

Strengthening the partnership,  
creating impact:

CGIAR System 3-Year Business Plan  
(2019-2021)

**Approved** by the CGIAR System Council at their 7<sup>th</sup> meeting on 15-16 November 2018

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## Companion documents to this plan

Document Reference Number	Companion Document	Relevant location in this document
SC7-A	Climate change	<a href="#">ACTION 1</a>
SC7-B	Crop Breeding	
SC7-C	Biofortification	
SC7-D	Antimicrobial resistance	
SC7-E	Gender Equality in Research	
SC7-F	Response preparedness	
SC7-G	2019-2021 Financing Plan	<a href="#">ACTION 2</a>
SC7-H	Program Performance Management Standards	<a href="#">ACTION 3</a>
SC7-J	Special funding initiative on Center Alliances	<a href="#">ACTION 5</a>
SC7-K	Developing an action plan on shared services	
SC7-L	Country Collaboration	<a href="#">ACTION 6</a>
SC7-M	Deepen Private Sector collaboration	
SC7-N	Assurance	<a href="#">ACTION 7</a>
SC7-P	Compilation of summary workplan submissions	<a href="#">ACTION 8</a>

\* Note. Vowels are not used in the Companion document numbering to avoid confusion with other document numbers

# Glossary of terms and acronyms

*These terms are in addition to those set out in the CGIAR System Framework under ‘Definitions’*

## CGIAR Centers and Programs

A4NH	CGIAR Research Program on Agriculture for Nutrition and Health
BIG DATA	Platform for Big Data in Agriculture
CIFOR	Center for International Forestry Research
CIMMYT	International Maize and Wheat Improvement Center
CIP	Centro Internacional de la Papa (International Potato Center)
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
CIAT	Centro Internacional de Agricultura Tropical (International Center for Tropical Agriculture)
CRP	CGIAR Research Program
EiB	Excellence in Breeding Platform
FISH	CGIAR Research Program on Fish Agri-Food Systems
FTA	CGIAR Research Program on Forests, Trees and Agroforestry
GENEBANK	Genebank Platform
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	International Centre for Research in Agroforestry
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IFPRI	International Food Policy Research Institute
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IRRI	International Rice Research Institute
IWMI	International Water Management Institute
LIVESTOCK	CGIAR Research Program on Livestock
MAIZE	CGIAR Research Program on Maize
PIM	CGIAR Research Program on Policies, Institutions, and Markets
RICE	CGIAR Research Program on Rice
RTB	CGIAR Research Program on Roots, Tubers and Bananas
WHEAT	CGIAR Research Program on Wheat
WLE	CGIAR Research Program on Water, Land and Ecosystems

## Partners, System Entities and other organizations

Crop Trust	Global Crop Diversity Trust
FAO	Food and Agriculture Organization of the United Nations
GCDT	Global Crop Diversity Trust
GCF	Green Climate Fund
GfAR	Global Forum on Agricultural Research and Innovation
IDLO	International Development Law Organization
IEA	Independent Evaluation Arrangement
ISPC	Independent Science and Partnership Council
IFAD	International Fund for Agricultural Development
SPIA	Standing Panel on Impact Assessment
UN	United Nations
UNFCCC	United Nations Framework Convention on Climate Change
WFP	World Food Program

## Funding terms

Annual Allocation	In respect of each CRP or Platform an estimated annual amount expected to be allocated to such CRP or Platform from Window 1 and/or Window 2.
Bilateral Funding	Funding that flows directly (not through the Trust Fund) from Funders to Centers in support of CGIAR Research.
CSP	Cost Sharing Percentage means the annual cost-sharing percentage that is charged to funds to cover the costs of the CGIAR System entities.
W1	Window 1 (funding channel in the CGIAR Trust Fund)
W2	Window 2 (funding channel in the CGIAR Trust Fund)
W3	Window 3 (funding channel in the CGIAR Trust Fund)

## Other terms

Altmetrics	Alternative metrics
AR4D	Agricultural Research for Development
ASTI	Agricultural Science and Technology Indicators
CSA	Climate Smart Agriculture
FAIR	Findable, Accessible, Interoperable, and Reusable (open data principles)
GARDIAN	Global Agricultural Research Data Innovation & Acceleration Network
GSARS	Global Strategy to Improve Agricultural and Rural Statistics
HHI	Hidden Hunger Index
IA	Intellectual Assets
IDO(s)	Intermediate Development Outcomes of the SRF
IFI	International Financial Institutions
M&E	Monitoring and Evaluation
MELCOP	CGIAR Monitoring, Evaluation and Learning Community of Practice
MIS	Management Information System(s)
NGO	Non-governmental organization
QoR4D	Quality of Research for Development framework
R&D	Research and Development
R4D	Research for development
SDGs	United Nations Sustainable Development Goals
SLO	System Level Outcome(s) of the SRF
SRF	CGIAR Strategy and Results Framework 2016-2030

## Foreword from CGIAR Center Board Chairs

The need for a global partnership to transform the food system while restoring our environment has never been greater. The task before us is momentous: a sustainable food systems revolution – as urgent as the agricultural revolution that launched CGIAR, yet exponentially more complex.

We have a unique critical mass when Centers join forces in this endeavor – enough to make a real difference in the trajectory of humanity and the planet and make a critical contribution to the Sustainable Development Goals.

We will miss this historic opportunity if we are atomized from each other and external partners. Hence our commitment to making CGIAR work as an efficient and impactful System – where Center diversity drives compelling global programs that leverage wider thinking, investments, policies and partnerships.

This is a moment rich with potential for CGIAR to rise to the challenge and build on the substantial System achievements and impact to date. Centers are increasingly aligned through the System Management Board – a commitment to self-governance that is working; and the System Council is generating a deep level of engagement by and with Funders to address the major strategic issues facing CGIAR.

We see this inaugural three-year Business Plan as a pragmatic short to medium-term response - a mix of substantial changes, better ‘housekeeping’, and starting work on a 2030 Plan that will address deeper-seated challenges in charting the future direction of the CGIAR System.

Center Boards play a special role in this partnership, and thus in making this Plan a reality – alongside Funders, we set the incentives framework that drives behaviors and outcomes. We will support Center-level implementation of this Plan and – equally importantly – engage our Boards in developing the 2030 Plan. We will ensure that Center leadership continues to support the healthy development of the System, including championing the evolving portfolio. We will actively pursue opportunities to build new alliances and other forms of collaboration between Centers. We will continue to ‘professionalize’ our Boards, increasing their diversity - including the share of women - and looking to further efficiencies.

A partnership means just that - we are not acting alone. To match the above undertakings, funding needs to be pooled behind major programs in support of a common agenda, driving focus and efficiency right across the System while supporting its financial sustainability. This Business Plan aims to continue to build confidence in the System, thus encouraging such funding to flow.

The Center Board Chairs, and Boards themselves, are fully committed to this 2019-2021 Business Plan and wholeheartedly commend it to all Center stakeholders.

CGIAR’s Center Board of Trustees Chairs

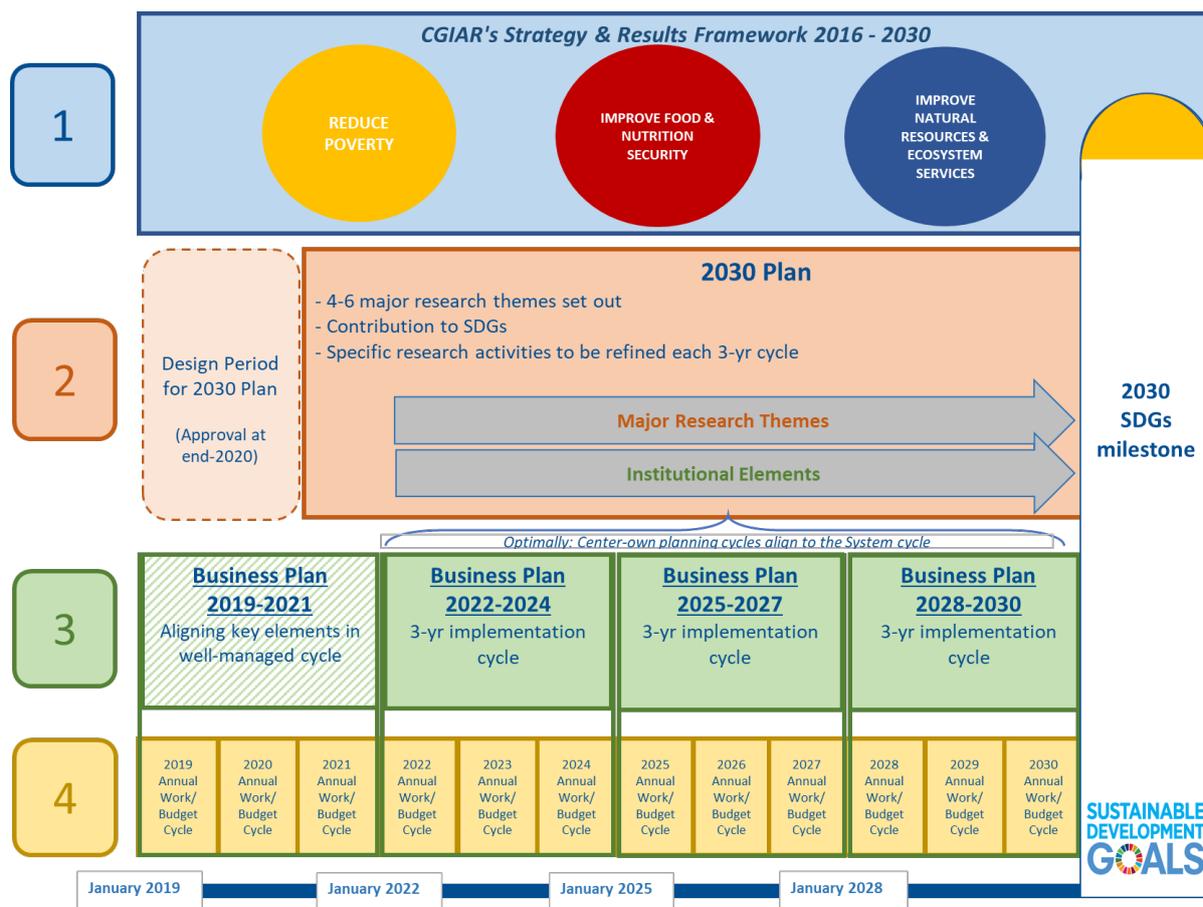
# Section 1: Context, Vision and Mission

## I. Evolution and Change

1. **The 2016 CGIAR governance reforms opened the door to a reinvigorated sense of collective ownership of the Centers to help chart the destiny of the CGIAR System - to simultaneously improve our salience, credibility and legitimacy.** The System Management Board was created by the Centers and Funders to be a major convening and guiding body for collective action. The elements of this business plan add up to an ambitious but achievable set of innovations to create a more efficient, focused and less fragmented System. Not a one-off “big bang” reform, but a period of sustained change to proactively manage a necessary evolution of the CGIAR System as it faces profound shifts in its operating environment.
2. **The vision of this first CGIAR System-level business plan is ambitious – by the end of 2021 the 10 priority actions described below aim to achieve:**
  - a. Successful implementation of CGIAR’s research portfolio, supported by improved performance management systems, implementation and communication strategies on key themes, and delivery of documented results and impact through partnerships;
  - b. Greater cooperation between Centers through both CRPs and new programmatic alliances, effectively implemented shared services and functions, and greater confidence in assurance systems through aligned advisory services;
  - c. An exciting new portfolio developed as part of a 2030 Plan that sustains CGIAR’s focus on big programmatic efforts to drive impacts, provides for organizational adaptation as needed and ensures the System’s longer-term relevance derived from unique sources of comparative advantage;
  - d. A step change on gender both in the workforce and in research programs – as part of a clear and ambitious new cross-Center CGIAR People strategy; and
  - e. Funding that has stabilized and is commensurate with the task, with its quality significantly improved in terms of predictability, and the share of programmatic pooled funding in ‘windows 1 and 2’ substantially increased.
3. **A key consideration is that the actions presented in this business plan are self-reinforcing, requiring engagement on the part of both Funders and Centers.** For example, CRPs need sufficient funding to drive performance improvements across the System. Funders will only respond if they have confidence in a plan to improve performance and the delivery of results. Addressing the challenges of fragmentation requires coordinated action by both Centers and Funders. There are many sources of synergy and areas of cooperation. The responsibility and accountability for success is shared across the whole System, as set out in Section 3 below.
4. **This business plan is atypical:**

- a. **It is a plan for a diverse partnership rather than a singular corporation – hence a “System-level” plan that focuses on decisions and actions that need to be taken at the collective level.** The plan does not, therefore, aspire to present Center-level strategies or aim to prescribe these. But it does seek to reflect the reality that Center capability is the foundation of the CGIAR System – without this infrastructure and capability there is no system. Much of the implementation of actions set out in this business plan will be most efficiently and effectively addressed through Center-level decision-making processes, requiring that the Centers themselves are sufficiently stable to deliver on their important tasks. The actions identified below are using existing decision-making structures and roles established in the 2016 reforms, with the philosophy of subsidiarity in decision-making running across the approaches identified in the plan.
  - b. **It is as much an institutional development plan as a classic business plan – with a strong focus on strategy and institutional strengthening and process improvement.** This is because the plan is starting part-way through an existing portfolio implementation, operationalizing many agreed objectives; and it identifies System-level challenges and strategy development efforts to address these.
5. **The audience for this plan includes CGIAR’s:**
- a. Staff and Boards - right across the System, enabling greater common purpose and clarity about our forward direction
  - b. System Council and Funders – as key stakeholders in guiding the current and future evolution of the CGIAR System
  - c. Many partners and other stakeholders, ranging from national governments and NARS, private sector and civil society partners, to multilateral and international organization partners
6. **This System-level business plan is the first step in defining a planning landscape to 2030 for the CGIAR System.** A key date is 2030 – the reconciliation moment in terms of progress against the global SDGs. It is also the moment when CGIAR’s Strategy and Results Framework (“SRF”, approved in 2016) ends. As an anchor date to our forward thinking, 2030 is therefore a “natural” target date for our planning processes. The SRF will remain a broad expression of our overall research strategy and goals – running to 2030. 3-year CGIAR System business plans will align all key elements into a well-managed cycle, with a remaining role for annual refinement of 3-year plans for programs or budgets as necessary.
7. This ‘planning landscape’ is set out in **Figure 1 below:**

FIGURE 1: A CGIAR SYSTEM-LEVEL PLANNING LANDSCAPE TO 2030

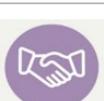


## II. Our Vision and Mission

8. **CGIAR’s vision** is a world free of poverty, hunger and environmental degradation. **Our mission** is to advance agricultural science and innovation to enable poor people, especially women, to better nourish their families, and improve productivity and resilience so they can share in economic growth and manage natural resources in the face of climate change and other challenges.
9. **The narrative set out in this section is a new articulation of this vision and mission** – in particular, on CGIAR’s role in meeting the Sustainable Development Goals and the global challenges expressed within these goals, and in distilling and linking the many elements in the SRF and Portfolio. This narrative will be further developed in the 2030 Plan to be developed as an action of this business plan.
10. **Most of the world’s population eats too little, too much, or the wrong type or combination of food – at an unsustainable cost to the environment, human health and potential, and other outcome indicators, including political stability.** As set out in [CGIAR’s Strategy and Results Framework](#), the world’s food system is on the wrong trajectory. Achieving the Sustainable Development Goals depends on a food system simultaneously capable of delivering greater volumes of more nutritious food with a lower environmental footprint.

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

**TABLE 1: FOOD AND AGRICULTURE ARE AT THE CENTER OF 5 GLOBAL CHALLENGES**

	<p><b>1. Living within PLANETARY BOUNDARIES:</b> Food systems are a major driver of the unsustainable use of the planet’s increasingly fragile ecosystem. Water, land, forests and the biodiversity they contain are precious, yet finite, natural resources. Agriculture and food systems account for up to 29 percent of greenhouse gas emissions, and yet will be profoundly affected by the more rapidly changing climate that those emissions cause. Agriculture is driving the loss of the world’s forests and productive land, with 5 million hectares of forests lost every year and a third of the world’s land already classified as degraded. Agriculture accounts for about 70 percent of water withdrawals globally, is a major cause of water stress in countries where more than 2 billion people live, and water pollution from agricultural systems poses a serious threat to the world’s water systems.</p>
	<p><b>2. Sustaining FOOD AVAILABILITY:</b> Yield increases of staple crops have slowed, yet more food will need to be grown in the next 33 years than in the 10,000 years since the agricultural revolution began. Production and distribution will be challenged by population growth, dietary change, climate change and environmental decline. A diverse range of affordable and nutritious food – in particular, fresh fruit, vegetables and nuts – is limited in many markets, especially for the poor. Most of the growth in food required will need to come from increases in productivity across the food chain, and in harmony with the natural environment. Additionally, maintenance of active food markets and open trade are challenged. Food price crises have the potential to return in the future for various reasons including climate change which increasingly creates correlated shocks in global and local food markets.</p>
	<p><b>3. Promoting EQUALITY OF OPPORTUNITY:</b> Social and economic inequalities are pervasive across food systems. Inequality in decision-making and control of productive assets and resources has major consequences for food security. It is one driver of conflict, which in turn is a key driver of migration. Progress towards gender equality is patchy across the globe and in various sectors, including in agriculture. Vast differences in rights, conditions and recognition reflect serious gender inequalities and a marginalization of women in agriculture even as primary production is increasingly being “feminized”. Inequalities in access to land tenure remain a major challenge.</p>
	<p><b>4. Securing PUBLIC HEALTH:</b> The dietary equation is currently unbalanced. More than 800 million people are chronically undernourished, while two billion people suffer from micronutrient deficiencies, and an equal number are overweight or obese. Diverse diets are often unavailable, implying that improved products have to be thoughtfully delivered into value chains and markets, at the nexus of dietary education and reinforcing conditions such as public intervention in domains as diverse as regulation in different respects, including food safety, and sanitation and water quality. The use of chemical-based fertilizers and pesticides also risks exposure of the public or agricultural workers to health risks. Growing concern about emerging infectious diseases, of which many are zoonoses, highlights the need for informed interventions to control such diseases which threaten production and human health. Anti-microbial resistance is a major emerging issue driven in part by the food system.</p>
	<p><b>5. Creating JOBS and GROWTH:</b> About three-quarters of the world’s poor rely on agriculture and natural resources for food and livelihoods. 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. Stable rural and urban development requires jobs for the growing number and proportion of young people in the coming decades. Mechanization in food systems presents both opportunities for productivity and employment risks for some. Growth in the rural economy will be dependent not only on increasing jobs in agriculture but also wealth accumulation to allow farm family members to find off-farm employment. The Blue Economy is an often overlooked but critical element of livelihoods and sustainability.</p>

12. The above challenges are daunting. But parallel, overlapping and rapid **transformations are happening that can help address them:**

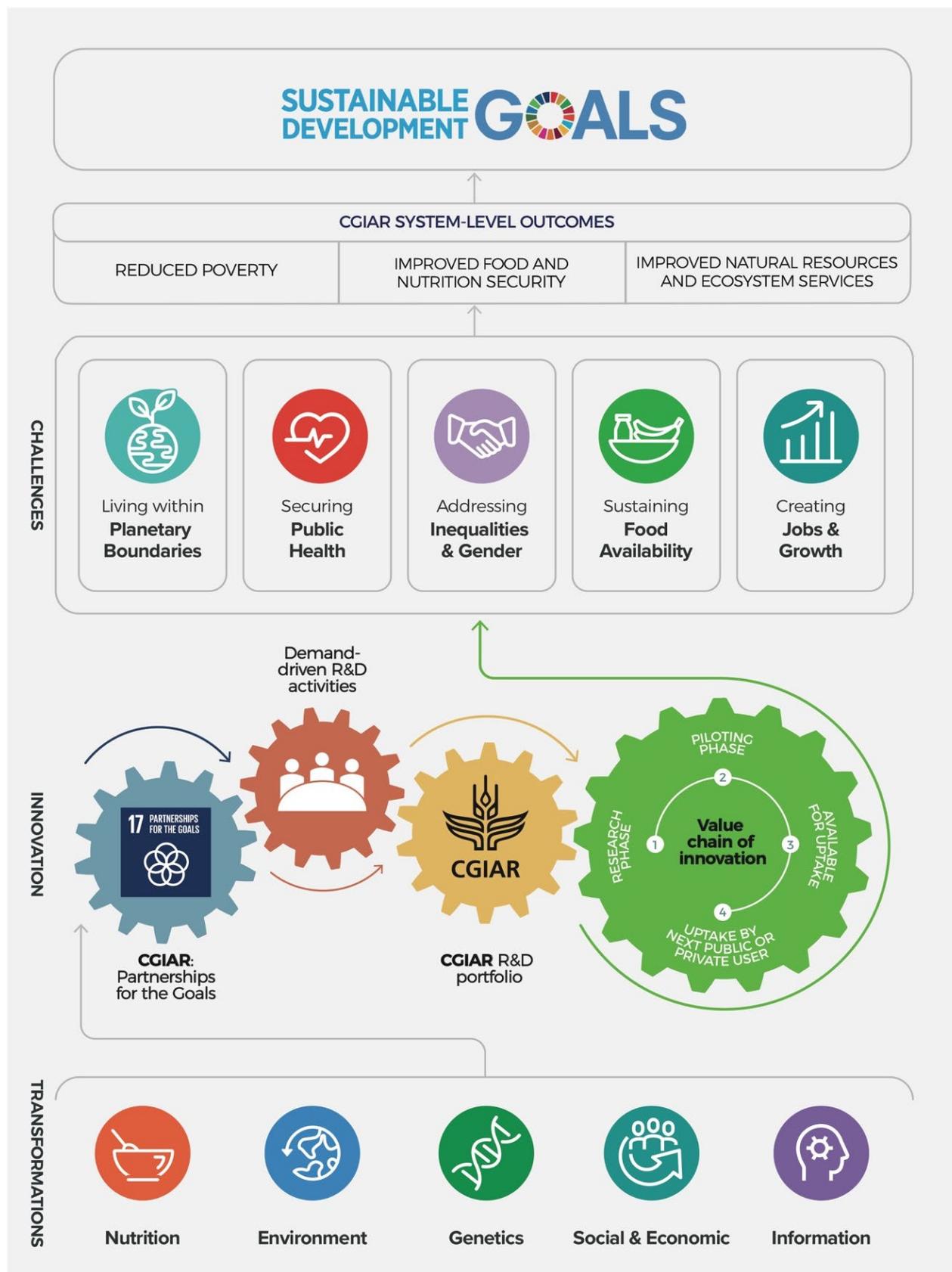
**TABLE 2: 5 TRANSFORMATIONS FOR A FOOD SYSTEMS REVOLUTION**

	<p><b>1. A SUSTAINABILITY TRANSFORMATION:</b> to drastically cut the climatic and environmental cost of agriculture and reverse land, soil and water degradation by scaling up climate-smart agriculture, land restoration, agroforestry practices, ecosystem-based approaches, natural resource management and sustainable management of surface and groundwater resources, including by enhancing water use efficiency and reducing water pollution from agriculture.</p>
	<p><b>2. A NUTRITION TRANSFORMATION:</b> to tackle chronic malnutrition, hidden hunger, obesity, and the availability of safe, healthy and diverse foods by harnessing the political, technological, and market potential of food systems.</p>
	<p><b>3. A GENETICS REVOLUTION:</b> to accelerate development of a new generation of crops and animals, to improve yield, as well as increasing nutrient content and market value – while increasing resilience to climate challenges, pests and diseases – all in the context of appropriate safeguard policies.</p>
	<p><b>4. A SOCIAL AND ECONOMIC TRANSFORMATION:</b> to achieve greater equality of opportunity – for example in access to and control over land and resources – to revitalize rural economies, bring value to consumers, and leverage the power of economic growth to reduce poverty; particularly targeting gender equality and the key role of women in production, post-harvest processing and across the value chain.</p>
	<p><b>5. AN INFORMATION REVOLUTION:</b> to create a 21<sup>st</sup> Century “food systems extension service” that puts real-time information in the hands of farmers, foresters, fishers and water managers – that delivers 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-making.</p>

13. **These transformations can be harnessed to usher in a “food systems revolution” that address the 5 global challenges.**
14. **An infusion of ‘products, services and knowledge in the right hands’ will be the primary input of a food systems revolution** – fresh innovations and their dissemination into value chains of innovation for those that need it. These must internalize the complexity and interconnectedness of the 5 global challenges – with many of the ‘knotty’ problems occurring at the nexus between traditional boundaries of between knowledge, institutions and geography. Building sustainable landscapes and a sustainable and resilient food system will require evolving thinking and knowledge, and an ability to tackle complex and interconnected challenges. Synergies and trade-offs between development pathways will need to be arbitrated and optimized at all levels, ranging from global fora to the world’s landscapes and waterscapes.

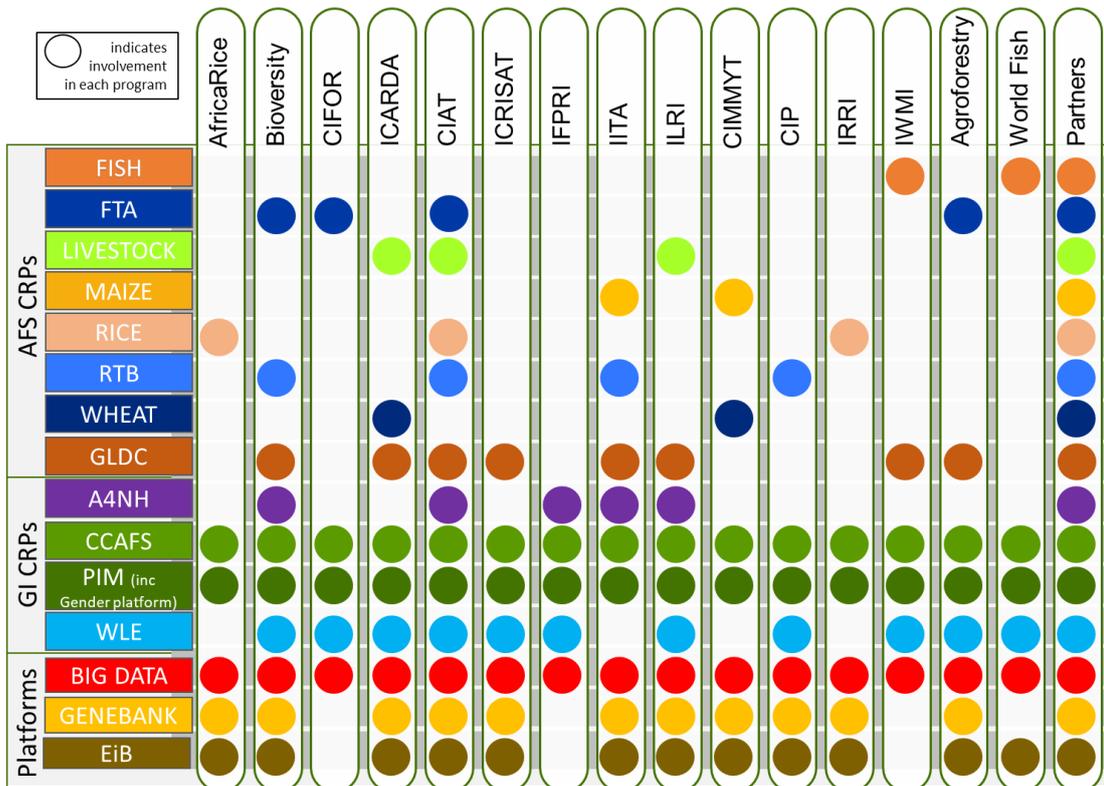
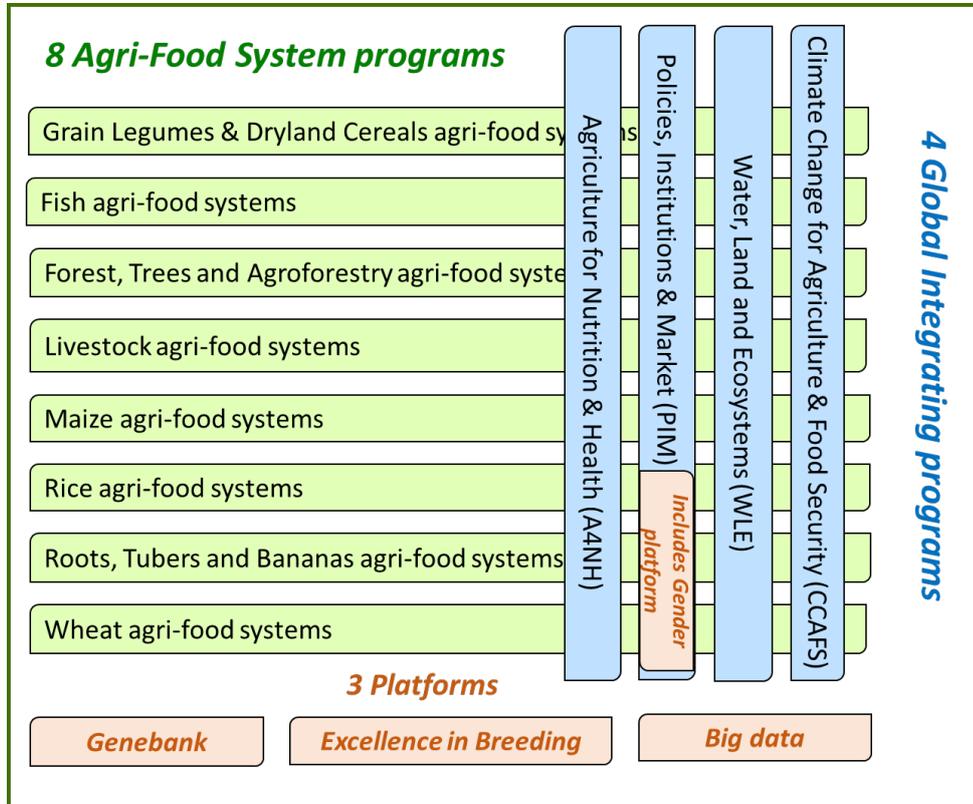
15. **Creation and diffusion of innovation at this scale can only be done through diverse partnerships.** CGIAR is itself a partnership between Centers, which both creates knowledge and delivers results through further partnerships. CGIAR reported more than 1500 active external partnerships in 2017, ranging from long-standing to innovative new partnerships being forged for adoption at an individual, community, sub-regional, national and international level at scale. CGIAR increasingly convenes or joins partnerships that span the traditional boundaries between subject areas (environment, agriculture, etc.) and sectors (public and private, for example) – these are essential to tackle these challenges.
16. **CGIAR’s role is to use our unique partnerships and interfacing roles as well as the diversity of assets and skills to drive these 5 global transformations to more meaningfully address the 5 global challenges – to meet the SDGs.** The scale and breadth of the task places CGIAR in a unique role – since the diversity and depth of its assets, activities and focus, range of partnerships and history of delivering impact at scale place it in a unique position to help lead this change. Its contribution can leverage its assets: world class research Centers housing the world’s largest and most diverse crop and forage collections (its global ‘genebanks’), a local presence in over 75 countries, a critical mass of natural and behavioral scientists, and an unequalled world-wide partnership network. The development of the 2030 Plan (see Action 10 below) presents an opportunity to frame and chart the directions and choices we need to take to leverage our capabilities to help the world attain our 2030 Development Agenda.
17. **This pivotal role for CGIAR is depicted in Figure 2 below:**

**FIGURE 2: CGIAR'S ROLE IN MEETING THE SDGs: HARNESSING 5 GLOBAL TRANSFORMATIONS TO ADDRESS 5 GLOBAL CHALLENGES**



18. CGIAR's portfolio is designed to address these challenges, and is composed of a mix of key programs:

FIGURE 3: THE CGIAR PORTFOLIO



## Section 2: 10 System Actions for 2019-2021

### SUMMARY

#### **ACTION 1: Implement and enhance the portfolio of CRPs and Platforms**

- 1.1. Successfully implement the CGIAR portfolio over the business plan period
- 1.2. Elevate gender equality to a new CGIAR Research Platform
- 1.3. Deepen the portfolio through new thematic strategies and initiatives

#### **ACTION 2: Create Financial Sustainability and Growth in CGIAR**

- 2.1. Agree ambitious targets for funding volume and quality
- 2.2. Implement the 2019-2021 FINPLAN
- 2.3. Meet minimum overhead costs
- 2.4. Extend reconciliation of System Council Funder seating to end-2020

#### **ACTION 3: Strengthen program performance management**

- 3.1. Implement a 12-Point Program Performance Management Framework
- 3.2. Implement Program Performance Management Standards for 2019

#### **ACTION 4: Improve people management**

- 4.1. Develop a CGIAR People Management Strategy
- 4.2. Reinforce and strengthen our shared ethical frameworks and practices
- 4.3. Design and implement a 'Gender, Diversity and Inclusion Framework'

#### **ACTION 5: Pursue new cross-Center alliances**

- 5.1. Attract additional funding in support of Center alliances
- 5.2. Explore priority shared services opportunities between Centers

#### **ACTION 6: Enhance collaboration with delivery partners**

- 6.1. Implement a new country collaboration strategy
- 6.2. Deepen private sector collaboration
- 6.3. Establish new Multilateral Development Bank cooperation platforms
- 6.4. Set up a CGIAR Rome-Hub

#### **ACTION 7: Align and enhance assurance systems**

- 7.1. Increase coordination and information sharing between assurance providers
- 7.2. Evolve our risk management maturity
- 7.3. Evolve capacity to increase the value of internal audit
- 7.4. Harmonize cross-System internal controls frameworks for shared risks

#### **ACTION 8: Align high-quality independent advisory services into System-level decision-making**

- 8.1. Implement System Council decision on advisory services
- 8.2. Implement Council-agreed workplan of the Advisory Services Shared Secretariat

#### **ACTION 9: Strengthen collective resource mobilization and communication efforts**

- 9.1. Develop and implement a System-wide marketing and communications strategy
- 9.2. Implement a System-wide resource mobilization action plan

#### **ACTION 10: Prepare a longer-term plan**

- 10.1. Develop a 2030 Plan

## ACTION 1: Implement and enhance the portfolio of CRPs and Platforms

<b>Companion documents:</b> <ul style="list-style-type: none"><li>• SC7-A – Climate change</li><li>• SC7-B – Crop Breeding</li><li>• SC7-C – Biofortification</li><li>• SC7-D – Antimicrobial resistance</li><li>• SC7-E – Gender Equality in Research</li><li>• SC7-F – Response preparedness</li></ul>	<b>Background documents:</b> <ul style="list-style-type: none"><li>• <a href="#">CGIAR System Performance Report</a></li><li>• <a href="#">2<sup>nd</sup> System Council meeting (Mexico)-Chair’s Summary</a></li><li>• <a href="#">Presentation: CGIAR Portfolio 2017-2022, Interim SMB Chair</a></li></ul>
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### 1.1. Successfully implement the CGIAR portfolio over the business plan period

19. **This business plan seeks to continually support and improve the implementation quality of the existing Portfolio.** One implication of the adoption of Action 10 (proposed below) is that the next round of programs would start at the beginning of 2022, i.e. a year earlier. Thus, the existing CRPs/platforms would be implemented for 5, not 6, years, requiring a proactive communication and discussion with our highly valued partners to manage that transition in an effective manner. The 3-year 2019-2021 implementation period provides the opportunity to do this in a collaborative way.
20. An additional criterion for entry of new CRPs, Platforms or Flagships into the existing portfolio during the 2019-2021 business cycle would be the requirement for the relevant proposal being given a rating of ‘A’ for a CRP/Platform or ‘Strong’ for a Flagship from the System’s Independent Science for Development Council (ISDC), unless there is an explicit decision by the System Council to make an exception. These elements would also be subject to the same end-date arrangements as the existing portfolio i.e. a revised portfolio will start for all elements from January 2022.

### 1.2. Elevate gender equality to a new CGIAR Research Platform

21. In line with the May 2018 deliberations of CGIAR’s System Council, the currently named ‘CGIAR Collaborative platform for gender research’- housed in the CGIAR Research Program on Policies, Institutions, and Markets (PIM) – will be **elevated to a more identifiable CGIAR Platform**, with equivalent status to the Excellence in Breeding, Big Data and Genebanks Platforms.
22. This will be done to generate greater visibility for innovative work on gender equality research conducted across CGIAR, stronger convening power for the Platform, fully embedded gender equality in the fabric of CGIAR research, global leadership on gender equality in agriculture research that has transformative impacts and provides international public good benefits to others, greater ability to absorb and deploy finance to leverage gender equality integration across CGIAR, more extensive engagement of CRP directors and other program elements, access to a wider set of funding pathways, and higher prominence in System reporting.

### 1.3. Deepen the portfolio through new thematic strategies and initiatives

23. **Some key issues or activity areas already within the Portfolio require an extra push** – either in the form of a modernization plan (e.g. breeding), a clearer cross-Center implementation strategy (e.g. biofortification), or an impact-level plan (e.g. climate change). Some new strategies and initiatives will therefore be developed over the business plan period which will:
- a. Be anchored in the current portfolio – which in many areas already houses strategies and initiatives led by Centers (such as the [Global Landscapes Forum](#)) that seek to drive awareness and change
  - b. Use existing management and funding structures, not create new ones – hence any additional funding directed towards meeting these strategies will use existing funding modalities and be managed through the CRP or platform
  - c. Not be a closed list in terms of the elements that could be taken forward – these will naturally evolve over time as the System Management Board constantly seeks to improve portfolio implementation
  - d. Help inform thinking going into the 2030 Plan, but not predetermine how the next portfolio is structured
24. Some contributions are already being developed and will be implemented as set out in Companion documents to this business plan:
- **Gender Equality in Research** - see Companion document SC7-E
  - **Crop Breeding** - see Companion document SC7-B
  - **Climate change** – see Companion document SC7-A
  - **Biofortification** – see Companion document SC7-C
  - **Anti-microbial resistance** – see Companion document SC7-D
  - **Response preparedness** – see Companion document SC7-F
25. Other strategies may be developed and implemented during the business plan period as requested by the System Management Board. Potential additional areas could, for example, include CGIAR-wide strategies on: sustainable and productive Landscapes (starting with an initiative on upscaling land restoration), nutrition/“Hidden Hunger”, our work related to an arc of dry areas ranging from North Africa to China, rural youth, and digital extension systems.

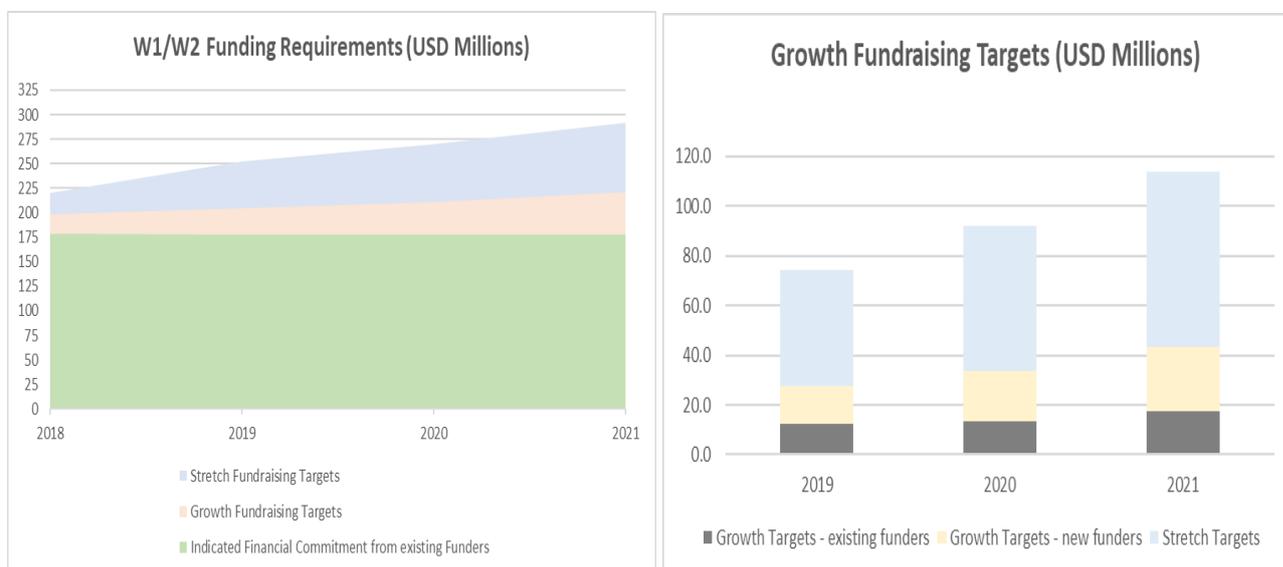
## ACTION 2: Create Financial Sustainability and Growth in CGIAR

Companion documents:	Background documents:
<ul style="list-style-type: none"> <li>SC7-G - 2019-2021 CGIAR Research Financing Plan</li> </ul>	<ul style="list-style-type: none"> <li><a href="#">Document SC6-02, A Business Plan Concept</a> – Section 1.3 – Planning for financial viability</li> <li><a href="#">Document SC5-07: Financing Modalities</a></li> <li><a href="#">Document SC4-03 Funding Modalities Scoping Paper, Revision 1</a></li> <li><a href="#">July 2016 - CGIAR Transition Team - Note on Selection Process for SC Voting Members</a></li> <li><a href="#">CGIAR Cost Sharing Percentage mechanism</a></li> </ul>

### 2.1. Agree ambitious targets for funding volume and quality

26. CGIAR requires increased funding to meet the ambition and scale of its mission set out above. After a period of decline, CGIAR seeks significant growth (40%) in W1/W2 funding to \$813.1M of W1/W2 funding during the 2019-2021 period (compared to the 2016-2018 period). The 2019-2021 FINPLAN identifies achievable growth-oriented W1/W2 fundraising targets of \$104.3M over the 3 years, leaving a stretch fundraising target of \$176.3M to fund the requirements of the CGIAR as shown in Figure 4 below.

**FIGURE 4: GROWTH FUNDRAISING TARGETS**



27. The intent of this business plan is to prepare the ground and set a pathway to increasing the proportion of funding provided through pooled W1/W2 funding to 30% by 2030.
28. W3 and bilateral funding also play an important role – Centers have set ambitious plans to increase this amount over the business plan period.

### 2.2. Implement the 2019-2021 FINPLAN

29. Key elements of the 2019-2021 FINPLAN comprise:
- a. Identification of growth fundraising targets that include attracting new and/or lapsed Funding partners, sufficient funding increases from existing Funders to cover inflation and additional research initiatives.
  - b. Window 1 allocations based upon indicated levels of interest by existing Funders in providing stable Window 2 allocations per year.
  - c. Maintaining the current [CGIAR Cost Sharing Percentage mechanism](#) (CSP) and rate (2%), while considering on an annual basis any proportionate rebates to Centers and/or modifications to the rate to distribute any potential savings generated from CSP revenues in excess of System Entity costs.
  - d. Incentivizing Window 2 funding support by ensuring that any additional Window 2 funds allocated to an individual CRP or Platform will be considered additional funds available for use by the program with no reduction in planned Window 1 fund allocations.
  - e. Planned minimum distribution of W1/W2 to Centers of \$599M as laid out in Table 3 below.

**TABLE 3: COMPARATIVE PLANNED MINIMUM DISTRIBUTION OF W1/W2 FUNDS**

	2019	2020	2021
W1/W2 planned minimum distribution to centers (Millions USD)	190.0	200.0	209.0
Year over Year Increase (Millions USD)	10.0	10.0	9.0
Year over Year Increase (%)	6%	5%	4%

- f. Planned growth in a Window 1 Liquidity and Stabilization Fund (formerly the 'Balancing Fund') from US\$15.8M Million to US\$50 Million (+/-10%) by the end of 2021 as set out in table 4 below. The dual purpose of the Window 1 Liquidity & Stabilization Fund, set out in more detail in Companion document SC7-G, is to provide a reliable source of pre-financing cash flow for a portion of Window 1 funding to research programs during the first quarter of the fiscal year (a period in which Funder contributions are typically low) and to provide a partial guarantee of funding if growth fundraising targets are not realized in a given year.

**TABLE 4: BUILD-UP OF LIQUIDITY AND STABILITY FUND 2019-2021 (ALL FIGURES IN US\$ MILLIONS)**

	<b>2018</b>	<b>2019</b>	<b>2020</b>	<b>2021</b>
<b>Targeted Opening Balance</b>	<b>17.5</b>	15.8	28.9	38.3
Projected W1/W2 contributions	178.4	205.2	211.3	219.6
Contingency allocation to Centers to offset fundraising shortfalls		(2.0)	(2.0)	(2.0)
W1/W2 funds distributed to centers	(180.1)	(190.0)	(200.0)	(209.0)
<b>Targeted End Balance</b>	<b>15.8</b>	<b>28.9</b>	<b>38.3</b>	<b>46.8</b>

- g. As set out under Action 5 below, creating a combined Window 1 and Window 3 funding mechanism in support of new CGIAR Center alliance activities.

### 2.3. Meet minimum overhead costs

30. Recognizing the importance of improving financial sustainability, agreement in principle to the following:
- From Centers: to comply with updated ‘CGIAR Cost Principles and Indirect Cost Guidelines’<sup>1</sup> to ensure transparency of methodologies and consistency of treatment of expenses across Centers.
  - From Funders: to consistently fund, across all funding channels, full costs of implementing research including indirect costs as defined in the ‘CGIAR Cost Principles and Indirect Cost Guidelines’ - recognizing that recovery methodologies may vary from Funder to Funder and across funding channels but accepting a broad commitment to permit either direct charges or indirect allocations of full costs of delivery.

### 2.4. Extend reconciliation of System Council Funder seating to end-2020

31. An additional element of the funding and governance framework relates to how and upon which basis CGIAR’s Funders agree to allocate the 15 ‘Funder’ voting member seats on the System Council. With the current arrangements having been agreed by the Funders to take effect from 1 July 2016 (through to 30 June 2019) based on combined 2013-2015 calendar year contributions, **the current contribution period will be extended to the second year of each business cycle (end 2020 for this first cycle)** so that i) there are maximal incentives for pledges at the beginning of each cycle to translate into seat impacts during that pledging period, and ii) any seat changes are made in advance of crucial decision-making in the final year of any business cycle. Additional provisions will be made for new Funders to be able to join the System Council upon meeting agreed investment thresholds.

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<sup>1</sup> Draft guidelines will be shared for consultation with the goal of seeking System Management Board approval in 2019.

## ACTION 3: Strengthen program performance management

<b>Companion documents:</b> <ul style="list-style-type: none"><li>• SC7-H – Program Performance Management Standards</li></ul>	<b>Background documents:</b> <ul style="list-style-type: none"><li>• <a href="#">CGIAR System Annual Performance Report 2017</a></li><li>• <a href="#">SC6-02 CGIAR-Business-Plan-Concept - Section 3</a></li><li>• <a href="#">SC5-05: Results Reporting</a></li><li>• <a href="#">SC4-09A, Pre-read on Performance Management</a></li><li>• <a href="#">SC4-09B, Presentation on Performance Management</a></li><li>• <a href="#">SC3-03 Towards a Performance Management System</a></li><li>• <a href="#">2017 IEA Results Based Management evaluation</a></li></ul>
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### 3.1. Implement a 12-Point Program Performance Management Framework

32. Improving program performance management and reporting is a key driver for all aspects of this business plan, ensuring that credible information - *comprising a combination of careful evaluation of the past program, combined with assurance that current research management systems are designed, positioned and managed to deliver impacts as effectively and efficiently as possible* - drives improvements over time.
33. The 2019-2021 period will be focused on ensuring full implementation of the CGIAR System's 12-point action plan for improving performance management and program reporting, as reflected in table 5 (adjacent).

### 3.2. Implement 2019-2021 Program Performance Management Standards

34. A key element of the 12-point plan is the introduction of 'CGIAR Program Performance Management Standards' (Point-9 from the 12-Point Action Plan) for successive 3-year cycles. These will be assessed once per business cycle, and the achievement of standards will be a clear entry condition for funding in the subsequent cycle.
35. The Companion paper (SC7-H) describes the proposed 2019-2021 performance standards, and puts forward the recommendation from deliberations across the Centers, research leaders and the Council's Strategic Impact, Monitoring and Evaluation Committee that:
- a. A "rubric" concept (stages/levels) be identified and used to objectively assess the achievement of the various standards; and
  - b. That the evaluation senior specialist in the new CGIAR Advisory Services Shared Secretariat is the responsible officer for undertaking the periodic (once each 3 years) assessment of whether programs met the standards, working across other advisory bodies as required to obtain expert data.
36. It is also proposed that by not later than mid-2019, the System formally adopts the [ISPC Quality of Research For Development Framework](#) ('QoR4D') and integrates it into CGIAR's 'combined assurance' model, to ensure that relevant elements of the framework can be used as the benchmark to assess selected performance standards.

**TABLE 5: CGIAR SYSTEM 12-POINT ACTION PLAN FOR IMPROVING PROGRAM PERFORMANCE**

Area of action	Status/Comment
<b>PAST: RESULTS REPORTING</b>	
1. <i>CGIAR Annual Performance Report</i>	New style version piloted for 2017 performance, delivered in September 2018 (presented in this meeting). 2018 and successive reports to build on other elements of this 12-point plan.
2. <i>CRPs/Platform reporting requirements</i>	Revised reporting requirements: 2017 templates and guidance can be seen in <a href="#">this link</a> , and updated versions are being produced for 2018 reporting and the 2019 POWB. Quality assurance procedures for all underlying data to be systematized (pilot in 2019).
3. <i>Common results reporting indicators</i>	A first set of definitions and guidance being used for reporting on 2017 is in <a href="#">this link</a> . Updated versions of definitions and guidance will be posted by December 2018. Results are in the Annual Report, which has links to underlying databases.
4. <i>Outcome and impact case studies</i>	Template and guidance piloted for 2017 reporting (available in <a href="#">this link</a> ), updated version being produced for 2018 reporting. Results: some included in the 2018 annual report, others being added to the dashboard.
5. <i>Program Results Dashboard</i>	Providing a System-wide Program Results Reporting tool that serves as a portal to collect, aggregate and share CGIAR results. Prototype at SC7, version 2 at SC8.
6. <i>Learning from past Evaluations</i>	Valuable lessons from past evaluations are being used in the development of the first business cycle. Agreement on a new evaluation workplan for this business cycle will ensure that lessons and recommendations emerging from evaluations can inform, at key decision times, independent verification and learning in program performance management, portfolio design and/or program implementation.
7. <i>Impact Assessments</i>	Important for the 2019-2021 business plan will be sufficient investment and strategic scheduling of impact assessments to allow for findings to provide robust evidence of the long-term impact of research investments.
<b>PRESENT: IMPROVED MANAGEMENT OF CURRENT RESEARCH PROGRAMS</b>	
8. <i>Within-cycle reviews and evaluations</i>	Within a 3-year cycle, appropriate reviews and evaluations will be planned and carried out on relevant topics and at specific junctures to support improved management of program performance.
9. <i>Program Performance Management Standards</i>	Once within each 3-year cycle, an independent assessment will be undertaken of whether current programs meet agreed minimum program performance standards for the relevant period, with investments required to be made by the programs to meet the minimum standards before entering the following 3-year cycle. The requirement to meet the standards is intended to provide assurance that program performance management is consistently good across the CGIAR portfolio and not just in selected programs.
<b>FUTURE: IMPROVED DECISION-MAKING ON FUTURE PROGRAMMING AND FUNDING</b>	
10. <i>Quality at Entry Assessment</i>	Programs will need to demonstrate that they have passed performance standards.
11. <i>Planning landscape</i>	The Planning landscape is described in this business plan and will inform decision-making for the future, including on fund allocation for the next cycle.
12. <i>Allocation criteria and tools</i>	For development by end-2021 as part of new portfolio development process

## ACTION 4: Improve people management

### Background documents:

- [Risk Management Framework of the CGIAR System - November 2017](#)
- [2017 Evaluation on Gender in CGIAR workplace](#)
- [CGIAR 2011 Gender Strategy - Workplace and Research](#)

### 4.1. Develop a CGIAR People Management Strategy

37. CGIAR is as good as its people. Led by a working group drawn from the CGIAR Human Resources Community of Practice, a ‘CGIAR People Management Strategy’ will be developed as a critical part of the 2030 Plan, and its implementation will be mapped into each subsequent business plan cycle.
38. The development of this Strategy will be driven by analysis of CGIAR’s external and internal environments, the different operational contexts of Centers, the key success factors to deliver on CGIAR’s vision, as well as the principle of subsidiarity of decision-making in Centers.
39. Building on our efforts to strengthen our shared ethical frameworks and practices as well as gender equality and diversity in the workplace (as laid out respectively in Sub-Sections 4.2 and 4.3 below), the Strategy will consider the following broader objectives:
- Develop a diverse, high-performing and engaged workforce, with the right mix of skills and expertise to deliver on CGIAR’s vision, in a rapidly evolving operational context, and strategically deployed to maximize the impact of our work;
  - Champion excellence in science, leadership and management;
  - Foster a work environment and culture that are rewarding for our people, conducive to innovation and reflecting the vision and principles of CGIAR;
  - Ensure that Center Boards of Trustees are effective stewards of strategic people management topics; and
  - Achieve higher levels of efficiency through enhanced collaboration in areas of strategic importance, which may include: (i) consolidation of System-wide HR data and metrics as part of the wider performance measurement, information management and accountability mechanisms; (ii) a single-spine salary structure; (iii) a common job classification system; and (iv) shared training resources.

**TABLE 6: KEY DELIVERABLES FOR DEVELOPMENT OF A CGIAR PEOPLE MANAGEMENT STRATEGY**

Timing	Key deliverable
By early/mid-2019	<u>Agree on workplan</u> for taking forward the development of the Strategy
By end-2019	<u>Develop</u> draft Strategy and socialize with key stakeholders

Timing	Key deliverable
By mid-2020	<u>Adopt</u> Strategy and incorporate into 2030 Plan
By end-2020	<u>Map implementation</u> into subsequent three-year business plans

## 4.2. Reinforce and strengthen our shared ethical frameworks and practices

40. The CGIAR System continuously strives to operate according to the highest ethical standards. The ‘Risk Families’ included in the CGIAR System Risk Management Framework include a focus on adhering to best practice ethical standards, and ensuring a culture of continuous learning, where incidents are quickly and appropriately responded to, and effective preventative measures are regularly reinforced.
41. Planned 2019-2021 deliverables for the System include:

**TABLE 7: KEY DELIVERABLES FOR REINFORCING OUR SHARED ETHICAL FRAMEWORKS**

Timing	Key deliverables
By not later than mid-2019	<p><u>Adopt common CGIAR System policies, guidelines and tools on:</u></p> <ul style="list-style-type: none"> <li>• Safeguarding of vulnerable persons with whom we work</li> <li>• Anti-bullying and harassment</li> <li>• Whistleblowing and whistleblower protection, underpinned by a single outsourced expert-provider platform that ensures reliable protected channels for those who chose to make confidential disclosures, whether inside or beyond CGIAR</li> <li>• Staff codes of conduct – including around acceptable behavior on duty travel</li> <li>• Effective grievance processes and Ombudsman mechanisms</li> </ul>
Across 2019-2020	<p><u>Design and adopt:</u></p> <ul style="list-style-type: none"> <li>• An Ethical Conduct Framework for relevant bodies and officials, with the opportunity to introduce a cross-Center approach from mid-to-late 2019 as a subset of that broader work</li> <li>• A ‘tone at the top’ and ‘tone at the middle’ survey championed by Board of Trustees Chairs, to be implemented from 2020</li> <li>• Relevant additional policies, guidelines and procedures to respond to identified gaps</li> </ul>
During 2021	<p><u>Approve:</u></p> <ul style="list-style-type: none"> <li>• Whole-of-System ‘tone of our operations’ survey, with bi-annual consolidated reporting shared with all CGIAR stakeholders</li> </ul>

42. Annual meetings of the General Assembly of Centers will be the forum to table identified opportunities for further strengthening our systems, our communications and our actions where deficiencies exist. Periodically, our actions will be tabled and discussed with the System Council’s Assurance Oversight Committee, in line with its mandate to oversee System-wide governance, risk management and internal controls.

### 4.3. Design and implement a ‘Gender, Diversity and Inclusion Framework’

43. A key focus of the 2019-2021 business plan will be to develop and implement a CGIAR ‘Gender, Diversity and Inclusion Framework’ building on the progressive efforts in the areas of gender and diversity undertaken across CGIAR since 2010 as well as on past evaluations.

44. Built around a new vision of CGIAR to become an innovative model employer that actively supports and promotes gender equality, diversity and inclusion in its workplace, the CGIAR ‘Gender, Diversity and Inclusion Framework’ will be an overarching and high-level document that i) enshrines the System’s commitment to gender equality and diversity, ii) sets forth agreed System-wide strategic objectives and high-level targets, and iii) provides an overall accountability framework.

**TABLE 8: PROCESS FOR DEVELOPMENT OF A GENDER, DIVERSITY AND INCLUSION FRAMEWORK**

Key Stages	Process and Dates
Kick-off and scoping	<ul style="list-style-type: none"> <li>Underway: third-party consultancy guided by CGIAR’s multi-stakeholder Gender Reference Group</li> <li>High-level reflections and inputs from November 2018 SC7</li> <li>Discussion at General Assembly of Centers, 30-31 January 2019</li> </ul>
Development	<ul style="list-style-type: none"> <li>Translating recommendations and inputs from the scoping phase into a draft ‘Gender, Diversity and Inclusion Framework’</li> <li>Carrying out System-wide consultations for ensuring appropriate focus and reach</li> </ul>
Plan approval	<ul style="list-style-type: none"> <li>May 2019 SC8 final strategic reflections on the Framework</li> <li>End-June 2019 System Management Board approval</li> </ul>
Rollout	<ul style="list-style-type: none"> <li>From July 2019</li> <li>2022-2024 3-year business plan to introduce transformational elements as relevant</li> </ul>

## ACTION 5: Pursue new cross-Center alliances

<b>Companion documents:</b> <ul style="list-style-type: none"><li>• SC7-J – Special funding initiative on Center Alliances</li><li>• SC7-K – Developing an action plan on shared services</li></ul>	<b>Background documents:</b> <ul style="list-style-type: none"><li>• <a href="#">SC6 Chair’s Summary</a></li><li>• <a href="#">Press release: AfricaRice and IRRI partnership (21 March 2018)</a></li></ul>
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### 5.1. Attract additional funding in support of Center alliances

45. Currently several Centers have entered into bilateral (Center to Center) discussions to explore a range of institutional scenarios that would ‘hard-wire’ much deeper substantive collaboration. These alliance initiatives aim to increase the salience, comprehensiveness and impact of work and engagement with key stakeholders.
46. The Companion paper (SC7-J) sets out a rationale and modality for funders to support the co-financing of specific pre-alliance exploration and transition costs for these initiatives, which is also included in the draft 3-year FINPLAN.

### 5.2. Explore priority shared services opportunities between Centers

47. The establishment of transformational shared services opportunities has been explored on various occasions in the past with some lessons learned on successes and challenges.
48. Prioritized quick wins, specifically with respect to policy benchmarking, will be explored by Centers during the 2019-2021 period. A joint assessment of potential opportunities involving Center leadership and Corporate Service Executives (‘CSEs’) will be developed in 2019.

## ACTION 6: Enhance **collaboration** with delivery partners

<b>Companion documents:</b> <ul style="list-style-type: none"><li>• SC7-L – Country collaboration</li><li>• SC7-M – Deepen private sector collaboration</li></ul>	<b>Background documents:</b> <ul style="list-style-type: none"><li>• <a href="#">SC6-02 CGIAR Business Plan Concept</a> – Section 2.3 Strengthened collaboration with delivery partners: Slide #21</li><li>• <a href="#">IEA Evaluation of Partnerships in the CGIAR</a></li><li>• <a href="#">Document SMB9-10: Wrap-up of SMB Working Group on Country Collaboration</a></li><li>• <a href="#">2018/2019 CGIAR Resource Mobilization Work Plan</a></li></ul>
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### 6.1. Implement a new country collaboration strategy

49. Better collaboration at country level is a key objective for CGIAR. Through enhanced collaboration with national partners, strategic partnerships with other organizations working in those countries, and relevant coordination amongst CGIAR entities operating in the same countries increased impact can be realized
50. The Companion document (SC7-L) sets out concrete steps to implement during this business plan period, with a view to building on this incrementally in the future. Building on lessons learned from past efforts at country level, and on some key achievements evident in particular countries, a strategy has been designed to set out a clear vision for what can be achieved and the mechanics for how efforts can be optimally aligned to reach those objectives.
51. Country collaboration will also be complemented by other activities including:
  - a. Stronger coordination with multilateral development banks (See section 6.3)
  - b. Better engagement with the African Development Bank's 'Technologies for African Agricultural Transformation' program initiative
  - c. Collaboration with AGRA in 11 target countries in Africa

### 6.2. Deepen private sector collaboration

52. Taking CGIAR Centers to market will generate social and economic value from investor and industry collaborations as well as embedding CGIAR research within market value chains. Drawing on the July 2018 CGIAR workshop on Private Sector Partnerships for Impact Acceleration, the Companion document (SC7-M) sets out an action plan to drive forward this agenda, including:
  - a. Establishing a Community of Practice to raise the profile and capacity of private sector engagement in CGIAR
  - b. Building a system-wide partnership with selected multinational companies to collaborate on advanced research, development impact, and global advocacy

### 6.3. Establish new Multilateral Development Bank cooperation platforms

53. Integration of CGIAR research with Multilateral Development Bank operations will help strengthen partnerships with national governments and deliver impact through the investment power of development bank investment programs.
54. Targeted activities during the business plan period include:
  - a. Coordinate CGIAR presence at Multilateral Development Bank-convened events including high-level presence during annual and governance meetings;
  - b. Establish a Multilateral Development Bank advisory group (including World Bank, AfDB, IDB, ADB, IFAD and others);
  - c. Design and implement a database/portal, leveraging CGIAR Country Collaboration activities, to share country specific knowledge resources, tools, solutions, and relevant staff expertise for use by bank program design teams;
  - d. Facilitate streamlined procedures for CGIAR to collaborate with bank borrowers within the operational guidelines of the organizations, starting with World Bank procurement;
  - e. Strengthen the capacity of CGIAR staff on the specific needs and operations of Multilateral Development Banks to support successful partnerships.

### 6.4. Set up a CGIAR Rome-Hub

55. **Interested CGIAR Centers and the System Organization aim to build greater collaboration anchored in a more consolidated presence in a CGIAR Rome Hub.** This would support deeper collaboration between participating Centers – some of whom are exploring creating a new Alliance; and create a bigger profile within the food security community, including the many HQs based in Rome (FAO, IFAD, WFP, World Farmers Organization, IDLO, International Land Coalition, GfAR, etc.). It could include a material ‘CGIAR’ System presence that can operate both as a resource and major contributor to those conversations, and support more ambitious plans to link CGIAR into the activities of development partners to scale out our work alongside a greater convening role.
56. The **four objectives** of the Rome Hub include:
  - a. **Greater research engagement in global food security agenda and policy-setting discussions in Rome** – benefitting from Rome’s position as the global center of food security and the headquarters of FAO, including the Committee for Food Security (CFS), the International Treaty on Plant Genetic Resources, etc.

- b. **More scaling of research innovations through development and relief programs led by Rome-based institutions** – leveraging the presence of IFAD as the largest dedicated public agricultural development fund, to inform IFAD’s lending programs with partner countries on best new science and innovations, and better leveraging CGIAR’s FAO engagement (e.g. working more closely on early-warning systems on animal and plant diseases and on initiatives like FAO’s Innovation Summit). There are significant opportunities, for example to better link with WFP in terms of prevention, risk management, locally appropriate interventions (crops, varieties) and sustainability post-disaster (food production, etc.).
- c. **Improved CGIAR connectivity to key delivery and funding partners** – through greater networking between CGIAR and decision-makers from Governments, funding agencies, international organizations and civil society – benefitting from the high volume of global food security events and key policymakers and opinion-formers visiting or located (including the Ambassador community) in Rome.
- d. **Greater CGIAR Center collaboration** – a CGIAR Rome Hub could support greater alignment and connectivity between participating Centers – forging synergies between CGIAR capacities and shared services in the Hub. This would build upon the existing presence in Rome of staff from several Centers.

57. Such a ‘hub’ would aim to complete the food security nexus in Rome, as set out in Figure 5:

**FIGURE 5: CGIAR ROME HUB AS THE FOURTH LEG OF THE FOOD SECURITY NEXUS IN ROME**



58. **In concrete terms - the CGIAR Rome Hub will consist of:**
- a. **Staff Presence from participating CGIAR Centers and/or Research Programs**
  - b. **A System Organization staff presence in the Rome Hub:** comprising CGIAR’s Advisory Services Shared Secretariat alongside some existing and new System Management Office positions
  - c. **Convening and meeting space** for visiting CGIAR Center staff and events

## ACTION 7: Align and enhance assurance systems

<b>Companion documents:</b> <ul style="list-style-type: none"><li>• SC7-N – Assurance</li></ul>	<b>Background documents:</b> <ul style="list-style-type: none"><li>• <a href="#">Terms of Reference - CGIAR System Internal Audit Function</a></li><li>• <a href="#">Terms of Reference - System Council Assurance Oversight Committee</a></li><li>• <a href="#">Risk Management Framework of the CGIAR System</a></li><li>• <a href="#">Risk Management Guidelines of the CGIAR System</a></li><li>• <a href="#">SC4 - Brainstorming Risk and Risk Maturity - May 2017</a></li></ul>
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### 7.1. Increase coordination and information sharing between assurance providers

59. The Companion document (SC7-N) sets out how the 2019-2021 business plan period will be used to deliver to the System a first opportunity to see which bodies provide the System Management Board and System Council with objective reliable information on whether the System receives adequate assurance on opportunities and risks. By working towards a System-wide mapping of these bodies, the System will have reliable, evidenced based data on where overlaps in assurance and/or gaps may exist, and where collaboration can be enhanced. Increased collaboration with Funder-own assurance and evaluation teams is also envisaged, so that resources can be directed as effectively as possible.

### 7.2. Evolve our risk management maturity

60. Strengthened risk management maturity awareness and capacity are a key focus of CGIAR's Centers and the System Organization over the 2019-2021 inaugural business plan period. Building on a Center-initiated pilot risk maturity self-assessment discussed and agreed with the System Council in May 2017, the Companion document (SC7-N) sets out an action plan to take this forward.

### 7.3. Evolve capacity to increase the value of internal audit

61. Similarly, the Companion document (SC7-N) sets out an action plan to implement recommendations arising from a cross-Center external independent assessment of the quality and capacity of Center Internal Audit teams, benchmarking those teams against international best practice.

### 7.4. Harmonize cross-System internal controls frameworks for shared risks

62. The inaugural business plan period will be used by Center Boards of Trustees and the System Management Board to consider whether as a System, CGIAR has in place the necessary minimum policy environment, oversight activities, management practices and culture to provide reasonable assurance regarding the achievement of CGIAR's shared objectives relating to operations, reporting, and compliance – namely an adequate 'internal controls framework'. The Companion document (SC7-N) sets out a plan of action to take this forward.

## ACTION 8: Align high-quality independent advisory services into System-level decision-making

Companion documents:	Background documents:
<ul style="list-style-type: none"><li>• SC7-P – Compilation of summary workplan submissions and budgets (<i>ISDC, SPIA, evaluations, Shared Secretariat</i>)</li></ul>	<ul style="list-style-type: none"><li>• <a href="#">SC6-05: SIMEC Think-piece on future of CGIAR’s advisory bodies</a></li><li>• <a href="#">SC6 Chair's Summary - Decisions on advisory services</a></li><li>• <a href="#">TOR - ISDC - effective 1 January 2019</a></li><li>• <a href="#">TOR - SPIA - effective 1 January 2019</a></li><li>• <a href="#">TOR - Shared Secretariat - effective 1 January 2019</a></li></ul>

### 8.1. Implement System Council decision on advisory services

63. CGIAR’s System Council has identified the following five principles as central regarding the delivery of CGIAR’s scientific advisory, impact assessment, and externally commissioned independent evaluation services: (i) ensuring independence of the content-matter of the advice; (ii) improved efficiency; (iii) improved communication between the services and the System; (iv) improved and systematic linkages between science and development; and (v) higher ownership of the advice by the System.
64. With operational effect from 1 January 2019, the System Council has approved the vision for and mandate of its two independent external advisory bodies: the new ‘Independent Science for Development Council’ (ISDC) and the continuing ‘Standing Panel on Impact Assessment’ (SPIA), as well as a the terms of reference for a new Advisory Services Shared Secretariat to support to both bodies, and to steward the delivery of external independent evaluations and reviews commissioned by the System Council. Moving from the current arrangements to the new arrangements will necessarily require some degree of flexibility, such that the 2019-2021 implementation period is expected to involve annual consideration by the System Council on progress towards achievement of the five principles.

### 8.2. Implement System Council-agreed workplan of the Shared Secretariat

65. Building on decisions taken by the System Council at its 6<sup>th</sup> meeting in May 2018, and by electronic means October 2018, a ‘Transition Action Plan’ has been adopted to establish by not later than 1 April 2019, the new Advisory Services Shared Secretariat. Key stages of that plan include: (i) selecting an independent transition adviser through competitive means – completed; (ii) undertaking a role comparison exercise to consider the transition of relevant staff and competitive recruitment of relevant vacancies - November; (iii) selecting the Head, Shared Secretariat through a fully competitive recruitment process – December to February 2019; (iv) establishing the Shared Secretariat’s office at Bioversity International to be co-located with the System Management Office – by March 2019; and (v) finalizing the FAO hosting arrangements and handover – by June 2019.
66. Decisions taken by the System Council in November 2018 will provide overall guidance on the scope of the Shared Secretariat’s work over the 2019-2021 period as informed by the proposed workplans and budgets (Companion document SC7-P).

## ACTION 9: Strengthen collective resource mobilization and communication efforts

### Background documents:

- CGIAR Resource Mobilization & Communications Action Plan 2018-2019 ([SMB8-09A](#))
- New [CGIAR.org](#) website
- [CGIAR System Framework](#) (Article 12 on CGIAR Partnership Forum)

### 9.1. Develop and implement a System-wide marketing and communications strategy

67. The Strategy will be developed in collaboration with the CGIAR Heads of Communication Community of Practice, to support resource mobilization efforts, further raise the profile of CGIAR, its Centers and CRPs, and create an enabling environment for the implementation of the business plan. Development and implementation of the plan will be a joint responsibility of Centers and the System Organization.
68. More specifically, the communication strategy, initiatives and tactics will promote the new CGIAR narrative, food systems, the 5 global challenges and the five transformations, featuring the work of Centers and CRPs as evidence of progress towards these.
69. The communication strategy will include the following deliverables:
  - a. “Umbrella” profile-raising marketing campaign based on the new CGIAR narrative featuring the work of Centers and CRPs around the 5 global challenges and transformations;
  - b. One major CGIAR-wide publication every business cycle on the “Global state of knowledge on food systems” or other topic to be confirmed;
  - c. CGIAR participation at high-level global events over the business plan period;
  - d. Yearly media outreach plans; and
  - e. Communications around the proposed back-to-back 2020 General Assembly of Centers and inaugural CGIAR Partnership Forum.

### 9.2. Implement a System-wide resource mobilization action plan

70. Developed in collaboration with the Resource Mobilization Community of Practice and in coordination with the Heads of Communication Community of Practice, the plan will support an aspirational target of a 30% share for Window 1 and Window 2 funding by 2030 and progress towards this in the business plan period.

71. Guiding principles for 2019-2021 funding and finance include:
- a. Stability – increasing number of multi-year pledges and indications for W1 & W2;
  - b. Predictability – confirming consistent W1 & W2 allocations over business plan period; and
  - c. Volume – meeting CRP budgets and building to stretch targets; and securing incremental increases for special initiatives.
72. Target areas of growth over the business plan period will follow those set out in the 2018/19 Resource Mobilization & Communications Action Plan:
- a. **Existing System Council Funders:** greater stewardship and stories sharing the impacts of CGIAR investments. Providing strategic support for the development of funders' investment plans
  - b. **Partners of System Council Funders:** implement strategies to bring new funders to CGIAR through introductions from and co-investments with System Council Funders.
  - c. **Lapsed Funders:** bring past Funders back to the System Council and shared research program.
  - d. **New Markets:** develop collaborative system-wide strategies for new markets to invest in CGIAR and join the System Council.
  - e. **New Mechanisms:** test and validate new sustainable funding mechanisms to support System programs, and for greater collective knowledge sharing and cooperation around Center-level private sector/IP funding. Additional focus will be on multi-donor funds that can also contribute to CGIAR programs, including Green Climate Fund, DeSIRA (European Commission), and EC Framework programs.

## ACTION 10: Prepare a longer-term plan

### 10.1. Develop a 2030 Plan

73. A CGIAR “2030 Plan” will be developed during the business plan period that sets out an ambitious forward vision for the CGIAR System including a new round of programming for the 2022-2030 period, framed in terms of CGIAR’s planned contribution to meeting the SDGs.
74. Key questions for the 2030 Plan could include:
- How should CGIAR’s role and focus evolve in light of accelerating contextual changes – including in advancing capacity of our partners? How should this be reflected in potential amendments to CGIAR’s narrative (as set out in section 1 of this business plan)?
  - What should be the major ‘programming themes’ in the 9-year plan?
  - Is CGIAR configured in the best way to execute these? What could be its longer-term institutional objectives to 2030?
  - How to adjust funding and organizational incentives to achieve the right balance between diversity and focus in CGIAR’s work?
  - How could the CRP modality be further improved? How to improve the portfolio development process, learning from Phase 1 and 2 experiences?
  - How could CGIAR’s funding model be improved?
  - How to address concerns over financial viability?
  - How to re-frame CGIAR’s objectives and some elements of reporting in terms of SDGs – including to tell a cumulative story of impact towards the critical 2030 SDG moment?
75. The System Management Board will lead the development of the 2030 Plan, with a CGIAR System Reference Group operating as a consultation platform and engaging the System Council in key stages in its development and for final approval.

**TABLE 9: KEY MILESTONES FOR 2030 PLAN**

Key Stages	Process and Dates
Kick-off and scoping	<ul style="list-style-type: none"> <li>Now: inclusion of section on 2030 Plan in business plan document</li> <li>CGIAR System Reference Group discussions in September and November</li> <li>Discussion in General Assembly of the Centers, end-January 2019 including on identifying the essential processes needed for deciding on the next portfolio and a calendar that provides a clear roadmap forward.</li> <li>Outline of 2030 Plan development process and initial scope agreed at SMB mid-April 2019</li> </ul>

Key Stages	Process and Dates
Development	<ul style="list-style-type: none"> <li>• What do our clients want? Consultation within and beyond CGIAR</li> <li>• Strategy efforts on 5 global challenges (Action 1 in Business Plan)</li> <li>• Possible System Reference Group retreat – summer 2019</li> <li>• Foresight and analysis from PIM and ISDC to inform contextual discussions</li> <li>• January 2020 General Assembly of the Centers, and CGIAR Partnership Forum to inform development phase</li> <li>• First draft to SMB end-April 2020 and SC May 2020</li> <li>• Near final draft to SMB September 2020</li> </ul>
Plan approval	<ul style="list-style-type: none"> <li>• November 2020 System Council</li> </ul>
Rollout	<ul style="list-style-type: none"> <li>• 2021: integrate 2030 Plan into design and approval of 2022-2024 business plan, including potentially 3-year portfolio implementation plans on key themes</li> </ul>

## Section 3: Bringing it together

### I. A responsibility and monitoring framework for business plan implementation

ACTIONS *	RESPONSIBILITY	STATUS (Baseline 2018**)
1. Implement and enhance the portfolio of CRPs and Platforms	Centers	
2. Create Financial Sustainability and Growth in CGIAR	Funders	
3. Strengthen program performance management	Centers	
4. Improve people management	Centers	
5. Pursue new cross-Center alliances	Centers and Funders	
6. Enhance collaboration with delivery partners	Centers	
7. Align and enhance assurance systems	Centers, System Organization	
8. Align high-quality independent advisory services into System-level decision-making	System Council	
9. Strengthen collective resource mobilization and communication efforts	Centers	
10. Prepare a longer-term plan	Centers and Funders	

\* To be disaggregated into sub-actions after the System Council 7<sup>th</sup> meeting

\*\* Color key:

GREEN=COMPLETED AND ACHIEVED

ORANGE=IN PROGRESS or PARTIALLY ACHIEVED,

RED=NOT YET COMMENCED or NOT ACHIEVED

## II. Anticipated alignment of workflow over the business plan period

Implementation Actions	2019	2020	2021
1. Implement and enhance the portfolio of CRPs and Platforms	Implement portfolio, including new initiatives; call for proposals for Gender Equality Research Platform	Implement portfolio, including new initiatives; Gender Equality Platform commences	Implement portfolio, including new initiatives
2. Create Financial Sustainability and Growth in CGIAR	US\$204.9m total W1/W2 target, including US\$27.4m stretch targets; development of Liquidity and Stabilization Fund	US\$211m total W1/W2 target, including US\$33.6m stretch targets; development of Liquidity and Stabilization Fund. End of funder seating reconciliation period (2016-2020).	US\$220.9m total W1/W2 target, including US\$42.9m stretch targets; development of Liquidity and Stabilization Fund to targeted end balance; Adjustments to Council seating made from July 2021.
3. Strengthen program performance management	Introduction of new performance management standards; implementation of 12-point framework	Review of performance management standards; implementation of 12-point framework	Development of next round of performance management standards; implementation of 12-point framework
4. Improve people management	Development of CGIAR People Management Strategy; Development and rollout of Gender, Diversity and Inclusion Framework; Adoption of whole-of-system policies on shared ethical frameworks	Initial implementation of CGIAR People Management Strategy and incorporation into 2030 Plan; Implementation of Gender, Diversity and Inclusion Framework; Design and adoption of System Ethical Conduct Framework	Continued embedding of CGIAR People Strategy; Implementation of Gender, Diversity and Inclusion Framework; Development of policies, guidelines and procedures responding to identified gaps.
5. Pursue new cross-Center alliances	Establishment of New Alliance Special Funding Initiative; Exploration of shared services opportunities	Operation as required of New Alliance Special Funding Initiative; Implementation of identified shared services opportunities	Operation as required of New Alliance Special Funding Initiative; Implementation of identified shared services opportunities

Implementation Actions	2019	2020	2021
6. Enhance collaboration with delivery partners	Development of collaborative proposals with identified countries; Establishment of a Private Sector Community of Practice; Establishment SMO Rome Office as part of CGIAR Rome Hub	Evolution of country collaboration engagement along maturity model; Organize an innovation fair targeting private sector partners; Develop CGIAR engagement with and connectivity to Rome partners	Evolution of collaboration engagement along maturity model; Develop CGIAR engagement with and connectivity to Rome partners
7. Align and enhance assurance systems	Coordinated assurance planning and agreement on risk-based priorities; Approval of CGIAR System Risk Register	Development of combined assurance model; Inclusion of other assurance providers into planning process; Develop System-wide internal control framework	Pilot of 'whole of System' combined assurance model; Agree process/metrics to move towards independent assurance of risk maturity
8. Align high-quality independent advisory services into System-level decision-making	Establishment of Advisory Services Shared Secretariat in Rome; aligning workstreams of ISDC, SPIA and evaluations; search and appointment of ISDC Chair; evaluations and/or reviews commissioned.	Realignment (if required) of workstreams to deliver on 5 key principles for advisory bodies; some transition of ISDC membership; ongoing alignment into business plans; evaluations and/or reviews commissioned.	Contributions into 2030 Plan, and alignment of advisory bodies into decision making during implementation of the 2030 Plan; evaluations and/or reviews commissioned.
9. Strengthen collective resource mobilization and communication efforts	Activation of the new CGIAR narrative across communication channels; Establishment of collaborative strategies for new funder markets; Increase Funder commitments to W1/W2 shared portfolio	Roll-out of System-wide communication strategy for CGIAR; Drafting of System Council constitution that is open to new Funders; Implementation of Multilateral Development Bank plan; Testing of innovative finance mechanisms	Strengthening of CGIAR brand as part of 2030 Plan; Engagement of Funders in new 2030 portfolio; Confirmation of multi-year commitments for next business plan period.
10. Prepare a longer-term plan	Kick-off, scoping and planning development process; inputs from CGIAR System Reference Group, General Assembly and other sources.	1 <sup>st</sup> CGIAR Partnership Forum; 2030 Plan development, finalization and approval (at November System Council meeting)	Initial Plan roll-out; Inclusion in design and approval of 2022-2024 business plan