating based on contributions	
10	Budgeting	Prepare 3-year Financing Plan for the System and seek agreement on new funding modalities	Forward looking annual budget review for 2020-2021	Forward looking annual budget review for 2021	November SC - Agree next 3-year programs + platforms + System entities forward indicative budgets
11	Advocacy + communications	System Council++ event	Annual theme: XX (e.g. climate)	Annual theme: XX (e.g. foresight theme)	Annual theme: XX (e.g. progress towards SDG targets)

***Interpretation note:** Slide aims to share the anticipated level of detail in the initial 3-year business plan.

Does not seek to cover all elements that would be included.



Sub-section 1.2

Optimizing the current Portfolio



Opportunities to improve and clarify in some areas

Topic	Challenge
1. Breeding	Enhance CGIAR's key breeding programs in capacity and the means to capitalize with global suppliers (of inputs, including knowledge management) and enter into effective dissemination pathways – through the multi-Funder initiative to enhance crop breeding programs.
2. Fall Armyworm	More strategically target the threat to food security, nutrition and livelihoods posed by Fall Armyworm through coordinated action across CGIAR.
3. Private sector engagement	Seize opportunities to harness the full potential of our partnerships – skills, capacity, approach, and scale.
4. Gender in research	Clearly articulate CGIAR's approach through adoption of a clear plan on Gender in Research; better integration of gender in performance management system.
5. Climate change	A system-wide institutional strategy on our work on climate change could help underpin CGIAR's success and funding on this increasingly urgent and dominant issue.
6. Addressing hidden hunger	With a first focus on a cross-Center approach to developing a CGIAR-wide biofortification strategy covering key substantive and institutional issues
7. Anti-microbial resistance	To set out an ambitious contribution of CGIAR to tackle anti-microbial resistance.
8. CGIAR's genebanks	Address a strategic gap in CGIAR's Strategy and Results Framework regarding CGIAR's genebanks

To note:

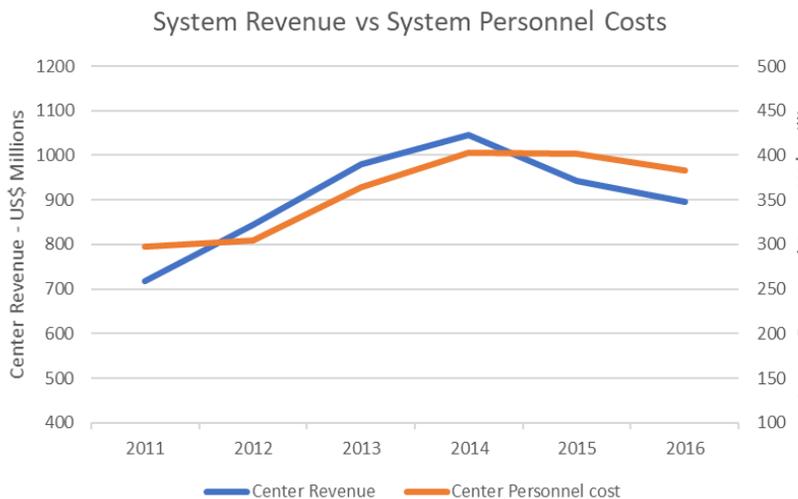
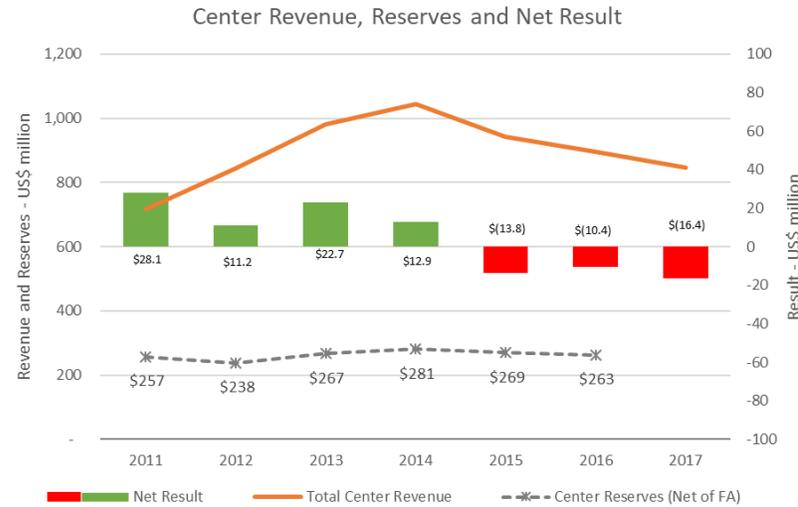
- The first 3-year business plan would aim to continue the current portfolio but address various gaps in institutional strategy.
- New areas or tasks may be included in the Portfolio over the business plan period.
To note: Modalities were set out in document SC5-07 (November 2017 SC meeting) on managing CRP revisions, including the process for adding new flagships or major expansions in scope to a flagship.
- A possible additional criteria for entry into the Portfolio during the business cycle would be the requirement for meeting a minimum ISPC rating.
- One implication of a 3 year business plan implementation period would be that the next cycle of programs and platforms would start in 2022, hence the existing CRPs/ Platforms would be implemented for 5, not 6, years.



Sub-section 1.3

Planning for financial viability

The issue: main driver of recurring net losses appears to be a steep decline in W1/2 funding since 2014, which has reduced overall revenue to Centers and made them rely more heavily on W3 and bilateral projects that provide insufficient indirect cost recovery (noting cost recovery is covered in more depth on slide 38).



CENTER	2014	2015	2016	2017 (EST)
AfricaRice	0%	-11%	-9%	-18%
IWMI	3%	-15%	-6%	-13%
World Fish	2%	-2%	-5%	0%
CIFOR	-5%	-13%	-15%	-11%
Bioversity	0%	-2%	4%	-2%
ICARDA	-3%	-1%	0%	-2%
CIP	3%	-5%	-2%	0%
ICRAF	2%	-2%	-3%	-2%
ICRISAT	3%	-4%	12%	-3%
IRRI	-1%	-1%	-4%	-5%
ILRI	1%	3%	-1%	-2%
CIAT	4%	1%	0%	-4%
IITA	1%	1%	-1%	1%
IFPRI	1%	0%	0%	0%
CIMMYT	3%	2%	-1%	2%

Note: Centers ranked by 2017 Center estimated revenue

- > 10% deficit
- 5-10% deficit
- >0% but <5% deficit
- 0% or surplus





The opportunity: A vision for how CGIAR as a partnership of Centers could shift on to a sustainable longer term financial path.

Successful implementation of key elements in each theme in this Business Plan concept would help to strengthen financial performance, for example:

- 1. Strategy** - improved overall reputation and strategic focus of CGIAR driving maintained and even increased overall funding, including at W3 level.
- 2. Structure** - further cooperation and alliances between Centers to drive up efficiencies and value for money, alongside further planned efforts by individual Center levels to restructure to align costs with revenue
- 3. Processes** – the 5-point plan to improve system funding modalities alongside greater assurance on risk management and program performance
- 4. Rewards** – a well-mobilized collective funder engagement
- 5. People** – a well motivated and talented workforce

Sub-section 1.3

Planning for financial viability



Section 2 – Structure

Focusing on reducing fragmentation, driving efficiency and increasing value for money

The context

- From slide 2 above, the first of the **twin goals** of the proposed first CGIAR business plan is **to modernize and improve today's CGIAR, recognizing that doing the same thing in the same way as we have been doing cannot adequately leverage CGIAR's capabilities in what is an increasingly changing environment - both in terms of:**
 - Exponential technological, institutional and social change, and
 - In the operating context of multiple new stakeholders entering what is a progressively competitive space for agricultural research for development.
- **To set itself up for successful implementation of successive business plans,** CGIAR will quickly address several structural/institutional and/or operational barriers that create unnecessary (and inevitably, costly) fragmentation in our work.
- **Some initiatives are well underway in their strategic planning** (e.g. the multi-Funder initiative on breeding, and the System Council's rethinking of the role of its advisory services, thus impacting the role that such bodies will play in the forthcoming business cycle). Others are at a more experimental stage of consideration and will require more analysis to take forward.

* **Image source** – selected extracts from presentation of John Hagel, co-chairman for Deloitte LLP's Center for the Edge, titled 'Institutional Innovation', 16 February 2015

Institutional Innovation* is about:



Creating organizations smart enough to solve important problems.



Breaking the zero-sum mentality that prevents collaboration.

It's about redefining your institution's internal and external interactions.

Section 2 – Structure

Catalyzing institutional innovation

The opportunity:

Building on the 2016 CGIAR reform and intensive interactions across Centers in preparation of the business plan, it is intended that it will elaborate concrete pathways and measures during the 3-year implementation period, bringing essential synergies to the institutional arrangements through which we work.

The ideas:

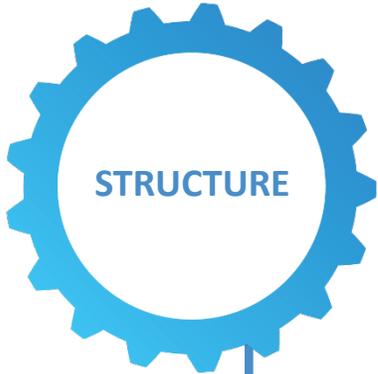
- 2.1 Deeper System-wide cooperation and alignment
- 2.2 Enhancing CGIAR assets and response preparedness
- 2.3 Strengthened collaboration with delivery partners

More detail:

Slides 18-19

Slide 20

Slide 21



Sub-section 2.1

Deeper System-wide cooperation and alignment



Theme	Potential details for inclusion in the initial 3-year business plan
Enhanced Center alliances to harness synergies	Space to reflect on any progress in ongoing discussions between several Centers on deeper alliances the increase cooperation and alignment to harness synergies, accelerate impact, and drive efficiencies. Will depend on any voluntary actions taken by Centers – and not mandated within any Business Plan period. Center inputs to date suggest that such actions could potentially include: i) any scope for deeper institutional ties between compatible Centers, ii) any scope for common Board membership/Board leadership between compatible Centers, iii) any scope for system-wide efforts between Centers to move to a more structured plan of having some level of common Board members/Board leadership.
New shared services to achieve improved institutional efficiency	Shared services not only allow the achievement of institutional cost savings but also institutional efficiencies, thereby providing value for money in staff time. Centers are proposing to identify a selected set of key areas where they can utilize economies of scale to deliver substantial staff time and/or cost savings. Scoping work across the 2018 calendar year will identify potential areas for implementation – potentially including purchasing efficiencies; a common policy nomenclature framework and storage system to facilitate strengthened cross-System best practices sharing and learning; and/or financial systems further alignment.
Modernizing and increasing research data availability	Identify ways to further leverage Big Data capabilities and transform the agricultural R4D sector building on the innovations being introduced through the ' <i>Global Agricultural Research Data Innovation & Acceleration Network</i> ' ('GARDIAN tool') as showcased on the page that follows.
Efficiencies in Advisory services <i>(Led by System Council)</i>	As set out System Council meeting paper SC6-06 SIMEC Think-piece on the future of CGIAR's advisory bodies, CGIAR's Funders have identified the opportunity to (i) improved efficiency; (ii) improved communication between the services and the System; (iii) improved and systematic linkages between science and development; (iv) higher ownership of the advice produced by the services by the System; (v) while also ensuring independence of the content-matter of the advice.

2.1 Deeper System-wide cooperation and alignment: Modernizing and increasing research data availability



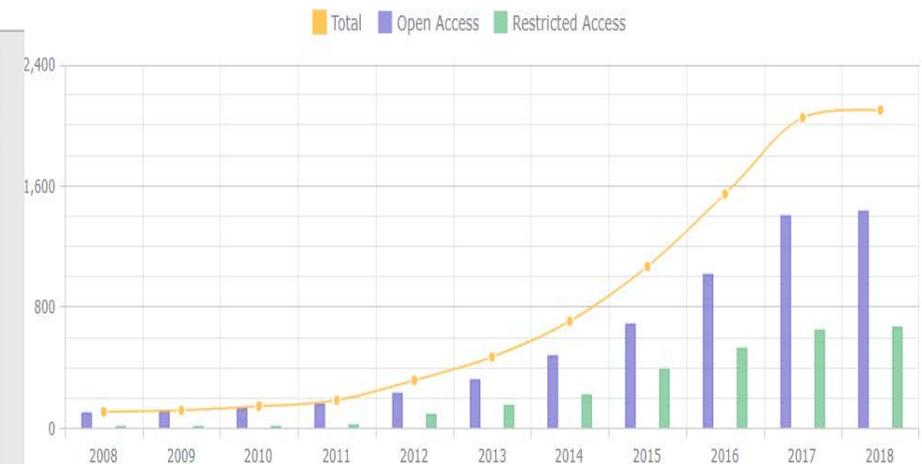
The opportunity:

Through the BigData platform 'GARDIAN' initiative, for CGIAR to be seen as global leader in providing findable, accessible, interoperable and reusable ('FAIR') data and publications by year, by Center, by country, and research theme in a seamless and open way.

The ideas:

1. Incentivize the sharing of high quality, interoperable datasets over progressive business plan cycles (almost 100,000 publications and over 2100 datasets are already discoverable, but great potential exists). CGIAR Program Performance Management Standards (described below – slide 32) can help support this.
2. Develop rate analytics and visualization functionalities to facilitate innovative and actionable solutions from the agricultural data generated by CGIAR and its partners.

Published datasets over time



STRUCTURE

Sub-section 2.2Enhancing
CGIAR assets
and response
preparedness**The opportunity:**

Learning from the experience in Fall Armyworm, more effectively demonstrate and further build CGIAR's ability to respond rapidly to emerging crises such as pests and epidemics – with a focus on ensuring that we have the right systems aligned to be able to contribute to global discussions and follow up in a coordinated way.

Initial ideas:

- Identifying capacity from within the System to act as a clearly identifiable coordination point internally and externally (e.g. appoint Special Envoys, dedicated portals for information dissemination etc)
- Exploration of optimum and efficient responsive funding arrangements for emerging crises such as new pests and diseases

2.3 Strengthened collaboration with delivery partners

The opportunity

Increasing the reach and impact of CGIAR research activities. CGIAR is dependent on partnerships for getting its research disseminated and scaled for development impact. Through a more strategic alignment with delivery partners, CGIAR research and innovation will have a greater adoption, reach and ultimately impact.

The ideas

- **Private Sector collaboration:** Private sector has a significant role to play not only as an upstream partner in providing access to advanced technology and specialized expertise, but also as a downstream partner in providing access to markets and enabling the scaling -up and out of our research outputs.
- **Country collaboration:** Through a Country Collaboration approach, CGIAR can catalyze the development of a collective CGIAR role and impact scenario in countries in which CGIAR has a significant presence based on meaningful synergies across CGIAR entities, National Governments, National Systems, and other partners to develop strategies and deliver programs directly aligned to key country priorities. This can create an enabling environment for other partnerships and delivery initiatives.
- **A CGIAR Rome Hub:** Increasing contribution and relevance of CGIAR in the crossroads of the global food security dialogue and with the major impact delivery partners based on Rome. A consolidated 'CGIAR' premises with capacity from Centers and CRPs, SMO, successors to ISPC, SPIA and IEA, Internal Audit Function, and flex space for visiting Center staff/DGs.
- **MDB cooperation:** Establishing structures and potential mechanism(s) for CGIAR knowledge, innovation, and tools to contribute to design, baseline, implementation, M&E of major development programs in the multilateral development banks.

The below image is a possible collaboration maturity model where collaboration efforts in particular Countries could be represented in terms of particular stages at a given time, and be used to establish collaboration aspirations and activities in those Countries.





Section 3 – Processes

Defining and improving

The opportunity:

For CGIAR to be more effective and efficient in the delivery of its programs and systems, and demonstrate this in a more compelling way to further strengthen trust and support. Featured in this section are a selection of key processes requiring strengthening.

Selected ideas:

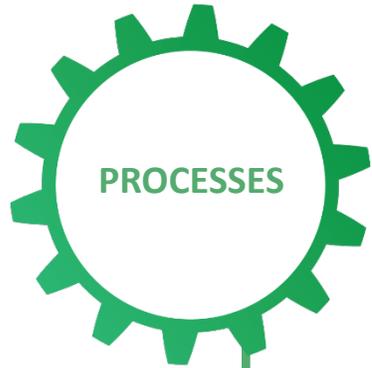
- 3.1 A program performance management framework
- 3.2 A 5-point plan to improve System funding modalities
- 3.3 A 4-point plan for an aligned assurance system

More detail:

Slides 23-32

Slides 33-38

Slides 39-40



Sub-section 3.1

A program performance management framework

The opportunity:

To set out an approach to program performance management that is credible and can drive improvements over time – providing assurance to key stakeholders.

Mechanisms to achieve goal:

- Strengthening reporting and learning from outputs and outcomes of past research
- Improving management of current program performance
- Developing components to improve decision-making about future research funding

3.1 A program performance management framework

12 Framework Components:

Past: results reporting

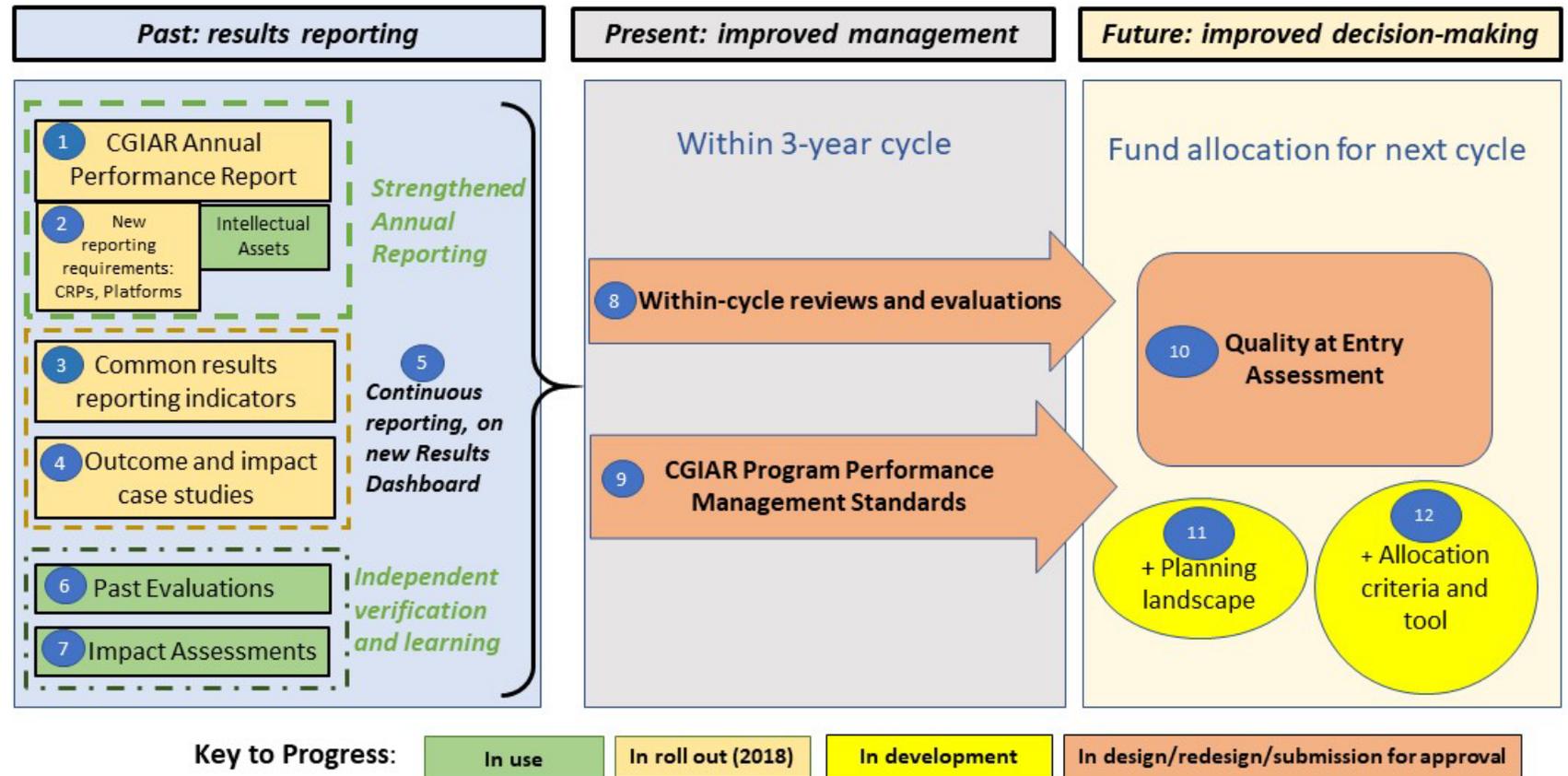
1. CGIAR Annual Performance Report
2. CRPs/Platform reporting requirements
3. Common results reporting indicators
4. Outcome and impact case studies
5. Program Results Dashboard
6. Past Evaluations
7. Impact Assessments

Present: improved management

8. Within-cycle reviews and evaluations
9. Program Performance Management Standards

Future: improved decision-making

10. Quality at Entry Assessment
11. Planning landscape
12. Allocation criteria and tool



3.1 - Annual CGIAR Performance Report: a new approach (component 1)

The opportunity: To pilot a new approach to annual reporting to improve accountability and give confidence to Funders and key supporting partners, by: (i) a more focused looking-back at achievements from completed research; (ii) reflecting on the current CGIAR research portfolio; and (iii) reviewing progress and plans for continued improvements in performance.

Timeline:

- In 2018, the annual report will be published at the end of September. The planning and reporting cycle is later than usual due to new systems being implemented.
- Planning and reporting cycles will be revised in 2019 so that the publication will be finalized earlier in the year

2018: Introducing new reporting approach

The 2018 report under preparation:

- Aims to interest a critical (non-researcher) audience that is looking for serious discussion of issues and evidence.
- Represent a range of voices from across CGIAR and partners.
- Demonstrate progress towards CGIAR goals (SRF), while reflecting on the approaches and partnerships that promote impact.
- Reflect on the value added of CGIAR Research Programs and Platforms working in Research Centers to deliver results.
- Reflect on how funding has been able to support system goals.
- Incorporate available results from the new reporting systems (to be introduced in late 2018)

2019: harmonization with new CGIAR Business Plan Cycle

Building on 2018, reports for 2019 and beyond will also incorporate:

- New program results dashboard: Highlights from the interactive CGIAR dashboard capturing research innovations, outcomes and impacts.

It will report and reflect on progress towards CGIAR's goals to:

- Modernize, improve and stabilize.
- Provide an enabling environment to improve quality and deliver impact.
- Build an efficient system with reduced transaction costs.
- Strengthen and diversify funding (new collaborations, initiatives) to enable a longer-term funding base.
- Attract, retain and build the highest quality staff.

3.1 - A new CGIAR Program Results Dashboard (component 5)

The opportunity:

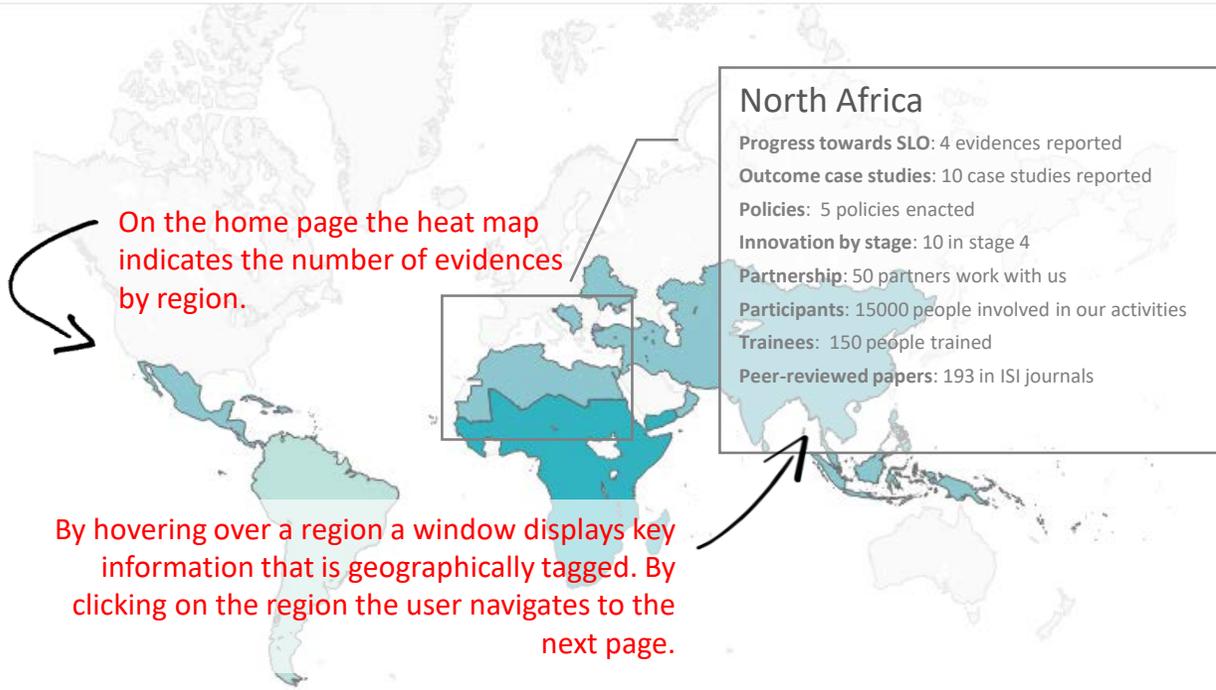
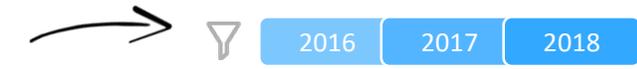
Through making use of modern visualization technology, CGIAR will be able to provide real-time program information to Funders, partners and other stakeholders via www.cgiar.org.

Filtering will be possible by program/platform, by year, by outcome/impact on the ground (by country) and by innovation stage.

Selected ideas:

- **Deliver data interoperability and consolidation from multiple source systems** (including ‘GARDIAN’ tool discussed earlier on slide 19); with data interfacing and storage on a central database
- The **on-line results reporting system** will be used going forward to streamline the creation of the Annual CGIAR Performance Report
- The **dashboard mockup on the following slides** provides visualization ideas aligned with current operational CGIAR Results Reporting guidance

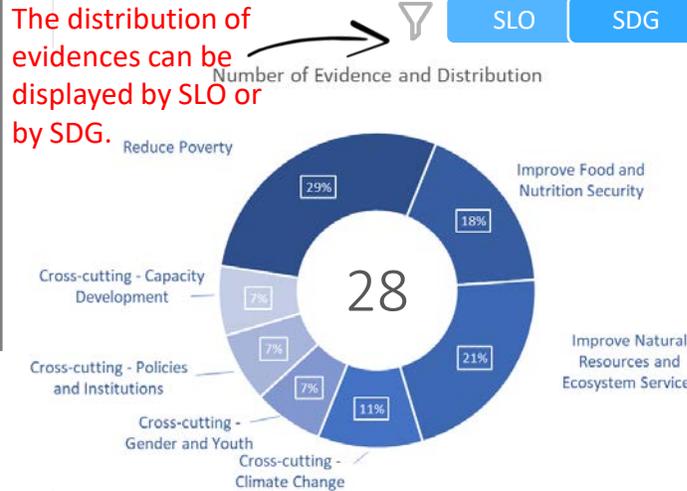
This selection allows filtering of all elements of the page by year.



On the home page the heat map indicates the number of evidences by region.

By hovering over a region a window displays key information that is geographically tagged. By clicking on the region the user navigates to the next page.

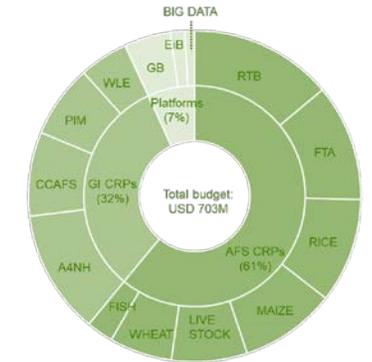
Progress towards:
System Level Outcomes (SLOs)



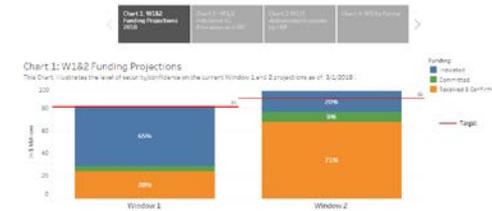
The distribution of evidences can be displayed by SLO or by SDG.

Financials

Budget Allocation by CRP/PTF



CRP Funding Update



5 reporting indicators are highlighted on the home page. By clicking on an indicator the user navigates to a more detailed page on innovations, policies, etc.

All pages of the dashboard contain links to search information related to SDGs, CRPs and partners.

Reporting Indicators

Find information by



Outcome / Impact on the Ground

Progress towards: System Level Outcomes (SLOs)

Outcome Case Studies



RTB - 2017
Western Africa
 Adoption of citizen science methodology shapes new linkages between researchers and farmers for climate adaptation.
SLO Target: 2.1. Improve the rate of yield increase for major food staples from current <1% to 1.2-1.5% per year
IDO/Sub-IDO: 1.3.2 Increased livelihood opportunities, A.1.4 Enhanced capacity to deal with climatic risks and extremes
Cross-cutting: Gender, Youth

This page displays outcome case studies related to a specific region.
 Clicking on the pin displays information on the case study.

All case studies for the selected region are listed in this table.



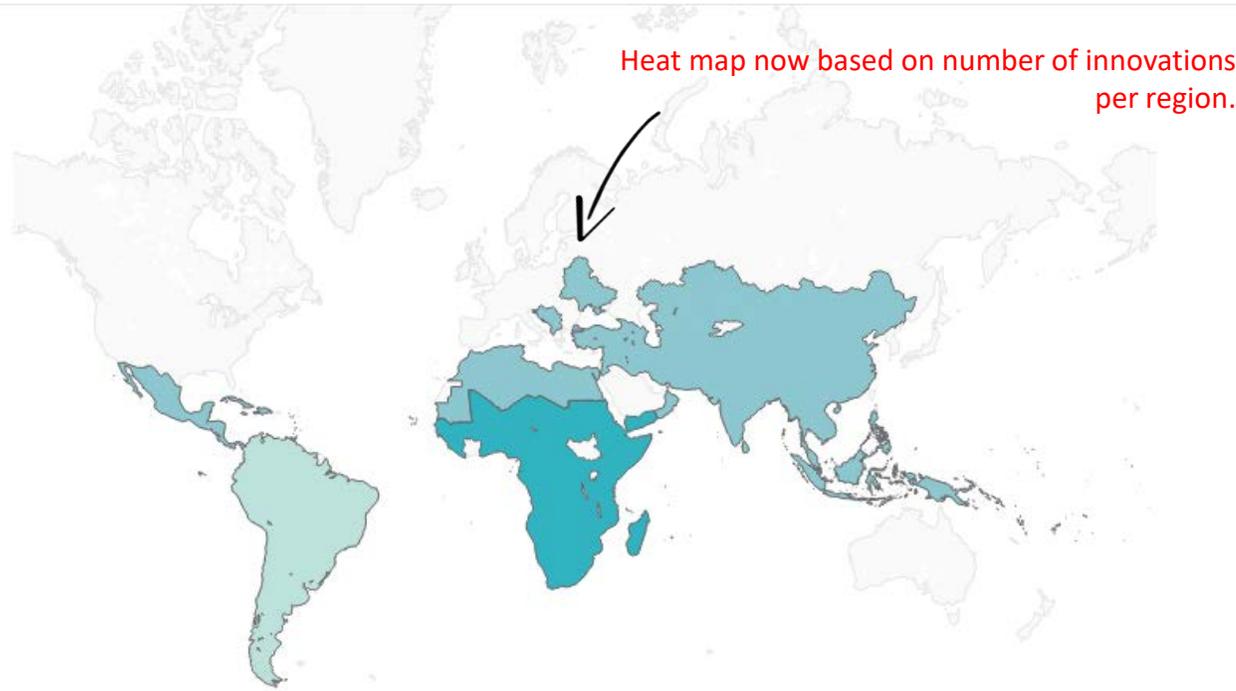
Case Study Title	CRP/PTF
Adoption of citizen science methodology shapes new linkages between researchers and farmers for climate adaptation.	CCAFS
De Brauw, 2016 showed that biofortified OFSP varieties have disseminated to an estimated 2.89M households in 12 SSA countries. (125 grams per day meets the daily vitamin A requirement of a child under five).	RTB
CIMMYT, FAO and the World Bank found in Kazakhstan that spring wheat yields are as much as 58% higher under (widely-adopted) zero tillage introduced by WHEAT than with conventional technologies.	WHEAT

Reporting Indicators

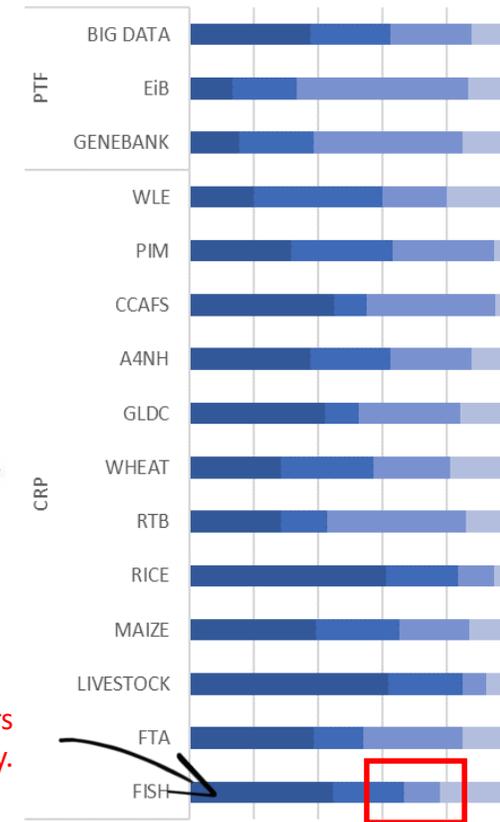
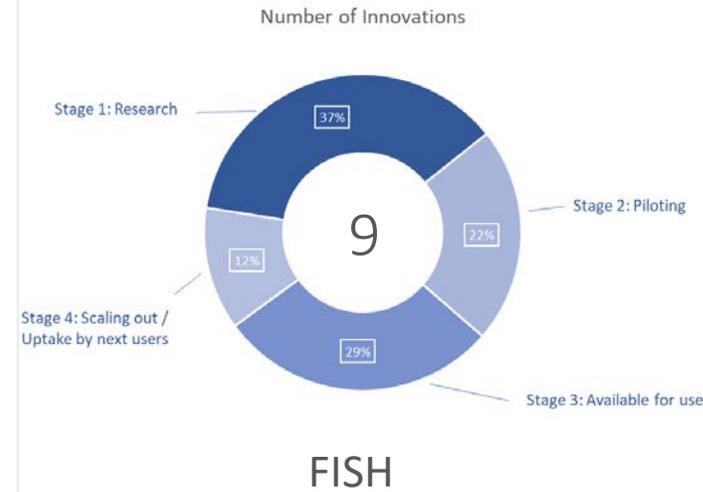


Find information by

SDG
Program / Platform
Partner Institutions



Innovation by Stage



Clicking on a specific program / innovation stage filters rows of the Innovations table accordingly.

Fish – Stage 3 Innovations

Innovation	Innovation Type
Base populations established for new breeding program of Catla and Silver carps established (Bangladesh)	Genetics
Genetic assessment of juvenile rearing methods of Rohu carp (2 Journal articles[1])	Genetics
New knowledge on sex determining genes, feed efficiency and resilience in tilapia (journal articles)	Genetics
Genomic databases for rohu, catla and silver carps Bangladesh)	Genetics
Dissemination plans for improved tilapia dissemination prepared with national partners in Cambodia and Myanmar (Practice notes, Working papers)	Genetics



SDG



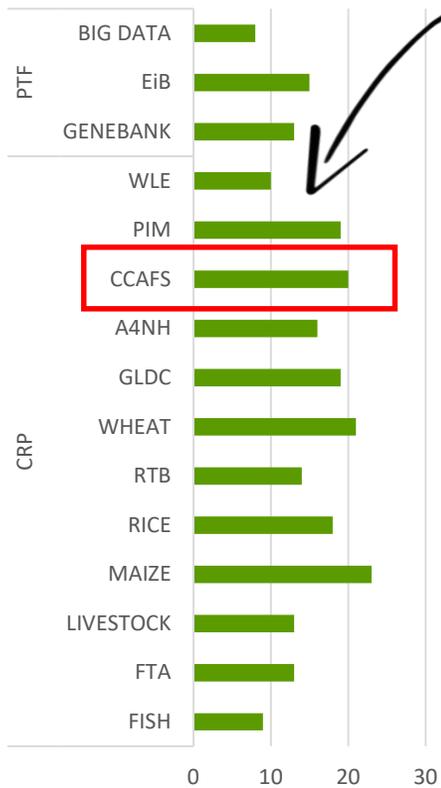
Program / Platform



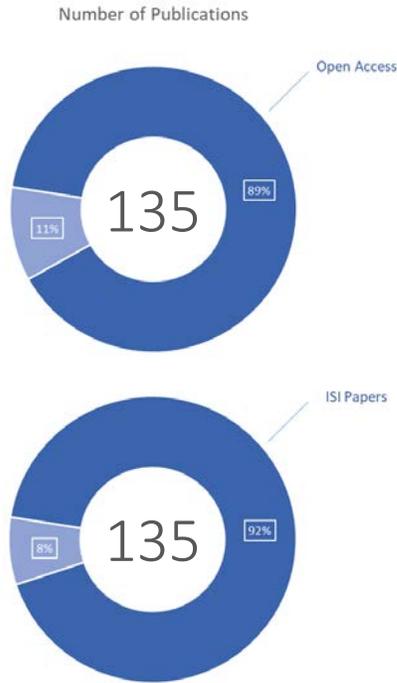
Partner Institutions

Clicking on a specific program filters information on the page accordingly.

Clicking on the link takes the user to the Altmetric page from which the article can be accessed.



Peer-reviewed Papers



CCAFS – Peer-reviewed Papers



CCAFS – Social Attention

Top 10 publications by Altmetric score

Publication	Score	Date	View on Altmetric
Natural climate solutions	810	16-10-17	Details page URL
Farming and the geography of nutrient production for human use: a transdisciplinary analysis	191	01-04-17	Details page URL
Linking regional stakeholder scenarios and shared socioeconomic pathways: Quantified West African food and climate futures in a global context	126	01-03-17	Details page URL
Agriculture production as a major driver of the Earth system exceeding planetary boundaries	107	12-10-17	Details page URL
10 best bet innovations for adaptation in agriculture: A supplement to the UNFCCC NAP Technical Guidelines	48	02-11-17	Details page URL
Greenhouse gas emissions from agricultural food production to supply Indian diets: Implications for climate change mitigation	40	01-01-17	Details page URL
Special issue on climate-smart agriculture (CSA)	34	13-05-17	Details page URL
'CSA-Plan': strategies to put Climate-Smart Agriculture (CSA) into practice	27	06-06-17	Details page URL

Journal Paper	Journal	Open Access	ISI
Complete Genome Sequence of Rice hoja blanca tenuivirus Isolated from a Susceptible Rice Cultivar in Colombia	Theoretical and Applied Genetics	✓	✓
Common Bean Genomes: Mining New Knowledge of a Major Societal Crop	Field Crops Research		
Breeding implications of drought stress under future climate for upland rice in Brazil	Agriculture, Ecosystems and Environment	✓	✓
Landscape context does not constrain biological control of Phenacoccus manihoti in intensified cassava systems of southern Vietnam	Agronomy for Sustainable Development		✓

Clicking here allows to view a specific program page accordingly.



SDG



Program / Platform



Partner Institutions



CGIAR Program Results Dashboard

Filter by Program, Year and Flagship

CRP or Platform: RICE | Year: 2018 | Flagship Title: Flagship project 1: Accelerating impact and equity

Link to Program Information on cgiar.org
[Link](#)

Reporting Indicators



Clicking on any indicator will provide the details available in the table below

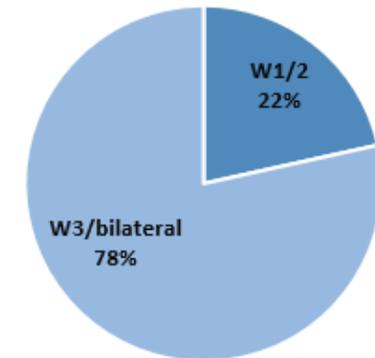
Progress Towards Milestones

Flagship Project 1	Mapped and contributing to Sub-IDO	2022 CRP outcomes (from proposal)	Milestone*	Assessment of risk to achievement** (L/M/H)
Milestone 1.1	Increased capacity for innovation in partner research organizations	Foresight analyses and priority setting used by RICE and partner scientists to develop and target technology options	Application of the rice monitoring system for national food security program in Cambodia, supporting Thailand disaster relief program for rice farmers, crop insurance implementation in Tamil Nadu, India, Cambodia and Mekong River Delta, Vietnam, and development of remote sensing based rice monitoring system for Bihar, India	L, support from national partners
Milestone 1.2	Improved capacity of women and young people to participate in decision-making	Improved role in decision making by women and youth in rice value chains as evidenced by empowerment measures at key action sites	Gender-youth business models in rice value chain reinforced through better understanding of changing roles on decision making of women and youth in rice farming	M, Dependence on support from national partners and governments

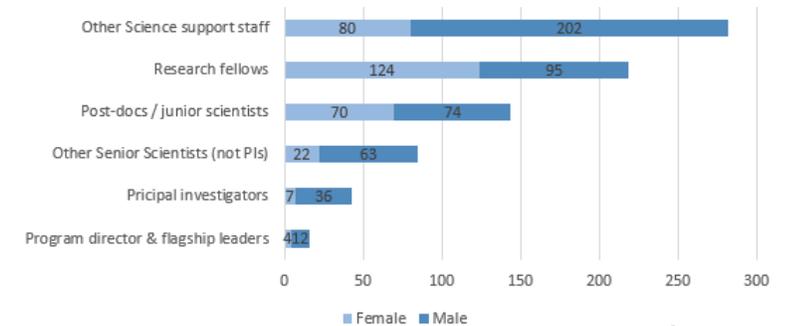
Outcome Case Studies

Case Study Title	CRP
Describing the rice production context in Latin America; policy briefs on rice to the FLAR member countries.	RICE

Budget by Window of Funding



CRP Staffing



3.1 - Program Performance Management Standards (component 9)

The opportunity: to strengthen incentives for high-quality program performance management and provide greater assurance to the SMB and System Council.

The ideas:

- Adoption of a limited set of **program performance standards** for each business cycle in response to the challenges of performance assessment inherent in the variety, complexity, technical specificity and timelines of the research programs.
- Minimum standards required would change/ be **raised over successive business cycles**.
- **Specific standards to be agreed** with Funders, CRPs/Centers and SMB
- Would **complement and build on** other elements of framework – e.g evaluation

Minimum standards: <u>examples of possible measures for Cycle 1</u>	Rationale /assumptions	<u>Examples of measurement options</u>
Reliability/Credibility Program governance structures provide an effective challenge and verification function for management prioritization of research, including consideration of future scenarios	Program governance (e.g. steering committees) should provide an effective specialist technical critique and challenge for prioritization decisions	Evaluation of structures and processes, based on agreed quality criteria. Qualitative pass/fail
Relevance and Delivery/Effectiveness >80% of the Program’s projects document a clear and credible impact pathway, with a clear product and delivery pathway in mind (appropriate to stage of maturity of research)	Written impact pathways are one good way to check a clear ‘outcome focus’ as well as whether the assumptions are credible	Verification of a random sample of projects with W1/W2 funding or co-funding, based on agreed quality criteria
Delivery/ Effectiveness and Reputation/Legitimacy Key research project documents for each program are available electronically on a central MIS system or another system, accessible by central system advisory bodies. (covering >80% of total research budget)	Availability of project documents is a ‘boring but important’ necessary step for internal assessments of aspects such as impact pathways (above).	Availability of documents checked.
Reputation/Legitimacy Program has processes or contracts in place to ensure appropriate ethical approval for all projects. [IRB is primary responsibility of Centers]	Ethical approval processes (IRB) are an important part of ensuring ethical work with human subjects	Evaluation of processes and a sample of decisions, based on agreed criteria. Qualitative pass/fail



Sub-section 3.2

A 5-point plan to improve System funding modalities



The opportunity: By resolving long-standing challenges in CGIAR’s financing system, this can build the needed confidence in CGIAR financing so that reliability, percentage share and absolute level of overall and system financing can be maintained and even increased.

The 5 points	Description
1. Adopt: A multi-year pledging process for W1 & W2 – with multi-year pledging at CRP/platform (and flagship where desired) level	A central objective of business plan is to increase the share of multi-annual pledges and to translate these into multi-annual pledges at the CRP/platform level – transforming the level of forward predictability for the shared science agenda through W1 & W2.
2. Revise: Use of W1 to change the internal hydraulics	De-link W1 from W2 in terms of its <i>ex post</i> “shock absorbing” within each financial year, but continue to link W1 to W2 to support the rebalancing of funding <i>ex ante</i> at the start of the multi--year funding period based on W2 forward pledges/commitments.
3. Clarify: Approach to allocation within and between cycles	Clarification of between and within business-cycle approaches, alongside adoption of a funding target-setting approach to guide funding decisions over the remaining time in the current portfolio.
4. Efficiency: Optimal funding received to manage down transaction costs	Re-concentrate funding in large pooled programs and decrease number of small W3/bilateral projects.
5. Recovery: Full overhead costs of projects	Adoption of collective System Council ambition to cover minimum overhead costs requested by Centers.

3.2 - Point 3 - Clarify: Approach to allocation within and between cycles

Between business cycles	During each 3-year business cycle
<p>Potential reset of starting point in funding across system: Fundamental reconsideration of balance of funding between key focus areas/program themes, based on the list of prioritization criteria set out in the Council Paper on an allocation strategy referenced above.</p> <p>Tool: simulation tool that aligns potential programs with broader strategic SLO/higher level outcomes, potentially also collecting and presenting relevant available information on strategic fit and performance.</p> <p>Overall output of process: Program-level W1/2 funding targets for subsequent business cycle period.</p>	<p>Methodology: Annual review of funding targets and W1 forward allocations, to take into account any exceptional changes - particularly changes in strategic considerations such as a changing risk context (e.g. new pest/disease) or a potential new funding opportunity.</p>

3.2 - Point 3 - Portfolio Budgets: Allocation baseline

Starting premise:

The budgeting process leading to the CRP/Platforms funding request as presented to the System Council in September 2016 was sufficiently robust and detailed to guide funding allocations for the remaining 3-year period of CRPs/platforms.

Concept for initial 2019-2021 Business Plan:

Funding and program planning would be substantiated by:

- A 3-year indicative workplan underpinning the Business Plan, and subjected to potential alterations resulting from the breeding initiative or other potential modifications to the current Portfolio.
- Detailed annual programmatic planning through the existing workplan and budgeting process.

Key recognition:

The budgeting process for the implementation periods from 2022 needs to learn and evolve from that undertaken in 2015.

Budget by expense category

Other Supplies and Services						
Participating Partner Name	Item description	Purpose of Item	Cost per Item	Period 1 Quantity	Period 2 Quantity	
1 CIAT	Non travel operating costs for	Execution of research communications, partnerships and capacity building				
2 CIP	Project Support	Support Research projects	\$48,323	1		
2 CIP	Operational Support (Fac + IT	Support Research projects	\$53,840	1		
2 CIP	Consultancy	Execute projects	\$23,736	1		
2 CIP	Workshops/Training	Execute projects	\$14,012	1		
2 CIP	Laboratory and Exp. Station S	Support Research projects	\$138,002	1		
2 CIP	Other Sup & Serv	Execute projects	\$32,763	1		
3 IITA	Services	Execute projects	\$34,166	1		
4 IITA	Supplies					
5 IITA	Laboratory Equipment					
CGIAR Collaborations						
Participating Partner Name	Collaborator Organization	Scope of Collaboration	N/A	Period 1 Amount	Period 2 Amount	
1 CIAT	CCAFS	Forecasts on trait needs for adaptation to climate change		7,000	7,28	
2 CIAT	Genebanks	Genebank mining for traits for future climate change scenarios		5,500	5,72	
3 CIAT	Genetic Gains Platform	Forecasts on trait needs for adaptation to climate change		10,500	10,92	
4 CIAT	BigData	Bioinformatics support on genome analysis		2,267	2,32	
5 CIP	System Innovation Grant	TBD		648,003	673,92	

Funding Plan

Funding Plan							
Sources of Funding Needed				\$	\$	\$	\$
80	W1+W2			4,364,760	4,539,351	4,720,925	
81	W3			7,189,041	7,455,803	7,754,035	
82	Bilateral			5,565,031	5,787,632	6,019,137	
83	Other Sources						
84	TOTAL FUNDING PLAN						
85	Sources of Funding Secured						
86	W1+W2 (Assumed Secured)						
87	W3						
88	Bilateral						
89	Other Sources						
90	TOTAL SECURED						
91	TOTAL FUNDING GAP OVER/(UNDER)						
92	W1+W2 (Required from SO)						
93	W3 (Required from FC Members)						
94	Bilateral (Fundraising)						
95	Other Sources (Fundraising)						
96							
97							
98							
99							
100							

Internal ref	type	crp	flagshp	tslo	crosscslc	ido	sub_ido	amount	nw1	w2	21w3	25	L	M	N	O	P
39	CGIAR0010	Global Integrating	PIM	FP3-Inclus	Cross-cut	Gender ar	Equity anc	Gender-ec	11133422	19	0	81	0	2115350	0	901807	
40	CGIAR0010	Global Integrating	PIM	FP3-Inclus	Cross-cut	Policies an	Enabling e	Conductive	16700133	19	0	81	0	3173025	0	135E+0	
41	CGIAR0010	Global Integrating	PIM	FP3-Inclus	Cross-cut	Capacity d	National p	Enhanced	5566711	19	0	81	0	1057675	0	4509034	
42	CGIAR0010	Global Integrating	PIM	FP3-Inclus	Cross-cut	Capacity d	National p	Enhanced	11133421	19	0	81	0	2115350	0	901807	
43	CGIAR0010	Global Integrating	PIM	FP4-Social	SLO	Reduced F	Increased	Increased	11225160	17	0	83	0	1908277	0	931688	
44	CGIAR0010	Global Integrating	PIM	FP4-Social	SLO	Reduced F	Enhanced	Improved	5612580	17	0	83	0	954138.6	0	465844	
45	CGIAR0010	Global Integrating	PIM	FP4-Social	SLO	Reduced F	Increased	Increased	8418870	17	0	83	0	1431208	0	698766	
46	CGIAR0010	Global Integrating	PIM	FP4-Social	SLO	Improved	Improved	Increased	11225160	17	0	83	0	1908277	0	931688	
47	CGIAR0010	Global Integrating	PIM	FP4-Social	Cross-cut	Gender ar	Equity anc	Gender-ec	5612580	17	0	83	0	954138.6	0	465844	
48	CGIAR0010	Global Integrating	PIM	FP4-Social	Cross-cut	Gender ar	Equity anc	Improved	2806290	17	0	83	0	477069.3	0	232922	
49	CGIAR0010	Global Integrating	PIM	FP4-Social	Cross-cut	Policies an	Enabling e	Conductive	5612580	17	0	83	0	954138.6	0	465844	
50	CGIAR0010	Global Integrating	PIM	FP4-Social	Cross-cut	Capacity d	National p	Enhanced	2806290	17	0	83	0	477069.3	0	232922	
51	CGIAR0010	Global Integrating	PIM	FP4-Social	Cross-cut	Capacity d	National p	Enhanced	2806288	17	0	83	0	477069	0	232921	
52	CGIAR0010	Global Integrating	PIM	FP5-Gover	SLO	Reduced F	Increased	Increased	30286864	14	0	86	0	4240161	0	2.60E+0	
53	CGIAR0010	Global Integrating	PIM	FP5-Gover	SLO	Improved	Enhanced	More proc	30286864	14	0	86	0	4240161	0	2.60E+0	
54	CGIAR0010	Global Integrating	PIM	FP5-Gover	Cross-cut	Gender ar	Equity anc	Gender-ec	15143432	14	0	86	0	2120080	0	1.30E+0	
55	CGIAR0010	Global Integrating	PIM	FP5-Gover	Cross-cut	Policies an	Enabling e	Conductive	10095621	14	0	86	0	1413387	0	868223	
56	CGIAR0010	Global Integrating	PIM	FP5-Gover	Cross-cut	Capacity d	National p	Enhanced	5047811	14	0	86	0	706693.5	0	434111	
57	CGIAR0010	Global Integrating	PIM	FP5-Gover	Cross-cut	Capacity d	National p	Increased	10095621	14	0	86	0	1413387	0	868223	
58	CGIAR0010	Global Integrating	PIM	FP6-Cross	Cross-cut	Gender ar	Equity anc	Gender-ec	4159352	28	0	72	0	1164619	0	296473	
59	CGIAR0010	Global Integrating	PIM	FP6-Cross	Cross-cut	Gender ar	Equity anc	Technology	2079676	28	0	72	0	582309.3	0	140736	

3.2 - Point 3 - A starting point for “baseline funding targets” for 2019-2021 Business Plan (Note: subject to potential revision for final draft Plan)



...Thus - the September 2016 submitted budgets would form the starting point of discussions with the SMB and System Council on the funding targets for the 2019-2021 period, as informed by any updated program/ platform information, and any new elements or key changes to the Portfolio.

W1&2 proposed budget (\$USm, original proposals)	2019	2020	2021	Total Base
Grain Legumes and Dryland Cereals	12.1	12.7	13.3	38.1
Fish	7.4	7.8	8.2	23.3
Forests, Trees and Agroforestry	12.0	12.5	13.1	37.7
Livestock	22.3	23.5	24.6	70.4
Maize	12.5	13.1	13.8	39.4
Rice	17.1	17.5	17.9	52.4
Roots, Tubers and Bananas	24.3	25.3	26.3	76.0
Wheat	16.5	17.4	18.2	52.1
Agriculture 4 Nutrition and Health	21.8	22.7	23.8	68.3
Climate Change, Agriculture and Food Security	23.2	24.3	25.5	73.0
Policies, Institutions and Markets	19.4	19.4	20.0	58.7
Water, Land and Ecosystems	11.0	11.6	12.2	34.8
Genebanks	18.8	15.3	13.2	47.2
Excellence in Breeding	2.2	2.3	2.4	7.0
Big Data	5.2	4.5	4.3	13.9
Total Portfolio Base Budget	225.8	229.9	236.8	692.3

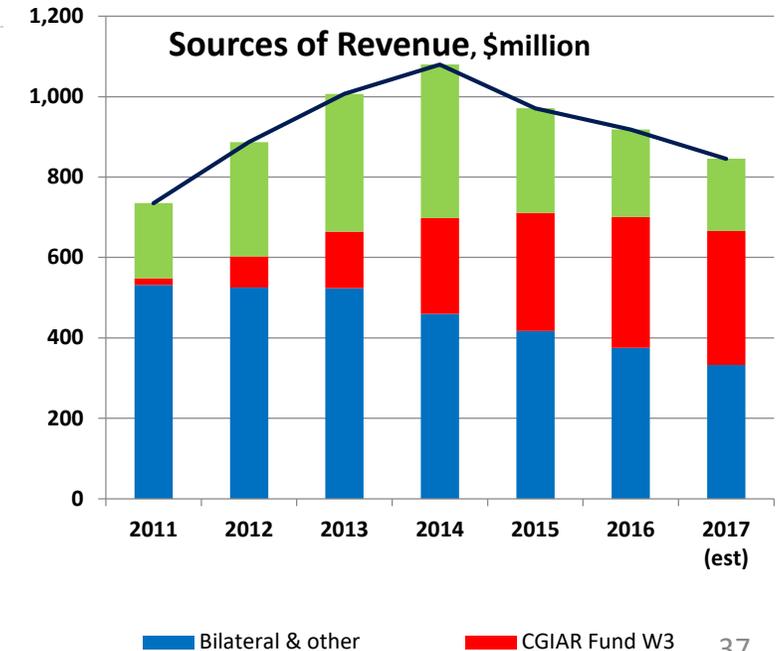
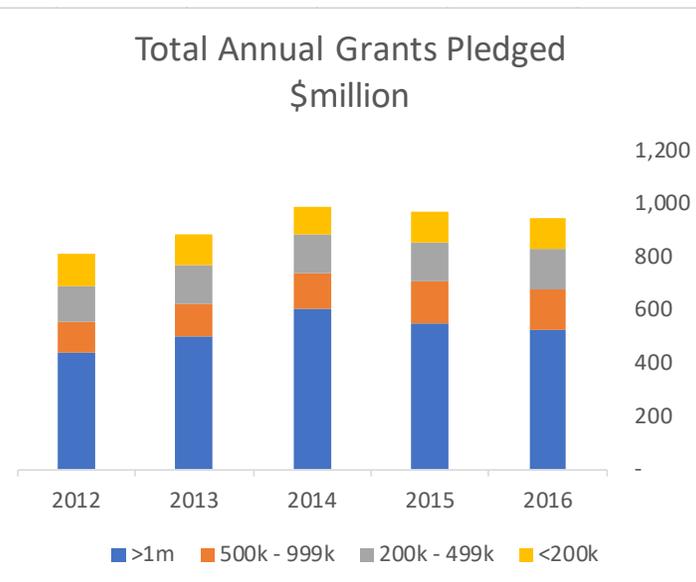
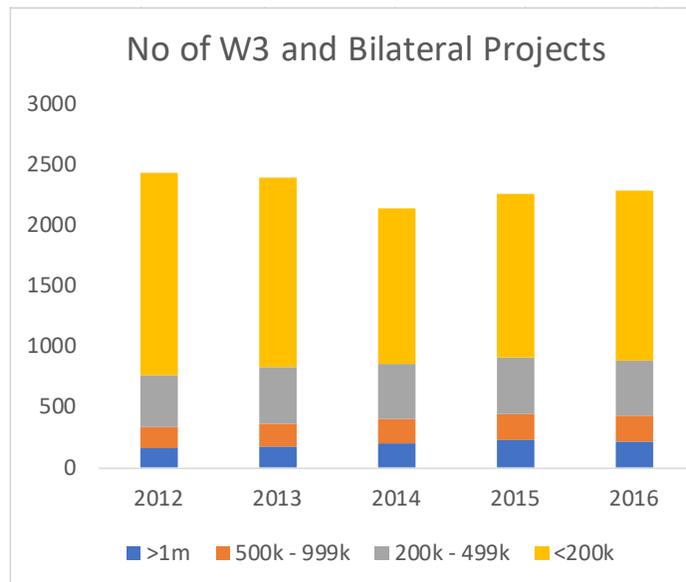
3.2 - Point 4 - Efficiency: Optimal funding received to manage down transaction costs



A possible goal of the initial 2019-2021 business plan is to explore appropriate incentives to reduce the number of projects that are less than \$200K by [X% – for discussion and agreement]

Ave Annual Grant	2012	2013	2014	2015	2016
>1m	167	182	205	225	212
500k - 999k	175	183	202	224	214
200k - 499k	424	466	454	457	463
<200k	1674	1570	1280	1,356	1,398
Total no of projects	2,440	2,401	2,141	2,262	2,287

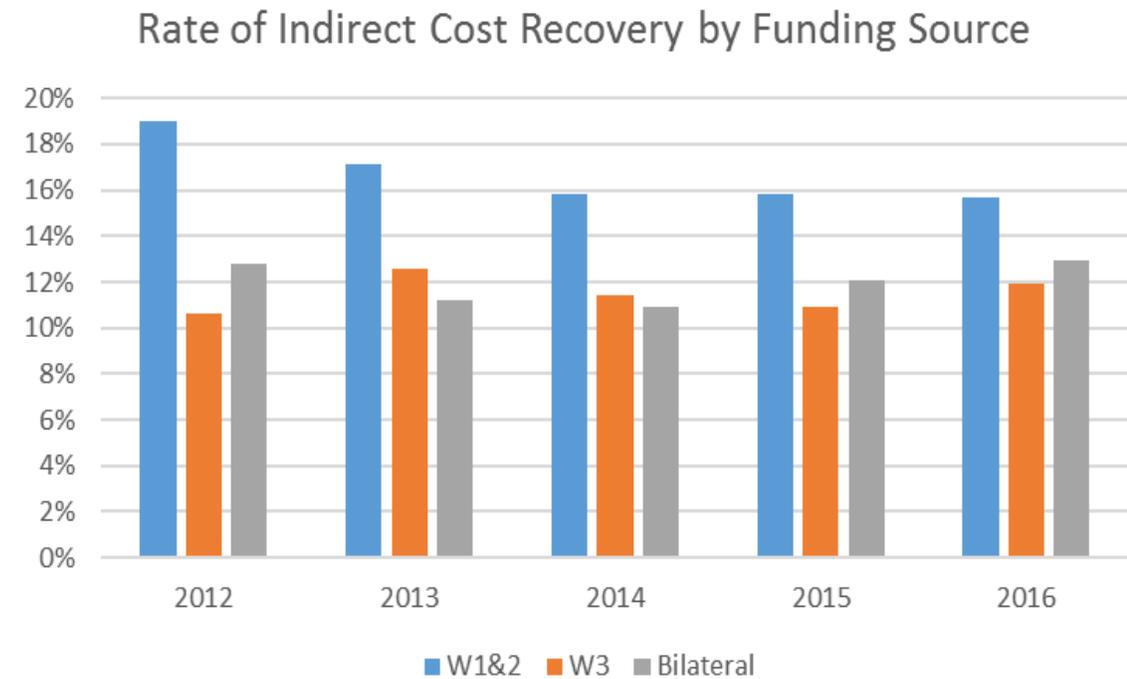
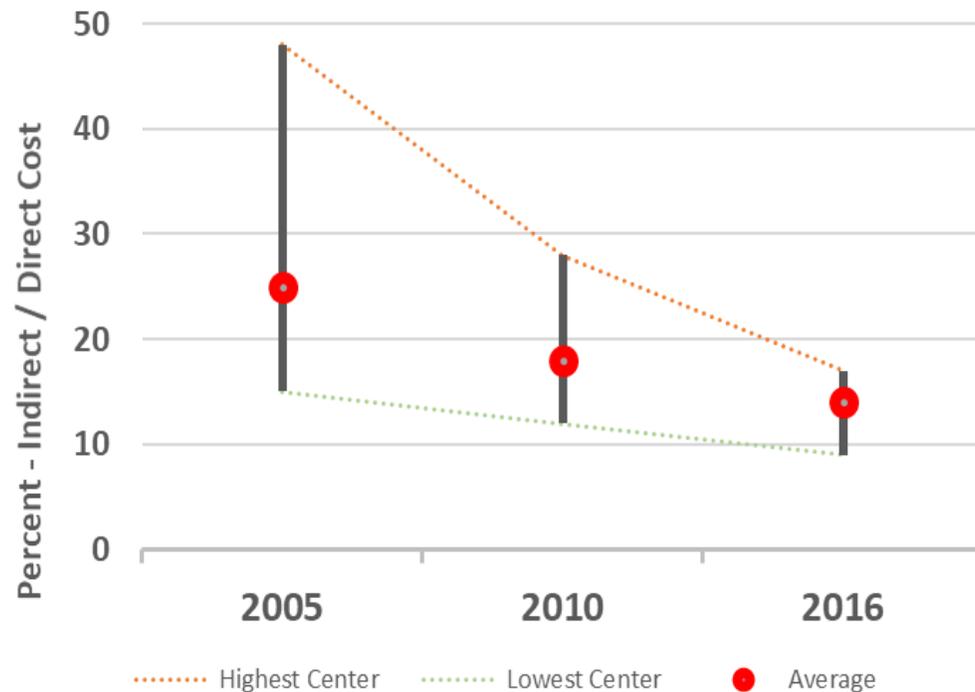
Centers continue to manage a large number of restricted W3 and bilateral projects



3.2 - Point 5 - Recovery: Full overhead costs of projects

A possible business plan target of:

- CGIAR indirect cost rate to remain on average at around 15% - with a range of maximum +/- 5%
- Funder commitment to meet full costing principles and support 'CGIAR Cost Principles and Indirect Cost Guidelines' (which will be replacing Financial Guidelines #5 by end-2018).



Note: Cost recovery for 2017 can only be estimated after June 2018



The Opportunity:

Building on the November 2017 approved [CGIAR System Risk Management Framework](#), ensure **robust and aligned assurance mechanisms across the System**, to enhance confidence in, and reliance upon CGIAR's risk management and assurance systems.

Selected ideas: Stewarded by the Centers' Audit Committee Chairs group to bring both a cross-System view and ensure efficient linkages and cascading upwards and downwards of information.

Sub-section 3.3

A 4-point plan for an aligned assurance system

Item	High-level summary (Potential ideas are more fully set out on the following slide)
1. Increase alignment in System-wide assurance systems	Align assurance cycles of the various assurance providers across the System, and ensure coordinated planning regarding System risks during each 3-year business plan implementation period. As alignment grows, the potential exists to integrate Funder-own assurance planning into the 3 year cycles to better co-ordinate the various assurance needs.
2. Improve risk maturity	Within each 3-year business plan implementation period, work towards increasing risk management maturity and independent assurance of the standard(s) achieved.
3. Evolve Internal Audit capability	Periodically assess, improve and evolve internal audit activity according to the Institute of Internal Auditors Capability Model framework.
4. Move towards a harmonized internal controls framework	Take a strategic look at potential opportunities to strengthen System-wide financial and other operational policy and guidelines, to ensure a coherent internal control framework, which is periodically reviewed for effectiveness.

3.3 – A 4-point plan for an aligned assurance system

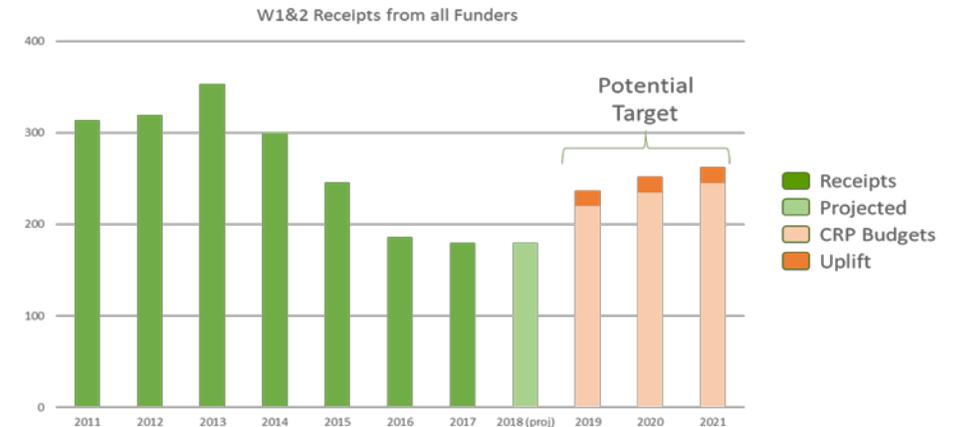
Item	<u>Preparatory Year</u> <u>2018</u>	<u>Business Plan</u> <u>2019-2021</u>			<u>Business Plan</u> <u>2022-2024</u>			<u>Business Plan</u> <u>2025-2027</u>			<u>Business Plan</u> <u>2028-2030</u>		
		Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	Annual Cycle	
1. Increase alignment in System-wide assurance systems	Sharing of audit plans and considering relevant steps towards alignment of audit cycles to support a clearer view of System-wide risk-based assurance planning	Coordinated assurance planning focusing on alignment on prioritized key System-wide assurance areas			Alignment of assurance planning across System and Center-own/regional audit arrangements on System-wide risks			<p><i>Articulation of elements focused on maturity of assurance systems would be informed by relevant elements of the '2030 Plan', and lessons learned in previous cycles.</i></p>					
2. Improve risk maturity	Move towards 'Repeatable' standard of risk maturity	Move towards and maintain a 'Repeatable' standard of risk maturity			Move towards and maintain a 'Managed' standard of risk maturity								
3. Evolve Internal Audit to enhance its capability to deliver value for money	Undertake Internal Audit External Quality Assessment ('EQA') across all Internal Audit arrangements against the IIA capability model	Implementation of recommendations strengthen IA capability, and achieve and maintain 'integrated' maturity level, confirmed by annual self-assessment			Move to 'CGIAR Auditing Standards' that exceed minimum required IIA levels; undertake required 5-yearly EQA in mid-cycle in 2 nd business plan								
4. Move towards a harmonized internal controls framework	Take stock of existing policies and guidelines on internal control. Identify prioritized opportunities for improvement vis-à-vis best practice within CGIAR	Implement priority activities, and develop and adopt a System-wide internal control framework based on best global practice			Periodically assess System-wide internal control framework for adequacy; implement improvements as required								



Section 4 – Rewards

Securing a predictable and long-term funding base

CGIAR operates in an increasingly competitive and results-accountable environment. Critical to realizing the goals of the SRF and a '2030 Plan', the CGIAR Portfolio requires an adequate level of predictable, multi-year investment. Additionally, to build funding resilience, new Funders must be engaged and new funding mechanisms developed.



The opportunity: to stabilize and reverse fall of pooled programmatic funding in the CGIAR. Set out a path to support the achievement of a 35% share for W1/W2 system investment by demonstrating value-for-money through better program reporting, enhanced linkages with delivery partners, sharing stories of impact, and elevated visibility and recognition for System Funders.

The ideas:

- 4.1 Reaffirm funder commitments
- 4.2 Attract new investments to shared research agenda
- 4.3 Stewardship, visibility and recognition

More detail:

Slide 42

Slide 43

Slide 44



Sub-section 4.1
Reaffirm
Funder
Commitments



Pathways	POTENTIAL 2019-2021 BUSINESS PLAN CONTENT
Use of W1 to incentivize change	A consideration for the business plan could include whether and how window 1 is being maximized in terms of their incentive affect in supporting the changes set out in the final business plan – e.g. use of W1 to co-finance any major alliance-building measures between Centers.
Appropriate incentive framework for reconciliation of System Council Funder seating	Successive 3-year business plans could set out how and upon which basis CGIAR’s Funders agree to allocate the 15 ‘Funder’ voting members seats for the System Council. Potentially there would be the opportunity to build System Council representation into business cycle to maximize incentives for funder pledges/participation.
Ambitious but achievable funding targets	Funding ambition for business plan - [\$750m] [3-year] W1/2 pledges alongside \$[X]m additional W3 pledged and launch of diversified funding initiatives.
Increased funding predictability	Secure multi-year pledges/indicative plans from as many System Council Funders as possible – at program level too
Increased investments from Funders	Increase level of investment from existing Funders to reach CRP uplift/stretch budget. Deliver on performance and reporting. Identify opportunities for System level efficiencies.



Sub-section 4.2
 Attract new investments to shared research agenda

Pathways	POTENTIAL 2019-2021 BUSINESS PLAN CONTENT
Bring new funders to System	Target key markets for funder engagement to bring increased support to System level funding: China Cooperation, Germany, Norway
Leverage new finance mechanisms	Develop CGIAR capacity and new mechanism to access funding for shared research agenda: <ul style="list-style-type: none"> - A new climate and agriculture research capital fund (RCF) - EC/Desira investments in agricultural research - A new MDB partnership strategy
Launch of new 'CGIAR crops to end hunger' initiative	Support the development and launch of this initiative, securing additional funding where possible
New strategic initiatives launched	Launch new strategic initiatives that crowd in greater investments (e.g. climate, breeding, biofortification, AMR, fall army worm, ...)

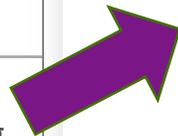




Sub-section 4.3
Stewardship,
Visibility &
Recognition



Pathways	POTENTIAL 2019-2021 BUSINESS PLAN CONTENT
Elevate CGIAR in global agenda	Bring CGIAR to Global dialogue in support of Agricultural Research agenda: <ul style="list-style-type: none"> - Collaborative events in Funder countries - World Food Prize – Borlaug Dialogue - UN General Assembly - FAO Summit for Innovation in Agriculture - EAT Forum - Davos - G7 / G20 Minister Meetings
Establish CGIAR as global voice on sustainable food systems	Elevate CGIAR in main-stream media. Publish collective statements and policy documents. Establish reputation as first identifier/responder to emerging issues
Take the CGIAR Pledge	Establish common practice for Funder recognition, and System wide branding, and communications





FUNDERS

CGIAR greatly appreciates our funding partners – and their investments in a global research partnership for a food secure future dedicated to reducing poverty, enhancing food and nutrition security, and improving natural resources.

CGIAR Trust Fund Contributors



Section 5 – People

Attracting, retaining and nurturing the best

The opportunity:

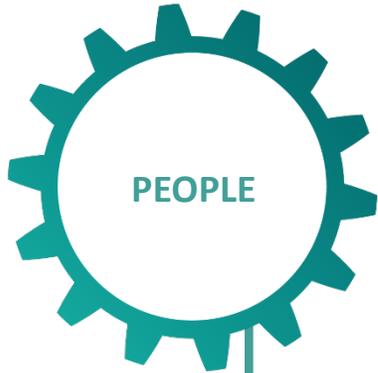
Ensure that CGIAR is recognized as a global leader in providing the right incentives that ensure we as a System recruit, develop, reward, and promote great people to allow us to operate at maximum efficiency, recognizing that most of the key hiring decisions are made by Center leadership.

Selected ideas for 2019-2021:

- 5.1 Embed gender equity in the workplace
- 5.2 Operate according to best practice ethical standards
- 5.3 Monitor metrics tied to an agreed people strategy

More detail:

Slide 46
(for all items)



Attracting,
retaining and
nurturing the
best



Context: Amongst many other key developments, globalization/developing country sourcing, increased competition for talent, shifts in core operations, and the demonstrated benefits of diversity (together with inherent ethics and cultural challenges) all necessitate that CGIAR places an increased focus on its people strategy as a key element in any business plan cycle.

The opportunity: Use the balance of 2018 for Centers to more fully explore possible concepts – to prioritize the most important elements, and adopt a forward-looking implementation plan.

Topic	Potential Business Plan Content
5.1 Embed gender equity in the workplace	<ul style="list-style-type: none"> • Adoption of high-level CGIAR Vision statement on gender equity building on SMB appointment of Gender champion • Reshaping the CGIAR Diversity and Inclusion Strategy – driven by Center HR professionals as sponsored by Board of Trustee Chairs and Directors General • Agree targets for gender representation across major staff categories + core set of KPIs to inform progress • Consider possible appropriate incentive framework, e.g. including in Program Performance Management Standards
5.2 Operate according to best practice ethical standards	<ul style="list-style-type: none"> • Linked to CGIAR Risk Management Framework ‘Non-adherence to appropriate values’ Risk Family - focus on providing assurance that the System’s entities are operating according to best practice policies in: <ul style="list-style-type: none"> • all forms of harassment and discrimination; • safeguarding, preventing and effectively responding to exploitation, abuse and violence; and • prevention/detection of corruption; and • effective mitigation of conflicts of interest • Key elements: System event reporting procedures; a plan to respond effectively to detected policy, practice and education gaps and periodic assurance thereafter.
5.3 Monitor metrics tied to an agreed people strategy	<ul style="list-style-type: none"> • Consider developing and deploying common HR metrics System-wide (e.g. internal quantitative and qualitative ‘dashboards’) that provide Boards of Trustees and management with helpful data upon which to take strategic HR decisions ** • Quantitative metrics could include information on diversity, attrition, performance of HR function (e.g. recruitment success). • Qualitative metrics could for example include results of surveys assessing leadership and employee engagement; 360 reviews across CGIAR leadership positions.

** Adopts idea from a think piece of The Boston Consulting Group on people strategy titled – ‘Opportunities for Action’, 2006