

Consolidated Report on CGIAR Research work plans 2017

Purpose

Following from the System Council approval of the 2017-2022 CGIAR portfolio, the CGIAR research programs (CRPs) and Platforms presented their first Programs of Work and Budget (POWBs) for 2017 in draft form on 17 February and in final form in March. The collected CRP and Platform POWBs can be accessed at:

<http://www.cgiar.org/our-strategy/second-call-for-cgiar-research-programs/>

This document provides a brief, portfolio-level summary of the collected POWBs. It:

1. Provides background to help prepare the workshop being led by the ISPC as a SC4 pre-event; and
2. As an information point for SC member inputs during the course of May to help take the work forward.

Action requested

The System Management Office invites, through *ad hoc* inputs provided during the SC4 meeting and events program, or via email in advance of 31 May 2017 if possible, strategic feedback from funders on these first POWBs, and the nature of any consolidated report on CGIAR Research Plans that System Council members would like to see in 2018.

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Prepared by: CGIAR System Management Office

The scope of the portfolio:

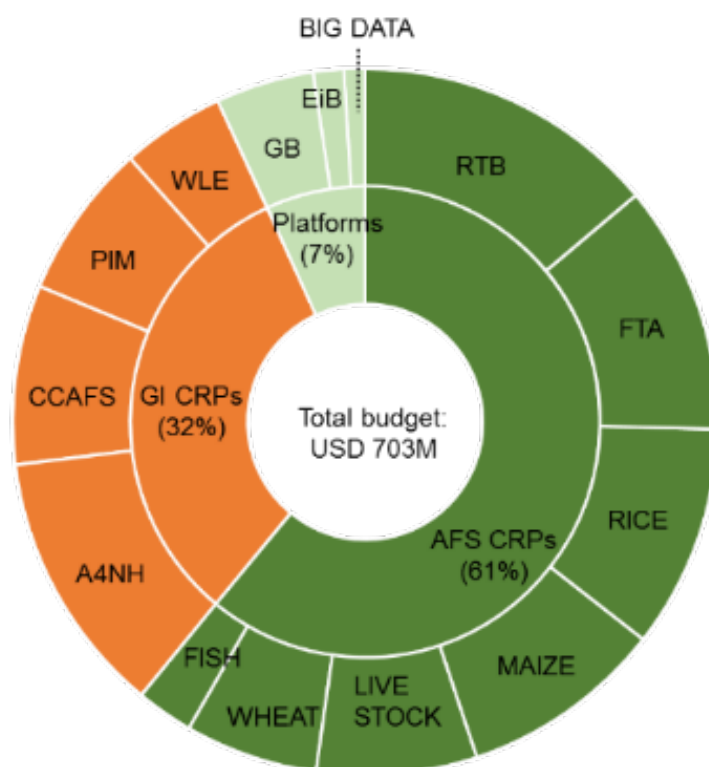
1. The CGIAR portfolio in 2017 is composed of 7 Agri-food system programs (FISH, FTA¹, MAIZE, LIVESTOCK, RICE, RTB, WHEAT) and 4 global integrating programs (A4NH, CCAFS, PIM and WLE) together with 3 support platforms (BIG DATA, EXCELLENCE in BREEDING and GENE BANKS).
2. CGIAR research and related activities in 2017 are aimed at outputs and outcomes which virtually span the target sub-IDOs of the Strategy and Results Framework (see Annex 1).
3. Substantial contributions (i.e. from a number of CRPs) are expected in the areas of closing yield gaps and increased genetic gain, reduced pre- and post-harvest production losses, increased access to diverse nutrient rich foods, increased resilience, including to climate risks. There are also substantial projected contributions of programs to increasing beneficiary capacity in a number of ways: - to deal with climate extremes, in gender equitable control of productive assets and resources, capacity of young women and young people to participate in decision-making, for conducive agricultural policy as well as individual, institutional and partner capacity enhancement.

The budget in 2017 as it appears from the portfolio of POWBs

4. Based on the 2017 POWBs, at the aggregate Portfolio level, the total budget for year 2017 will be **USD 703,013,821**, comprising W1-W2 funding (USD 191,085,496; 27%) and W3-Bilateral funding (USD 511,928,325; 73%). The portfolio budget is thus 87% of the expected budget (USD 786, 191,179) of the revised proposals which were approved by the System Council in September 2016.
5. As set out in figure 1, following, 61% (USD 428,479,583) of the portfolio budget is made up of Agri-Food System (AFS) CRPs, with 32 % (USD 226,220,239) and 7 % (USD 48,313,999) made up of Global Integrating (GI) CRPs and Platforms respectively (Figure 1).

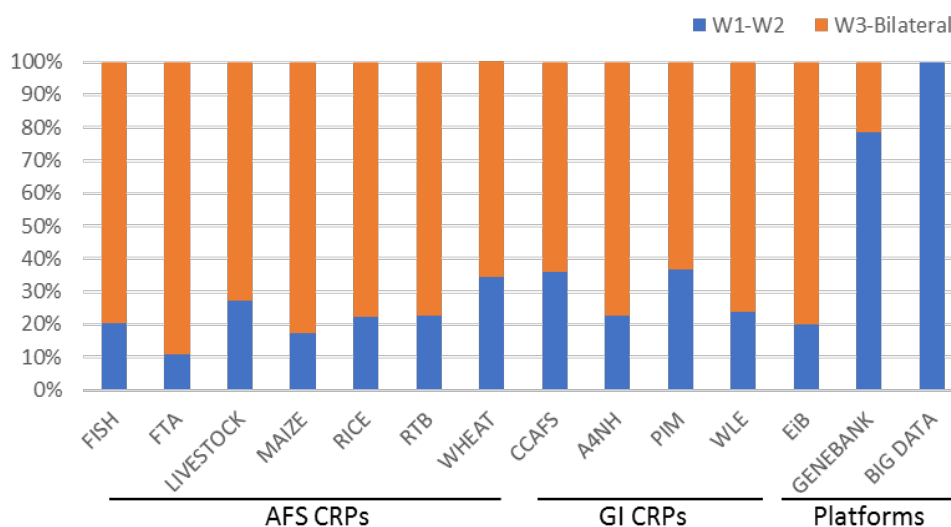
¹ FTA – Forests, Trees and Agroforestry; RTB – Roots Tubers and Bananas; A4NH – Agriculture for Nutrition and Health; CCAFS – Climate Change, Agriculture and Food Security; PIM – Policies, Institutions and Markets; WLE – Water, Land and Ecosystems. The Excellence in Breeding Platform is abbreviated as EiB in the remainder of the report and Genebanks as GB in Figure 1.

Fig.1. Mapping of portfolio budget allocation



6. In CRPs, the share of W1-W2 funding is around 11-37% (average 25%). Among Platforms, BIG DATA is fully dependent at start up on W1-W2 funding, while EiB and GENE BANKS maintained 80% and 21% W3 and Bilateral funding respectively. The ratio of W1-W2 funding to W3-bilateral funding is shown in Figure 2.

Fig.2. The ratio of W1-W2 and W3-Bilateral funding in each CRP/Platform



Variation in budget in POWBs for 2017 compared with first-year budgets and activities in proposals

- Overall budgets for most CRPs vary from those anticipated in the approved final proposals because of retractions e.g. CRPs not receiving W1-W2 funds for some flagships (FISH, FTA, LIVESTOCK, WLE); or receiving less W3-bilateral funding than anticipated (e.g. PIM, RTB, WLE, A4NH, RICE); or expansions due to increased capture in W3 and/or Bilateral funding for some flagship projects (FPs) within the overall CRP – e.g. particularly LIVESTOCK, FTA, CCAFS and WHEAT. Figure 3 shows the portfolio dynamics (POWB 2017 versus anticipated funding from the first year of full proposals, as endorsed) and Figure 4 illustrates some examples of these effects.

Fig.3. Changes in W1-W2 and W3-Bilateral funding between the figures in revised proposals and 2017 POWB

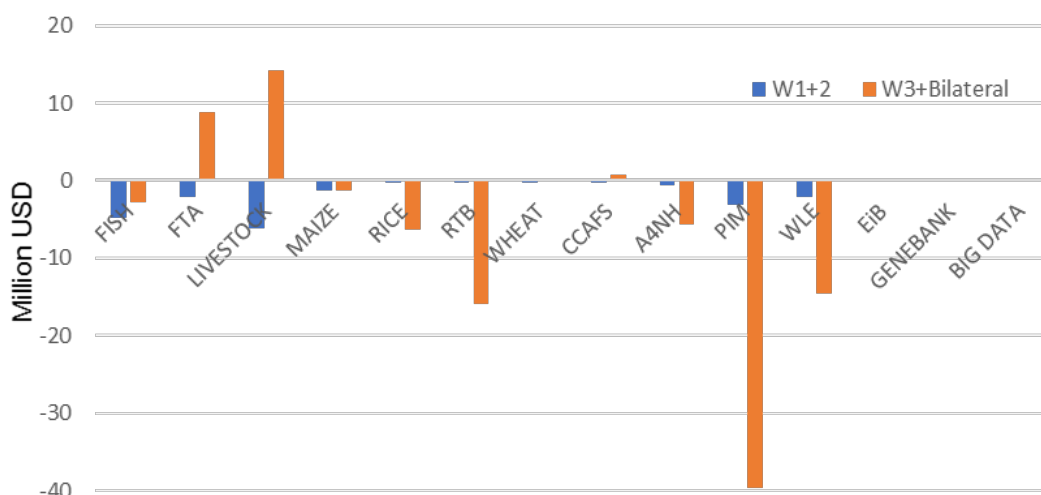


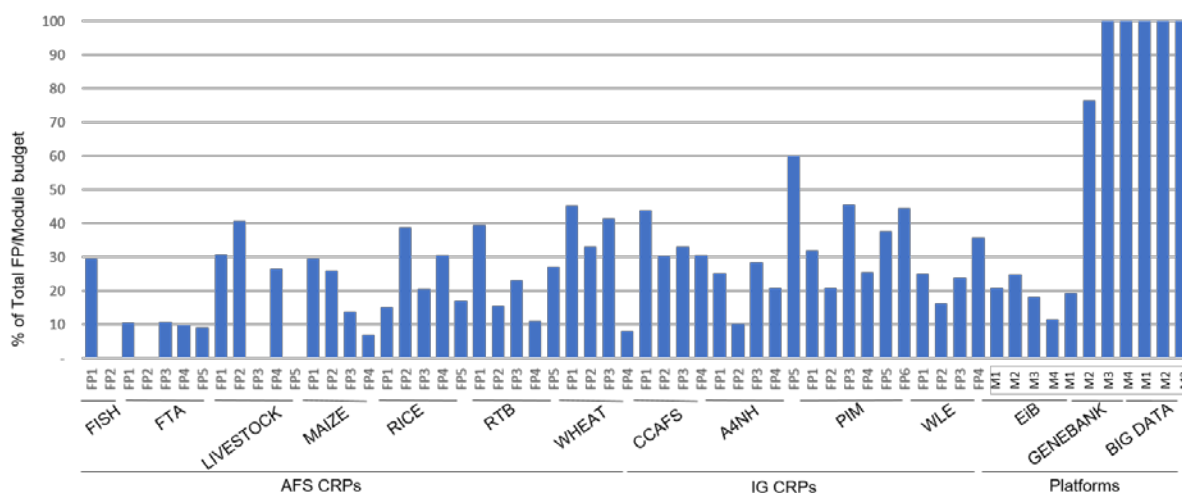
Fig.4. Examples of changes of the budget allocation among FPs and M&S



Analysis of W1-W2 funding

8. In most POWBs, the strategic use of W1-W2 funds is well described (see section 1.3 of the POWBs on-line), as is its role in enabling CRPs to conduct long-term and comprehensive research activities, and to strengthen the CRPs ability to deliver impact.
9. Based on the POWBs, W1-W2 funds are used by CRPs generally in 4 categories:
 - a) Linking research activities supported by W3 and bilateral funds to strengthen the synthesis and international public goods nature of outputs by CRPs.
 - b) Strengthening and assessing research areas through foresight, impact assessment or proof of concept research and/or new partnerships to demonstrate the potential value of research at FP and CRP levels.
 - c) Supporting Monitoring, Evaluation, Learning and Impact Assessment (MELIA) and other cross-cutting approaches at FP and CRP levels.
 - d) To coordinate and respond to changes in research conditions and to ensure stability against fluctuations in W3-bilateral funding.
10. Most CRPs show a strategic, differential use of W1-W2 funding, and distribute W1-W2 funding to most FPs and to Management and Support (M&S) costs (Figure 5).

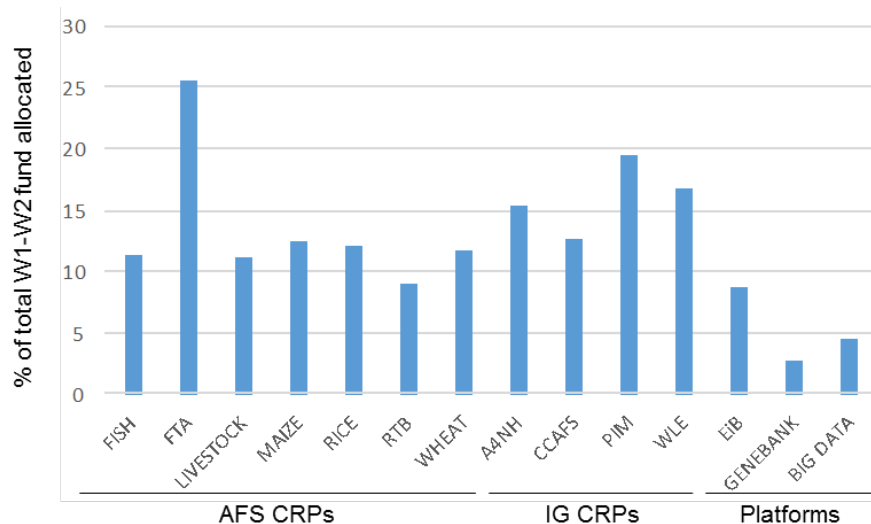
Fig.5. Percentage of W1-W2 funds in individual FP budgets



11. Amongst Platforms, GENEBANKS and BIG DATA rely on W1-W2 (79% and 100% respectively), at least initially, while EiB activities will consist 20 % of W1-W2 and 80% of W3-bilateral funding.
12. Management and Support costs of CRPs/Platforms range from 2.8% to 25.6% of total W1-W2 funds allocated. The EiB Platform and CCAFS used W3-bilateral funds to

support M&S costs (62% and 5% respectively).

Fig.6. Ratio of Management and Service cost against total W1-W2 funding



13. FTA, MAIZE and WHEAT made significant re-allocations of W1-W2 from FPs to create Program-support research funds / Partners' budget (approx. 10% of allocated W1-W2 funds), to cover cross-FP activity related to M&S, (for MELIA and 3 cross-cutting issues) and priority area research in FPs, so as to combine and expand the project level output into program level outputs. A similar use of M&S was observed in LIVESTOCK, while no reallocation of FP budget was made.
14. In some CRPs, the descriptions of use of W1-W2 are not sufficient to grasp all the uses of that funding. In further POWBs, improved guidance to CRPs may help this aspect of reporting at CRP and FP level.

Cross cutting issues

15. At the portfolio level, a total of 953 key outputs are listed. 18% of key outputs are principally linked with Capacity Development, while 10% and 4% of those were principally linked with Gender and Youth respectively.
16. Across all platforms, significant levels of outputs are targeted to Capacity Development, while the GENE BANKS Platform did not indicate any key outputs tagged with Gender and Youth, due to the nature of the activities.

Aligning POWBs with the performance framework

17. In agreement with the initiative to develop an Integrated Performance Management System for CGIAR Research, the System Management Office, working with the MELCoP², the Task Force on Indicators and in consultation with the CRP Leaders, IEA and ISPC/SPIA, developed a new draft template for POWB reporting, which was trialed in 2017. The intent is to bring annual planning and reporting into closer alignment for the better planning and assessment of program progress towards CGIAR's 2022 targets, learning and adapting by management and potentially, portfolio or resource adjustment in the future.
18. Since the call was made for proposals for the 2017 – 2022 CGIAR Portfolio in December 2015, a considerable improvement in the standardization of program descriptions has been noted, and hence comparability and collective action towards outcomes should be apparent and trackable in the future. For instance, the common vocabulary of Theories of Change, CRP/Flagships and clusters of activity, and the language of annual milestones, outputs, program outcomes, indicators and targets themselves are providing clarity in framing research effort and results.
19. 2017 is being treated as an experimental year for performance management design, and implementation and further improvements to this interim POWB template will be made for 2018 based on recent experience (e.g. to capture gender reporting and budget as a stand-alone item and not just as part of cross-cutting themes; the possible need for a "PIM" or Performance Indicator Matrix table to gauge investment against sub-IDO outcomes more directly etc.).
20. Annual Reports from the CRPs and Platforms for 2017, corresponding to the plans reviewed here, will be received in 2018. CRP Annual Reports will be expected to include annual outputs and progress towards outcomes (refer, paragraph 2). Platform reports are expected to contribute more at the output level and in terms of services to the CGIAR and partners.
21. The revised forward-looking POWB (for use for 2018 and following) and CRP and Platform Annual Report template will be shared with the System Council in advance of the Council's November meeting of 2017 for confirmation that these meet funder requirements.

² Monitoring, Evaluation and Learning Community of Practice – a grouping of MEL specialists spread across different programs and centers of the CGIAR.

Annex 1: Number of CRPs (#) addressing a specific Sub-IDO as reported in the POWB 2017

Sub-IDO	# of CRPs						
1.1.1 Increased household capacity to cope with shocks	1	1	1	1	1	1	1
1.1.2 Reduced production risk	1	1	1	1	1	1	1
1.2.1 Improved access to financial and other services	1	1	1	1	1	1	1
1.2.2 Reduced market barriers	1	1	1	1	1	1	1
1.3.1 Diversified enterprise opportunities	1	1	1	1	1	1	1
1.3.2 Increased livelihood opportunities	1	1	1	1	1	1	1
1.3.3 Increased value captured by producers	1	1	1	1	1	1	1
1.3.4 More efficient use of inputs	1	1	1	1	1	1	1
1.4.1 Reduced pre- and -post production losses, including those caused by climate change	1	1	1	1	1	1	1
1.4.2 Closed yield gaps through improved agronomic and animal husbandry practiced	1	1	1	1	1	1	1
1.4.3 Enhanced genetic gain	1	1	1	1	1	1	1
1.4.4 Increased conservation and use of genetic resources	1	1	1	1	1	1	1
1.4.5 Increased access to productive assets, including natural resources	1	1	1	1	1	1	1
2.1.1 Increased availability of diverse nutrient-rich foods	1	1	1	1	1	1	1
2.1.2 Increased access to diverse nutrient-rich foods	1	1	1	1	1	1	1
2.1.3 Optimized consumption of diverse nutrient-rich food	1	1	1	1	1	1	1
2.2.1 Reduced biological and chemical hazards in the food system	1	1	1	1	1	1	1
2.2.2 Appropriate regulatory environment for food safety	1	1	1	1	1	1	1
2.3.1 Improved water quality	1	1	1	1	1	1	1
2.3.2 Reduced livestock and fish disease risks associated with intensification and climate change	1	1	1	1	1	1	1
2.3.3 Increased safe use of inputs	1	1	1	1	1	1	1
3.1.1 Land, water and forest degradation (including deforestation) minimized and reversed	1	1	1	1	1	1	1
3.1.2 Enhanced conservation of habitats and resources	1	1	1	1	1	1	1
3.1.3 Increased genetic diversity of agricultural and associated landscapes	1	1	1	1	1	1	1
3.2.1 More productive and equitable management of natural resources	1	1	1	1	1	1	1
3.2.2 Agricultural systems diversified and intensified in ways that protect soils and water	1	1	1	1	1	1	1
3.2.3 Enhancement of plant and animal biodiversity for multiple goods and services	1	1	1	1	1	1	1
3.3.1 Increased resilience of agro-ecosystems and communities, especially those including smallholders	1	1	1	1	1	1	1
3.3.2 Enhanced adaptive capacity to climate risks	1	1	1	1	1	1	1
3.3.3 Reduce net greenhouse gas emissions from agriculture, forests and other forms of land-use	1	1	1	1	1	1	1

Cross cutting sub-IDs

	Sub-IDO	# of CRPs						
Climate Change	A.1.1 Reduced net GGH emission for agriculture, forests and other form of land use	■	■					
	A.1.2 Increased above and below ground biomass for carbon sequestration							
	A.1.3 Improved forecasting of impacts of climate change and targeted technology development	■	■					
	A.1.4 Enhanced capacity to deal with climate extremes	■	■	■	■	■		
	A.1.5 Enabled environment for climate resilience	■						
Gender & Youth	B.1.1 Gender-equitable control of productive assets and resources	■	■	■	■	■		
	B.1.2 Technologies that reduce women 's labor and energy expenditure developed and disseminated	■	■	■	■			
	B.1.3 Improved capacity of women and young people to participate in decision-making	■	■	■	■	■	■	■
Policies & Institutions	C.1.1 Increased capacity of beneficiaries to adopt research outputs	■	■	■	■	■	■	
	C.1.2 Increased capacity of partner organizations, as evidenced by rate of investment in agricultural research	■	■					
	C.1.3 Conducive agricultural policy environment	■	■	■	■	■		
	C.1.4 Conducive environment for managing shocks and vulnerability, as evidenced in rapid response mechanism	■						
Capacity Development	D.1.1 Enhanced institutional capacity of partner research organizations	■	■	■	■	■		
	D.1.2 Enhanced individual capacity in partner research organizations through training and exchanges	■	■	■	■			
	D.1.3 Increased capacity for innovation in partner research organizations	■	■	■				
	D.1.4 Increased capacity for innovation in partner development organizations and in poor and vulnerable communities	■	■	■	■			

NB: Data derived from Table 2 of the POWBs for 2017 - includes cases where CRPs declare indicators and targets for 2017 contributing to meeting specific sub-IDs. The absence of outputs against individual sub-IDs does not mean they are not being addressed, simply that that outputs and outcomes relevant to that sub-IDO are likely to be derived later in the 6-year program cycle.