



## 2019 – 2021 System Management Office Workplan and Budget

### Purpose

Building upon the consultations conducted during the development of and aligning with the CGIAR System 3-Year Business Plan (2019 – 2021) (“Business Plan”), this document presents a three-year work plan and budget relevant to both its support of the 10 Actions identified in the Business Plan, and our ongoing responsibilities as set out in the Charter of the CGIAR System Organization.

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Prepared by: CGIAR System Management Office based on whole of office consultations.

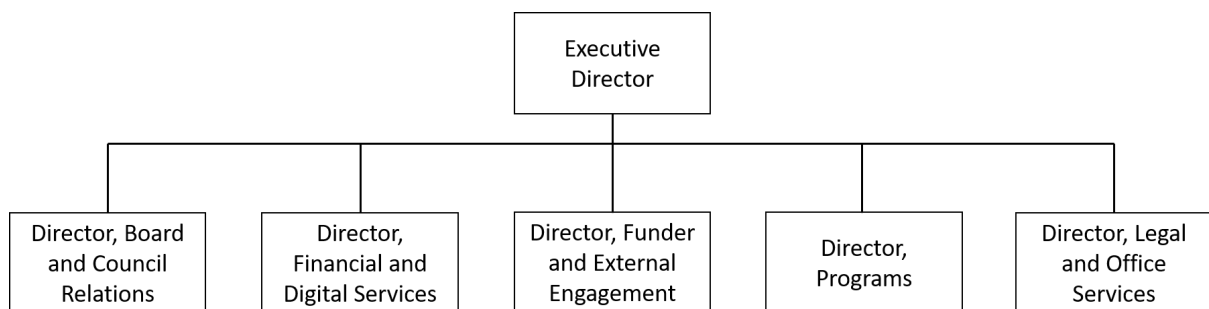
## Introduction

1. This 2019 – 2021 System Management Office (“SMO”) Workplan (“Workplan”) and Budget is intended to be read and applied in association with the CGIAR System 3-Year Business Plan (2019-2021) (“Business Plan”). This Workplan presents Key Performance Indicators (“KPI”) which will be used to track progress against the mix of priority actions, better ‘housekeeping’, and steps which need to be taken by the SMO to support Business Plan implementation in support of the CGIAR System. Workplans for SMO have hitherto been for 1 year – this is the first 3-year workplan, which will be reviewed and if needed updated on an annual basis during the Business Plan period.

## Section 1: Introduction to the System Management Office

2. Agreed in 2016, Article 11 of the Charter of the CGIAR System Organization (“Charter”) identifies 38 specific responsibilities of the SMO, directed largely by the System Management Board (“SMB”). Many are focused on supporting overall improved alignment across the System.
3. Broadly grouped, these functions include:
  - Program support and reporting;
  - Advocacy and communications;
  - Organize/facilitate/support/draft papers and meetings for the SMB, System Council, General Assembly, Partnership Forum and related Standing Committees and ad hoc working groups;
  - Funder engagement and resource mobilization;
  - Finance/corporate services support; and
  - Coordinate development of strategic frameworks/policies/functional services.
4. As set out in SMO’s 2017 and 2018 work plans, there are seven guiding principles which the SMO follows when executing its duties. These principles continue to be relevant into the 2019 – 2021 business cycle.
  - Focus on our mandate as outlined in the Charter and only do what cannot be done elsewhere, thereby supporting Center leadership;
  - Transparently enable, facilitate, and support System initiatives;
  - Be cost-efficient to lower the proportion of System Organization financial costs over the longer run;
  - Ensure ongoing consultation with key stakeholders to prioritize and manage demand to fit our capacity and budget;
  - Structure ourselves flexibly and responsively, recognizing the importance of innovation and the realities of change;
  - As a member of the System, co-own responsibility for minimizing System transaction costs; and

- Manage talent within the SMO and ensure staffing brings a range of perspectives, gender, and nationalities.
5. The mandate and principles are key guideposts for the SMO as our work serves numerous stakeholders including:
- CGIAR Research Centers (“CRP”) and the SMB, its Standing Committees, and working groups;
  - Funders and the System Council, its Standing Committees and working groups;
  - CRP management and science leaders;
  - Communities of Practice;
  - The Trustee of the CGIAR Trust Fund;
  - The System’s advisory bodies – the new Independent Science for Development Council, the Standing Panel on Impact Assessment and the CGIAR Advisory Services Shared Secretariat, and the CGIAR System Internal Audit Function; and
  - Various others - largely indirectly and as conduit to Centers – including NARS, private sector stakeholders, government officials, multilateral, and regional bodies.
6. The structure of the office is described below, and a current list of staff position is found at [Annex 4](#).















## Section 2: SMO’s 2018 Performance (status as of 30 November 2018)

7. In 2018 SMO contributed to many System-wide successes. The November System Council was a high point of achievement on many fronts, notably: a major whole of System effort to produce a strong business plan, a 2017 Performance Report described by key Council members as a step-change in system reporting, a beta performance dashboard that met many Funder’s long-awaited requests for more information, strong support for a 3-year FINPLAN with various improvements in our funding model, a commitment to elevate gender equality in research into a broader ‘CGIAR Platform’, a breeding initiative that met with general support, and encouraging indications from Funders on the forward level of financial support for the Business Plan period.

8. Other notable contributions from SMO so far in 2018 include: the System’s timely and transparent reporting of financial irregularities reported in 2018 (described by one major Funder as “night and day” compared to the handling of a previous major event some years ago), a new CGIAR website, a multi-layered fundraising, and communications efforts yielding a likely increase in W1/2 funding for the first time in several years.

**Table 1: Self-Assessment of Progress against 2018 SMO KPIs**

2018 SMO Key Performance Indicators	
<b>Ongoing work</b>	
	1. Coordinate major system-wide fundraising and communications and branding efforts
	2. Support effective system-wide financial management systems and processes; provide effective CGIAR System Organization financial management
	3. Support continuing evolution of research portfolio to optimize performance
	4. Manage System Council, System Management Board, committees and General Assembly business
	5. Manage all legal, intellectual assets, HR, site administration and protocol matters involving or affecting the Organization
<b>Special tasks</b>	
	6. Design a multi-year CGIAR business cycle plan
	7. Revamp the CGIAR website as a strategic information tool
	8. Implement the Portfolio Allocation Strategy
	9. Pilot a ‘CGIAR Performance Report’ – integrating finance, performance and intellectual assets data
	10. Deliver interoperable Results dashboards and information tools
	11. Facilitate strategic portfolio amendments (e.g. special breeding initiative)
	12. <del>Host a System Council ++ event in November to launch new business cycle with potential funder event</del> Revised during the year <sup>1</sup> .

See [Annex 1](#) for a more detailed self-review of progress against 2018 sub-KPIs and [Annex 2](#) for 2017 SMO Key Performance Indicators.

<sup>1</sup> No System Council ++ event was planned for the November ‘launch’ of the Business Plan; however, the approval of the Business Plan took place at SC7, with number of side events taking place during the week to enable engagement with Funders and SC members on elements of the Business Plan. The attendance of a global leader- in the form of Mr. Bill Gates- was secured for the SC7 meeting

## Section 3: The 2019 – 2021 Workplan

**Proposed 2019-2021 activities**

9. SMO's 2019-2021 KPIs match the high ambition in which 2018 ended. The Business Plan outlines significant areas of work that fall within the scope of SMO's expected contributions, for example supporting: the 2030 Plan (including new portfolio), establishment of the CGIAR Rome Hub, deployment and further enhancement of the new performance dashboard and program performance management standards, ongoing resource mobilization, policy development, and partnership development.
10. The following SMO KPI summary describes various 'steady state' managerial functions (e.g. financial reporting) and specific activities aligned directly with the Business Plan (e.g. supporting development of a Gender and Diversity Framework). Annex 3 contains a full description of the KPIs along with measurement of success indicators.

**Table 2: Summary 2019-2021 SMO KPIs**

Table 2a: KPIs aligned with the Business Plan

<b>KPIs aligned with the Business Plan</b>	<b>Business Plan Action Number</b>
Successful implementation of the CGIAR portfolio over the business plan period	Action 1.1
Creation/elevation of Gender Equality Platform	Action 1.2
Foundation established for CGIAR Digital Extension Services	Action 1.3
Deepen the portfolio through new thematic strategies and initiatives	Action 1.3
Increased volume of pooled W1/W2 funding from new or lapsed funders (bilateral, multilateral, foundation and private sector)	Action 2.1
Financial Guidelines on Indirect Costs and Financial Indicators Approved by SMB	Action 2.2
Office support and services are delivered efficiently	Action 2.3
Reconciliation of System Council seat extended to end of 2020	Action 2.4
The agreement by CGIAR's Funders on how the allocation of System Council 'Funder' voting member seats is effectively coordinated	Action 2.4
CGIAR program results performance enabled	Action 3
Successful implementation of a 12-Point Program Performance Management Framework	Action 3.1
Successful implementation of Program Performance Standards	Action 3.2
Development of a CGIAR People Management Strategy	Action 4.1
Common policies that deliver a stronger ethical framework for the CGIAR System are adopted based on broad support by the governing entities of the System	Action 4.2
Common CGIAR safeguarding policies, guidelines, and tools are adopted System-wide	Action 4.2
Development of a CGIAR Gender Equality, Diversity, and Inclusion Framework	Action 4.3
Design, development, and release of a System-wide Financial Reporting Dashboard	Action 5.2
System-wide collaboration capabilities are improved through improvement of tools	Action 6
Deepened collaboration with private sector	Action 6.2
Creation of new multilateral development bank (MDB) cooperation platform(s)	Action 6.3
System Management Office presence as part of a Rome office is established	Action 6.4
HR support provided to the establishment of the Rome office and CGIAR Advisory Services Shared Secretariat	Action 6.4
CGIAR and SMO Information Security aligned with international standards and practices	Action 7.2

<b>KPIs aligned with the Business Plan</b>	<b>Business Plan Action Number</b>
Opportunity and risk management is embedded into System and System Organization operations	Action 7.2
Provide effective secretariat support to the Center Audit Committee Chairs be to effective stewards of activities to enhance cross-System internal controls	Action 7.4
High-quality independent advisory services effectively aligned into System decision making	Action 8
Fully implemented 2018-2019 System-wide resource mobilization action plan	Action 9.2
CGIAR's Partnership Forum contributes meaningful input into the delivery of an agreed '2030 Plan'	Action 10.1
Development and approval of 2030 Plan focused on programming, funding, and impact	Action 10.1
Facilitate the development of a new portfolio as a contribution to the 2030 plan	Action 10.1
<i>Cross-cutting KPIs</i>	
CGIAR's governing bodies and convening bodies have been effectively supported to strengthen and make more visible CGIAR's gender equality in its research and its workplaces	Actions 1.2, 4.3
Proactively implemented combined assurance model for System risks/opportunities	Actions 7.1, 7.3
Successful design and implementation of a 'Gender, Diversity, and Inclusion Framework' and gender equality CGIAR Research Platform	Actions 1.2, 4.3
System-wide ethical and risk management frameworks and systems are successfully implemented	Actions 4.2, 7.2, 7.4
Increased volume of pooled W1/W2 funding from current funders (bilateral, multilateral and foundation)	Actions 2.1, 5.1
Increased collaboration on System-wide communication initiatives to support resource mobilization resulting in increased W1/W2 funding and raising CGIAR brand profile	Actions 2.1, 6.2, 9.1

Table 2b: Steady-state KPIs

<b>Steady-state KPIs</b>
1. The System Council, as one of the governing bodies of the CGIAR System, is managed effectively and transparently
2. The System Management Board, as one of the governing bodies of the CGIAR System, is managed effectively and transparently
3. The General Assembly of the Centers is effectively supported to be a forum for Centers to engage on matters related to the CGIAR System and CGIAR System organization
4. Other units' capacity to deliver support to governing bodies is improved
5. On time implementation of management accepted internal audit assurance and advisory engagements
6. Robust management of external assessments and reviews (e.g.: MOPAN and BMGF)
7. System and System Organization frameworks, policies, and other related documents are fit for purpose
8. System Management Office strategy and business planning is achieved efficiently, accurately, and in a timely way
9. Successful implementation the 2019 FinPlan
10. FINPLAN updated on a regular basis with accurate information
11. Increased efficiency in end of quarter and end of year process for SMO Finances
12. Value of CGIAR Core Services Infrastructure improved
13. OCS return on investment improved for the System Organization
14. Deliver System Organization Data and BI initiatives as well as other software requirements as needed
15. Keep the lights on – System Organization IT operations
16. Ensure competition in procurement process
17. Maintenance of a functional and safe work environment
18. System Organization's actions are consistent with its headquarters' agreement

Steady-state KPIs
19. Staff are provided safety and security support
20. System Organization HR operational capacity and efficiency is strengthened
21. System Organization HR is strengthened
22. System Organization decisions and actions have a sound legal basis
23. CGIAR Research Portfolio is monitored and adjusted as needed
24. Strong and collaborative Science Community

## Opportunities and Risks

11. SMO's mandate came into being in mid-2016 and the office is still undergoing substantial changes and building from the original Consortium Office role and composition. With about 2-years of operations, this is a useful moment to reflect on progress and opportunities for improvement.
12. SMO faces a huge opportunity to help drive the continued upwards trajectory of the CGIAR System over the course of the Business Plan period by supporting the clear and ambitious work agenda that it sets out. The proposed KPIs are calibrated to meet this opportunity.
13. Matching the high level of opportunity, SMO faces many risks – some inherited, some new. Many risks faced by the CGIAR as a whole (as set out in the suite of CGIAR System risk management documents) are also borne by the SMO. In addition, SMO faces risks associated with the level of buy-in and support from Funders to 'the System' (including in the level of Windows 1 and 2), and its level of trust, support and engagement from Centers.
14. Building the SMO is still a work in progress. As a relatively new and small office, and in a global environment of heightened compliance, SMO faces substantial internal challenges associated with the adequacy of its internal capacity, policies, processes, and office systems. Key operational risks include:
  - a. A growing workload with staff already working beyond full capacity and an over reliance on long term consultant use for delivery of steady state tasks.
  - b. A relatively new workforce during a period of significant previous and ongoing planned staff turnover – including a transition in SMO's Management Team with one new Director in 2018 (Finance) and one starting 1 February 2019 (Programs); and
  - c. Uncoordinated delivery due to inconsistent internal policies and guidelines and reliance on "low-tech" solutions.
15. Table 3 below estimates the potential intensity of additional efforts required from SMO to support achievement of various business plan actions:

**Table 3: Intensity of Extra work to support Business Plan actions**

	Moderate extra work	High extra work	Intense extra work
ACTION	DESCRIPTION		Intensity of extra work
<b>ACTION 1:</b>	<b>Implement and enhance the portfolio of CRPs and Platforms</b>		
1.1.	Successfully implement the CGIAR portfolio over the business plan period		
1.2.	Elevate new Gender Equality to a new CGIAR Research Platform		
1.3.	Deepen the portfolio through new thematic strategies and initiatives		
<b>ACTION 2:</b>	<b>Create Financial Sustainability and Growth in CGIAR</b>		
2.1.	Agree ambitious targets for funding volume and quality		
2.2.	Implement the 2019-2021 FINPLAN		
2.3.	Meet minimum overhead costs		
2.3.	Extend reconciliation of System Council Funder seating to end-2020		
<b>ACTION 3:</b>	<b>Strengthen program performance management</b>		
3.1.	Implement a 12-Point Program Performance Management Framework		
3.2.	Implement Program Performance Management Standards for 2019		
<b>ACTION 4:</b>	<b>Improve people management</b>		
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'		
<b>ACTION 5:</b>	<b>Pursue new cross-Center alliances</b>		
5.1.	Attract additional funding in support of Center alliances		
5.2.	Explore priority shared services opportunities between Centers		
<b>ACTION 6:</b>	<b>Enhance collaboration with delivery partners</b>		
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		
<b>ACTION 7:</b>	<b>Align and enhance assurance systems</b>		
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		
<b>ACTION 8:</b>	<b>Align high-quality independent advisory services into System-level decision-making</b>		
8.1.	Implement System Council decision on advisory services		
8.2.	Implement Council-agreed workplan of the Advisory Services Shared Secretariat		
<b>ACTION 9:</b>	<b>Collaborate on shared resource mobilization and communication</b>		
9.1.	Develop and implement a System-wide marketing and communications strategy		
9.2.	Implement a System-wide resource mobilization action plan		
<b>ACTION 10</b>	<b>Prepare a longer-term plan</b>		
10.1.	Develop a 2030 Plan		



## Five Directions for SMO strengthening over 2019-2021

16. As its operational context evolves, SMO must continually innovate and develop to be more effective, efficient and impactful. To achieve this, five lines of development will be pursued:
- a. **Strengthen SMO operational capacity** – this includes filling identified gaps in staffing (see paragraph 17 below), improving accountability and transparency, strengthening communication within the SMO and coordination with the Centers, and ensuring proper documentation including policies, processes, and tools are in place.
  - b. **Improve opportunity and risk management** – by building on the System-wide risk management framework to adopt a System Organization risk management policy and tailored risk appetite statement, and actively managing opportunities and risk across all lines of SMO's work. As for CGIAR Centers, our goal is to grow our risk management maturity, with the aspiration to work towards “Managed” over the longer term<sup>2</sup>
  - c. **Greater use of automation/technology tools** – with a focus on OCS for finance, procurement, and HR; MIS tools to demonstrate program impact; CRM tools to support collaboration; a more dynamic SMO intranet, and greater use of internal monitoring dashboards
  - d. **Build a culture of creativity, collaboration, and compliance** – an informed, trained, engaged and enabled staff to improve efficiency and impact
  - e. **Deepen collaboration** - with Centers, Funders, key delivery partners, System Advisory Services and others, including through supporting the development of the CGIAR Rome Hub

## Staff and Financial Resourcing for 2019 - 2021

17. Excluding personnel hosted for other functions<sup>3</sup>, currently, the SMO has 34 full time equivalent (FTE) positions composed of 31 current FTEs and three FTE positions under recruitment (Deputy Director, Board and Council Relations; Deputy Director, Funder and External Engagement; Senior Manager, Results and Program Performance). See a staff list at [Annex 4](#).
18. Even with the planned further efficiency improvements set out above, SMO is under-capacity to achieve the already prioritized set of actions in the Business Plan where we have responsibility to deliver. The proposed budget set out in table 5 below is intended to cover an expansion of capacity over the Business Plan period. This includes:

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<sup>2</sup> Based on the [Risk Management Guidelines of the CGIAR System](#)

<sup>3</sup> Staff for the Big Data in Agriculture Platform; French 4pour1000 initiative; CGIAR System Internal Audit Function, and CGIAR System Internal Audit Support Service. This figure also excludes Funder secondees (1 currently).

- ED support: A Manager-level position (to support coordination of cross-cutting and special projects within the SMO and externally coordinate on relevant projects with Centers)
- Funder and External Engagement: An additional mid-level staff to focus on resource mobilization
- Program Performance: A Senior Social Scientist position to add this much needed skill base to team
- Legal and Office Services: A manager-level position focusing on ethics and risk to support the better coordination and reporting of our shared risks and events to Funders in a manner that continues to build confidence that the Centers and System Organization's shared risk-management approach provides adequate assurance

19. Additional areas of identified capacity that are planned for include an SMB decision for a two-year engagement of a CGIAR Gender, Diversity, and Inclusion Business Partner<sup>4</sup>, an additional consultant or staff-sharing support (potentially buying some time from a Center-based capacity) on intellectual property and private sector engagement, and two additional support staff to provide Rome-based support for Shared Advisory Services Secretariat (to be financed, if approved, by the Advisory Services Shared Secretariat budget line as a System Council budget group expenditure and not from the SMO budget line).

20. It is planned for the following positions will initially deploy to the SMO Rome office progressively throughout 2019, noting that there may need to be flexibility on those roles over time (e.g. re-consider at start of 2020):

- Director, Board and Council Relations (to ensure effective colocation with the advisory services, and support Rome office establishment)
- Manager, Board and Council Relations (SIMEC Secretariat support in linkages to evaluations and impact assessment work)
- Deputy Director, Funder and External Engagement (Funder and Center engagement - *under recruitment as noted above*)
- Manager, Results and Program Performance (Links to impact assessment, evaluations – *under recruitment as noted above*)
- Senior Associate, Business Analysis, Finance and IT (Marlo engagement, already Rome based)
- In addition, and if approved, additional finance and administrative support personnel to Advisory Services Shared Secretariat as described above

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<sup>4</sup> Agreed during SMB11 as a role that can provide additional capacity to Centers to support the development and implementation of: a Gender, Diversity, and Inclusion Framework; a CGIAR People Strategy; and the roll-out of relevant policies around being best-in-class employers, such as on safeguarding, anti-bullying, and preventing harassment.

**Table 4: Proposed staff by location** (this table does not include hosted or seconded individuals)

Year	HQ Montpellier	Rome Office	Other
2018 (Current as of 30 November)	29	0	2
2019	33	5	1

**Table 5: 2019-2021 System Management Office proposed budget envelopes**

	2019 \$	2020 \$	2021 \$
<b>Revenue Sources</b>			
Internal tax	-	-	-
Grant Revenue	214,222	220,649	227,269
CSP	58,008	41,208	42,444
	7,686,319	7,988,727	8,321,004
	7,958,549	8,250,584	8,590,717

	2019	2020	2021
<b>Expenses</b>			
Personnel	5,616,816	6,150,051	6,406,555
Consultants	1,167,240	894,727	959,012
Professional fees	42,500	43,750	45,037
Travel	561,532	561,208	580,238
Office Expenses	689,469	698,046	691,925
Publications	14,580	14,912	15,251
Meetings & Workshops	226,412	247,890	252,699
Contingency	40,000	40,000	40,000
	8,358,549	8,650,584	8,990,717

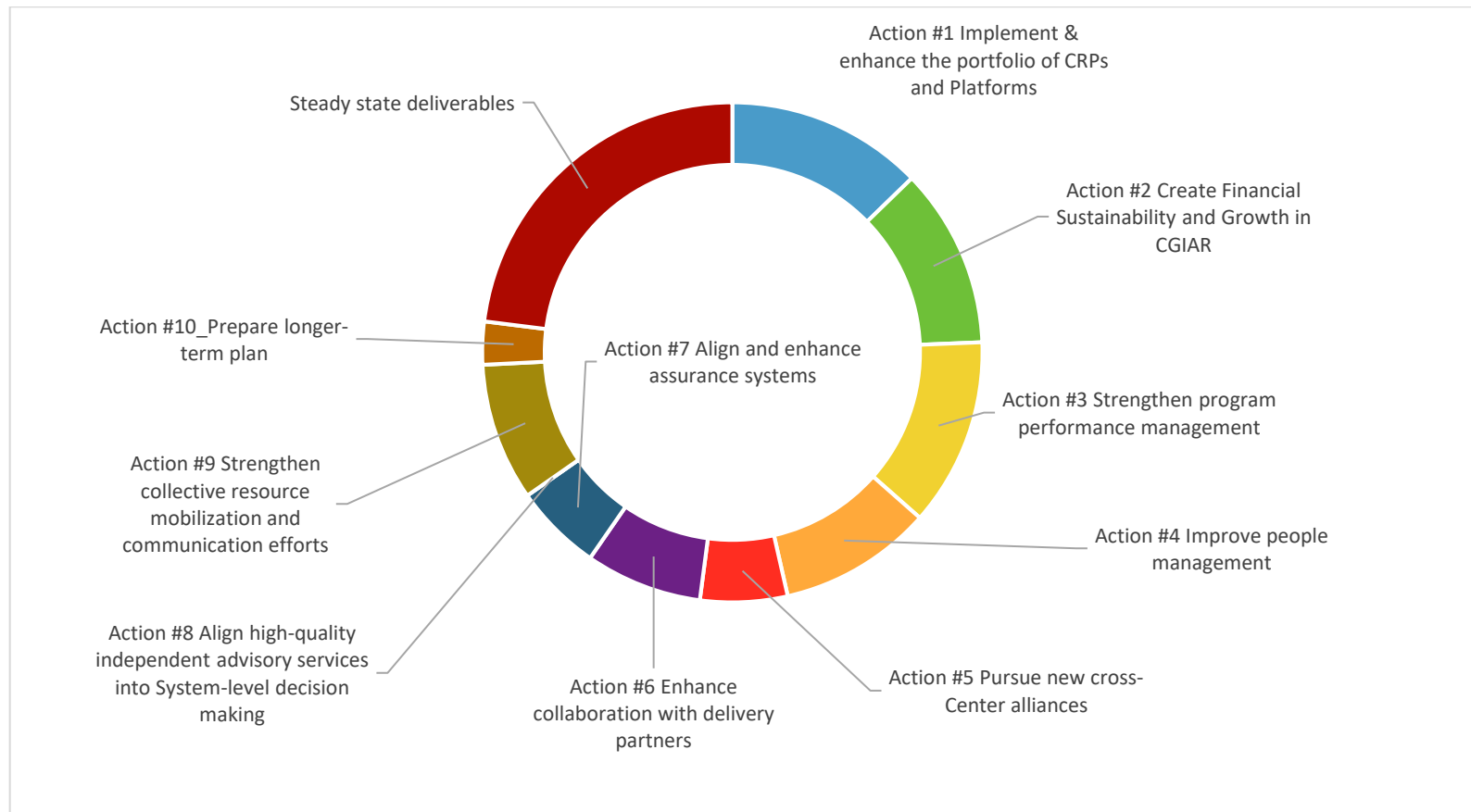
Budgeted Surplus (Deficit)	(400,000)	(400,000)	(400,000)
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**Annual Changes in Budgets**





% change in budgeted CSP use	-1.8%	3.9%	6.3%
% Increase in budgeted expenses (nominal)	6.8%	3.5%	3.9%
% Increase in budgeted expenses (real)	4.8%	1.5%	1.9%






21. The 3-year budget presented addresses the need for the SMO to build critical in-house capacity as set out above. This budget shift results in a reduced reliance on external consultants to deliver on core requirements of the organization.
22. The budget mapped to the CGIAR Business Plan Actions shows an emphasis on investing in steady-state activities to ensure superior delivery (23%), closely followed by Actions 1 (13%), 2 (12%), and 3 (12%).




**Table 6: Budget mapping**



Annex 1 – 2018 Status of SMO Key Performance Indicators, Sub-indicators  
(as of 30 November 2018)
















2018 SMO Key Performance Indicators		
<b>Ongoing work</b>		
	1. Coordinate major system-wide fundraising and communications and branding efforts	<ul style="list-style-type: none"> <li>• Meet financial objectives of CGIAR FinPlan including stretch funding target (\$18M)</li> <li>• Increase proportion of funding from multi-year commitments/pledges</li> <li>• Achieve 1-to-1 meetings with 3 new major system funding prospects</li> <li>• Confirm feasibility (and launch if feasible) of 1 new innovative finance model</li> <li>• CGIAR wide presence at 3 high-level global events. With system wide coordinated branding and PR activities</li> <li>• Elevate CGIAR brand via 8 targeted media placements in coordination with CRPs/Centers</li> <li>• Tools available (PPT, Narrative, Video) to deliver shared message on CGIAR available for use by all System stakeholders</li> </ul>
	2. Support effective system-wide financial management systems and processes; provide effective CGIAR System Organization financial management	<ul style="list-style-type: none"> <li>• Disbursements to Lead Centers/Centers of major fund inflows within 30 days of receipt</li> <li>• Deliver financial reports as per established 2018 Reporting Calendar</li> <li>• <del>Achieve 4 out of 5 rating from CSE System-wide financial management effectiveness survey feedback</del></li> <li>• Approval and implementation of revised reporting guidelines</li> <li>• Timely payment of all System Organization financial commitments (no invoices paid later than 30 days after registration in OCS)</li> <li>• Ensure all funding and disbursements have a sound legal basis</li> </ul>
	3. Support continuing evolution of research portfolio to optimize performance	<ul style="list-style-type: none"> <li>• Ensure FP options for Common Beans presented to System Management Board and System Council.</li> <li>• Provide options for potential redevelopment of WANA agricultural support program to SMB/WANA partners</li> <li>• Facilitate System Management Board approval of a Policy on Gender in CGIAR Research (CRPs and Platforms)</li> <li>• Approval of additional flagships/program amendments by the System Council</li> </ul>
	4. Manage System Council, System Management Board, committees and General Assembly business	<ul style="list-style-type: none"> <li>• Approval of Rules of Procedure for the General Assembly at the 2nd meeting</li> <li>• Delivery of high-quality rolling workplans and virtual/in-person meetings for all governing bodies and Committees with strong linkages to evolving CGIAR Business Plan, and which provide a clear forward plan for office deliverables</li> <li>• Appointment of Council's Assurance Oversight Committee membership</li> <li>• Ensure a fully constituted and appropriately mandated System Council Intellectual Property Group</li> <li>• Proposal for System-wide risk identification and communication practices tabled by the Risk Management Community of Practice</li> </ul>

2018 SMO Key Performance Indicators		
		<ul style="list-style-type: none"> <li>Ensure the effective rotation/re-appointment of SMB members, through highly professional support to the Centers' SMB 2018 Nominating Committee</li> <li>Provide high quality meeting support for the Centers Board Orientation Program</li> <li>Delivery of 6 well-organized in person meetings for the Council/Board/General Assembly/Center Audit Committee Chairs with meeting materials provided in line with applicable lead times</li> </ul>
	5. Manage all legal, intellectual assets, HR, site administration and protocol matters involving or affecting the Organization	<ul style="list-style-type: none"> <li>Ensure that all actions of the Organization have a sound legal basis and that Organization has appropriate policies in place</li> <li>Ensure an appropriate risk-based CGIAR System policy environment (stock-take, review, approval and engagement modalities) and an appropriate System Organization policy environment</li> <li>Ensure effective sharing of best practices in Intellectual Assets management across the CGIAR System</li> <li>Ensure that critical skills needs are filled with appropriate recruitments, that staff are contracted appropriately, and that talent is recognized and developed</li> <li>Provide a functional and safe work environment</li> <li>Through strategic engagement with the HR Community of Practice, support the delivery of a proposed outline of a revised 2015 CGIAR Diversity and Inclusion Strategy, for formal approval in Q1 2019 after additional cross-system consultations</li> <li><del>Present revised Intellectual Asset Management Guidelines for SMB approval</del></li> </ul>
Special tasks		
	6. Design a multi-year CGIAR business cycle plan	<ul style="list-style-type: none"> <li>Presentation of an outline to the SMB</li> <li>Presentation of an outline to the SC, including a strategic paper on the expectations from Performance Based Management</li> <li>SC Approval of developed multi-year business cycle for formal launch and implementation from 2019 / Vision of CGIAR Business Model</li> <li>Alignment of workplans of other System Entities to the business cycle</li> </ul>
	7. Revamp the CGIAR website as a strategic information tool	<ul style="list-style-type: none"> <li>Launch Phase 1: Revised navigation and information architecture; remodeled user interface, new layout and theme, improved search engine function, improved user experience for those with low bandwidth</li> <li>Launch Phase 2: Improved taxonomy, improved aggregation features Performance Review 1: navigation, retention, bounce, search optimization</li> <li>Complete Phase 3: Library integration of website, improved functionality of search engine function, etc.</li> </ul>
	8. Implement the Portfolio Allocation Strategy	<ul style="list-style-type: none"> <li><del>Present a portfolio allocation tool</del></li> <li>Delivery of multi-year System entity budgets from 2019 onwards</li> <li>2019 FinPlan approved (by no later than end of January 2019) which includes the outcome of the allocation decision tool</li> </ul>
	9. Pilot a 'CGIAR Performance Report' – integrating	<ul style="list-style-type: none"> <li>Present a proposed template for this report for consideration at the Council's 6th meeting in May 2018</li> <li>Deliver the first comprehensive 'CGIAR Performance Report'</li> </ul>

2018 SMO Key Performance Indicators		
	finance, performance and intellectual assets data	
	10. Deliver interoperable Results dashboards and information tools	<ul style="list-style-type: none"> <li>Completed agreement on harmonized indicators and definitions</li> <li>Provide aggregated content on the Portfolio for the CGIAR Performance Report in line with guidance on the CGIAR Performance Report</li> <li>Q2 dashboard presented to SIMEC</li> </ul>
	11. Facilitate strategic portfolio amendments (e.g. special breeding initiative)	<ul style="list-style-type: none"> <li>Action taken on System Council decision on proposed portfolio amendments (as relevant based on ISPC advice)</li> <li>Through a year-end Funder survey obtain feedback on satisfaction and on the progress of the breeding initiative against a set of 5 indicators yet to be established</li> </ul>
	12. Host a System Council ++ event in November to launch new business cycle with potential funder event	<ul style="list-style-type: none"> <li>Secure attendance of 3 Global Leaders</li> <li>High media profile (coverage by pre-defined specific media – paper and online)</li> <li>Support received for the new CGIAR Business Cycle (Survey 80%)</li> </ul> <p>Revised during the year<sup>5</sup>.</p>

<sup>5</sup> No System Council ++ event was planned for the November ‘launch’ of the Business Plan; however, the approval of the Business Plan has still been scheduled to coincide with SC7 in November 2018 in Seattle, with number of side events taking place during the week to enable engagement with Funders and SC members on elements of the Business Plan. The attendance of a global leader- in the form of Mr. Bill Gates- was secured for the SC7 meeting.

## Annex 2 – 2017 SMO Key Performance Indicators

2017 SMO Key Performance Indicators	
<b>Ongoing work</b>	
	1. Supporting effective system-wide financial management systems/processes
	2. Fundraising and supporting funder engagement/improved funder intelligence
	3. Supporting CGIAR System-level comms and branding
	4. CRP and Platform support (incl evaluations and country collaboration)
	5. <del>Oversight and coordination of System policies and reporting (dropped mid-year to avoid duplication)</del>
	6. Supporting IT platforms and System-wide collaboration
	7. Supporting linkages between global initiatives/groups and Centers
	8. System Management Office internal ops and communications
	9. Managing SMB, committee, working group and General Assembly business
	10. Managing System Council and committee business
<b>Special tasks</b>	
	11. Fixing the funding model/adopting flexible funding modalities
	12. Exploring opportunities to enhance institutional efficiencies and effectiveness
	13. Putting in place an internal performance management framework
	14. Completing the CGIAR Portfolio (GLDC) – facilitating appropriate processes for relevant additional elements to be supported by the System Council
	15. Establishing a Risk Management Framework of the CGIAR System, and (post SMB8) arrangements for an Internal Audit Function that provides sufficient system-wide assurance



## Annex 3 - 2019 – 2021 SMO Business Unit KPIs and Narrative

## Executive Director/Special Projects Support

The SMO has identified a gap in staffing relating to internal coordination and coordination externally among Centers on strategy, continuing to work in a more aligned manner, and other cross-cutting issues. As discussed below in the Resourcing for 2019 – 2021 section, it is proposed that a new position be added to the SMO, reporting to the Executive Director, with a focus on monitoring, coordination, and project management of special projects and cross-cutting initiatives. Filling this gap will be key to the success of many of the Business Plan Actions as well as supporting the strengthening of transparency, accountability, and improved communications with both internal and external stakeholders.

## Key Performance Indicators

KPI title	Measurement of success
2019 – 2021 Business Plan KPIs	
ED 1: Development and approval of 2030 Plan focused on programming, funding, and impact (2019 – 2021) (Action 10.1)	<ul style="list-style-type: none"> <li>• Consultation with and inputs gathered from key stakeholders including CGIAR System Reference Group and General Assembly</li> <li>• Key stakeholder approval on major elements of plan</li> <li>• Approval of 2030 Plan during the November 2020 System Council meeting</li> </ul>
ED 2: Successful design and implementation of a 'Gender, Diversity, and Inclusion Framework' and gender equality CGIAR Research Platform (2019 – 2021) (Actions 1.2, 4.3)	<ul style="list-style-type: none"> <li>• Overall project management is completed on time and within set budgetary parameters</li> <li>• Timelines are set and maintained</li> <li>• Accurate information is documented and communicated to the appropriate stakeholders</li> </ul>
ED 3: System-wide ethical and risk management frameworks and systems are successfully implemented (2019 – 2021) (Actions 4.2, 7.2, 7.4)	<ul style="list-style-type: none"> <li>• Overall project management is completed on time and within set budgetary parameters</li> <li>• Timelines are set and maintained</li> <li>• Accurate information is documented and communicated to the appropriate stakeholders</li> </ul>
Steady-state KPIs	
ED 4: On time implementation of management accepted internal audit assurance and advisory engagements	<ul style="list-style-type: none"> <li>• Periodic monitoring of implementation and timely closure of accepted internal audit recommendations</li> <li>• Additional resources are provided as needed to ensure implementation of accepted internal audit recommendations</li> <li>• Internal audit recommendations that are overdue from 2012 – 2016 assurance engagements are adequately addressed and closed by end 2019</li> </ul>
ED 5: Robust management of external assessments and reviews (e.g.: MOPAN and BMGF)	<ul style="list-style-type: none"> <li>• Proper project management tools used to coordinate and collaborate on external assessments and reviews</li> <li>• Responsive information is provided to assessors and reviewers in a timely manner</li> </ul>

KPI title	Measurement of success
	<ul style="list-style-type: none"> <li>Evaluation conclusions present an accurate understanding of the System/System Organization</li> </ul>
ED 6: System and System Organization frameworks, policies, and other related documents are fit for purpose	<ul style="list-style-type: none"> <li>Identification of gaps in System/System Organization accountability structures</li> <li>Appropriate documentation is created, amended, or archived as appropriate</li> <li>Consultation and approval process is managed efficiently and effectively</li> </ul>
ED 7: System Management Office strategy and business planning is achieved efficiently, accurately, and in a timely way	<ul style="list-style-type: none"> <li>Coordination with key stakeholders on strategy and planning is conducted efficiently</li> <li>Internal and external communication on strategy and planning is conducted effectively</li> </ul>

## Board and Council Relations

The workplan of the Board and Council Relations Unit for 2019-2021 has an overarching focus on ongoing governance process enhancement as the System's convening and governing mechanisms further mature. The Unit works to incorporate best practice into internal and cross-System engagement and decision making, and to ensure that the meetings and events that underpin those mechanisms are delivered in a professional manner with an overall focus on value for money.

The Unit's workplan over the 2019-2021 period accordingly involves the delivery of both:

- a. 'Steady state' activities - providing a platform through which key System-wide consultations, deliberations and decisions required to drive forward the ten actions in the business plan 2019-2021 can take place. This workplan period will also see the Unit deliver program and event management support for the inaugural CGIAR Partnership Forum, which will represent a key moment in the development of the '2030 Plan' and an important convening occasion for the CGIAR System.
- b. Stewardship of specific activities to support deliver of key Business Plan actions: Action 5, via ongoing evolution of the Centers Board Orientation Program to include an increased focus on System-wide topics and thus strengthening overall aligned actions; Action 7 via supporting the Convener of the Center Audit Committee Chairs to continue the highly-valued annual in-person meeting of Center Audit Committee Chairs, and thus further embedding of CGIAR's Risk Management Framework across the System; and Action 8 via ongoing support to the System Council's Strategic Impact, Monitoring and Evaluation Committee (SIMEC), and its focus on ensuring increased alignment of the System Council's advisory services with the Business Plan.

## Key Performance Indicators

KPI title	Measurement of success
Steady-state KPIs	
<p>BCR 1: The System Council, as one of the governing bodies of the CGIAR System, is managed effectively and transparently (2019 – 2021)</p>	<ul style="list-style-type: none"> <li>• System Council membership is kept up-to-date on the System Council webpage and in email groups, with new members receiving full induction</li> <li>• System Council developing country constituency rotations are managed according to rules and timelines agreed by the regional constituencies and are well documented</li> <li>• System Council committee (SIMEC and AOC) membership transitions and inductions follow established rules of procedure and processes</li> <li>• System Council committees are operating according to a strategic multi-year planning landscape that is aligned to the timing of System Council key decisions</li> <li>• System Council and its Committee meeting arrangements are efficient, cost-effective, and facilitate good attendance and participation</li> <li>• Decisions can be taken by the System Council in an informed and timely manner based on the quality of materials presented</li> </ul>
<p>BCR 2: The System Management Board, as one of the governing bodies of the CGIAR System, is managed effectively and transparently (2019 – 2021)</p>	<ul style="list-style-type: none"> <li>• System Management Board vacancies are filled by qualified candidates according to agreed timelines by the annually appointed Centers' Nomination Committee</li> <li>• The SMB's Audit and Risk Committee (ARC) membership rotations follow established rules of procedure and induction processes</li> <li>• System Management Board and its Committee meeting arrangements are efficient, cost-effective, and facilitate good attendance and participation</li> <li>• Decisions can be taken by the System Management Board in an informed and timely manner based on the quality of materials presented</li> </ul>
<p>BCR 3: The General Assembly of the Centers is effectively supported to be a forum for Centers to engage on matters related to the CGIAR System and CGIAR System organization (2019 – 2021)</p>	<ul style="list-style-type: none"> <li>• General Assembly Co-Chairs effectively supported during each year to manage the annual General Assembly meeting with high-quality materials and meeting arrangements supporting discussions and decision-making</li> <li>• General Assembly Co-Chairs are supported during each year to manage the documentation and follow-up of agreed actions</li> <li>• The Chair of the General Assembly-appointed annual Nominations Committee is supported in following an agreed process and timeline towards filling identified vacancies in a timely manner</li> <li>• Board Orientation Program participants are satisfied that they are better equipped to discharge their roles as members of Center governing bodies in the context of the CGIAR System operating as an extended enterprise</li> <li>• By end 2021, capacity to support agenda development and delivery of the Board Orientation Program is built, such that it</li> </ul>

2019 – 2021 System Management Office Workplan and Budget

KPI title	Measurement of success
	<p>moves to a Center Board Secretary, to rotate once every two years</p>
<p>BCR 4: Other units' capacity to deliver support to governing bodies is improved (2019 – 2020)</p>	<ul style="list-style-type: none"> <li>• High-quality materials for governing bodies are delivered in a timely and consistent manner by all units according to agreed standards</li> <li>• Those undertaking secretariat roles for governing/convening bodies steward them in an effective way to achieve their objectives and communicate information in a structured and timely manner</li> </ul>
<p>2019 – 2021 Business Plan KPIs</p>	
<p>BCR 5: The agreement by CGIAR's Funders on how the allocation of System Council 'Funder' voting member seats is effectively coordinated (2019 – 2021) (Action 2.4)</p>	<ul style="list-style-type: none"> <li>• The process of establishing Funder member seats based on calculations of contributions through to end 2020 is undertaken in advance of crucial decision-making in the final year of the business cycle (2021)</li> </ul>
<p>BCR 6: Common policies that deliver a stronger ethical framework for the CGIAR System are adopted based on broad support by the governing entities of the System (Action 4.2)</p>	<ul style="list-style-type: none"> <li>• By mid-2019, the process for development of common system policies on safeguarding, whistle-blowing etc., have been effectively steward through Center, SMB and SC governing processes, resulting in System wide approval</li> </ul>
<p>BCR 7: System Management Office presence as part of a Rome Office is established (2019 – 2021) (Action 6.4)</p>	<ul style="list-style-type: none"> <li>• Effective 'project management' of the transfer of a small number of System Organization staff to Rome</li> <li>• By end-2019, liaising with key Center leadership, appropriate premises are identified for pursuing a Rome office with System Organization in a visible role</li> <li>• Within 3 years, a process has been stewarded towards establishment of direct arrangements with the Italian Government</li> </ul>
<p>BCR 8: Proactively implemented combined assurance model for System risks/opportunities (2019 – 2021) (Actions 7.1, 7.3)</p>	<ul style="list-style-type: none"> <li>• Quality of secretariat support to SIMEC and the AOC facilitates their stewardship of the System towards a combined assurance model</li> <li>• An action plan is developed by SMB, with inputs from Center Board of Trustees and the SC's AOC, in response to a consolidated external independent quality assurance report of Center-own internal audit teams on their conformance with international auditing standards.</li> </ul>
<p>BCR 9: Opportunity and risk management is embedded into System and System Organization operations (2019) (Action 7.2)</p>	<ul style="list-style-type: none"> <li>• By mid-2019, the System Organization has an established risk management policy, risk appetite statement, and the tools and guidance for its operations to be managed through a best-practice 'Opportunity and Risk Register'</li> </ul>
<p>BCR 10: Provide effective secretariat support to the Center Audit Committee Chairs be to effective</p>	<ul style="list-style-type: none"> <li>• Convener of the Center Audit Committee Chairs is supported in developing an effective agenda and resources to support the annual meeting of the Audit Committee Chairs</li> </ul>

KPI title	Measurement of success
stewards of activities to enhance cross-System internal controls (2019 – 2021) (Action 7.4)	<ul style="list-style-type: none"> <li>The Annual Audit Committee Chairs' meeting arrangements are efficient, cost-effective, and facilitate good attendance and participation</li> </ul>
BCR 11: High-quality independent advisory services effectively aligned into System decision making (2019 – 2021) (Action 8)	<ul style="list-style-type: none"> <li>Shared Secretariat established by 1 April 2019 with appropriate hosting arrangements</li> <li>2020-2021 Advisory Services Work Plans are fully integrated into System planning</li> </ul>

## Financial and Digital Services

2019-2021 will be a period of change management for the Financial and Digital Services unit. An overall theme of shifting away from isolated manual information-based systems – towards greater automation and integration to better enable frequent and meaningful information reporting that is accessible to all stakeholders via online dashboards – will drive focus in 2019. The strategy is to democratize access to information so that less staff time is spent on manually producing information and more on using it to further the goals of CGIAR. Additional focus will be on delivering efficiency and operational excellence, a highly secure infrastructure, and state of the art data and business intelligence capability to support decision making and collaboration.

### Key Performance Indicators

KPI title	Measurement of success
2019 – 2021 Business Plan KPIs	
FDS 1: Foundation established for CGIAR Digital Extension Services (2019 – 2021) (Action 1.3)	<ul style="list-style-type: none"> <li>Clear definition of scope / timeline / key deliverables</li> <li>ICT resources (including 3rd party vendors) in place to support Digital Extension Services</li> <li>Agile development framework in place / Resources trained</li> <li>Backbone IT infrastructure in place to deliver Digital Extension Services</li> </ul>
FDS 2: Financial Guidelines on Indirect Costs and Financial Indicators Approved by SMB (2019) (Action 2.2)	<ul style="list-style-type: none"> <li>Financial Indicators and Financial Guidelines on Indirect Costs approved by SMB after endorsement by Center DG's/Audit Chairs/Board Chairs no later than 30 September 2019</li> <li>Financial Health Indicators reported on Quarterly/Annually in online Financial Dashboard starting in Q4 2019</li> <li>Approved Financial guidelines on Indirect Costs posted on website for Funders to access and for SMO to use in leveraging greater funding support for System</li> </ul>
FDS 3: Reconciliation of System Council seat extended to end of 2020 (2021) (Action 2.4)	<ul style="list-style-type: none"> <li>Final report on Funders eligible for System Council seat submitted 31 January 2021</li> </ul>
FDS 4: CGIAR program results performance enabled (2019) (Action 3)	<ul style="list-style-type: none"> <li>Program Results Reporting System architecture fully implemented</li> <li>Full reporting scope covered (all CRPs and PTFs, all agreed reporting indicators)</li> </ul>

2019 – 2021 System Management Office Workplan and Budget

KPI title	Measurement of success
	<ul style="list-style-type: none"> <li>• Reporting process implemented (including Quality assurance), program performance data rolls up from all the CGIAR research programs</li> <li>• Program results dashboard available on <a href="http://cgiar.org">cgiar.org</a></li> </ul>
FDS 5: Design, development, and release of a System-wide Financial Reporting Dashboard (2019) (Action 5.2)	<ul style="list-style-type: none"> <li>• Creation of an “enabling environment” that supports the creation and implementation of automated financial data collection tools for System-wide Financial reporting.</li> <li>• System-wide financial Information automatically aggregated on a quarterly basis into Data Warehouse by end of 2019</li> <li>• CRP and Center specific sub-dashboards on System level performance developed and placed online for open access</li> <li>• Fit-for-purpose Annual CGIAR Financial Report released by 2020</li> </ul>
FDS 6: System-wide collaboration capabilities are improved through improvement of tools (2019 – 2020) (Action 6)	<ul style="list-style-type: none"> <li>• CGIAR ICT infrastructure (including the Identity Management System and Office 365 collaboration platforms such as SharePoint, OneDrive, Skype for Business and Microsoft Teams) allows staff to work together effectively and supports collaboration requirements, both between centers and with key delivery partners</li> <li>• Training is provided as required on key collaboration tools</li> </ul>
FDS 7: CGIAR and SMO Information Security aligned with international standards and practices (2019 – 2021) (Action 7.2)	<ul style="list-style-type: none"> <li>• A System-level information security policy, including Cyber security protection, governance and awareness, is created and approved</li> <li>• The needed ICT risk management, disaster recovery, business continuity and information security plans, organizational structure, and processes are implemented to protect CGIAR key information assets</li> <li>• Risks related to the current ICT infrastructure (both SMO and CGIAR core services) are mitigated</li> <li>• The System Organization is compliant with GDPR EU regulation</li> <li>• Agreed monitoring and performance management processes and tools are implemented</li> </ul>
<b>Steady-state KPIs</b>	
FDS 8: Successful implementation the 2019 FinPlan (2019)	<ul style="list-style-type: none"> <li>• Creation of a functioning CGIAR Trust Fund Dashboard as a repository of historical and projected funding information</li> <li>• W1/W2 funding received and allocated efficiently to CRPs and Platform according to approved FinPlan</li> <li>• Window 1 funds disbursed on quarterly basis</li> <li>• By the end of each Quarter in 2019, reduced (from 2018 levels) pre-financing required by Centers for W1/W2 expenses.</li> </ul>
FDS 9: FINPLAN updated on a regular basis with accurate information (2019 – 2021)	<ul style="list-style-type: none"> <li>• FINPLAN updated and endorsed by SMB annually in September for final presentation to System Council for approval in November</li> </ul>
FDS 10: Increased efficiency in end of quarter and end of year process for SMO Finances	<ul style="list-style-type: none"> <li>• End of quarter report and Financial Statements tables produced no later than 15 days from the end of the quarter and 30 days from end of year</li> </ul>

KPI title	Measurement of success
FDS 11: Value of CGIAR Core Services Infrastructure improved (2019)	<ul style="list-style-type: none"> <li>• A strong IT governance model is in place</li> <li>• CGIAR partners with appropriate 3rd party vendors</li> <li>• Core services are provided at the right cost with a high degree of quality and efficiency</li> </ul>
FDS 12: OCS return on investment improved for the System Organization (2019)	<ul style="list-style-type: none"> <li>• OCS structure is fit for purpose and effectively supports key finance and HR processes</li> <li>• Elimination of at least 4 manual processes and forms by incorporation into OCS</li> <li>• OCS is used as a strategic tool to drive decision making</li> </ul>
FDS 13: Deliver System Organization Data and BI initiatives as well as other software requirements as needed (2019 – 2021)	<ul style="list-style-type: none"> <li>• System Organization requirements, particularly related to data analytics, are supported with the right tools at the right cost through an agile delivery model</li> </ul>
FDS 14: Keep the lights on – System Organization IT operations	<ul style="list-style-type: none"> <li>• Efficiency and operational excellence is enabled by the right resources, processes, and tools</li> <li>• All System Organization ICT infrastructure components and business applications run reliably and perform well, in alignment with agreed SLAs</li> <li>• OCS is stabilized and can be fully leveraged for the System Organization</li> <li>• Responsive support services are provided to System Organization staff following international IT standards</li> <li>• IT performance is monitored, and a continuous improvement process is in place</li> </ul>
FDS 15: Ensure competition in procurement process	<ul style="list-style-type: none"> <li>• Limited number of procurement waivers used</li> <li>• Training of staff on procurement processes</li> <li>• Semi-annual procurement planning meetings with every unit to anticipate the needs</li> </ul>

## Funder and External Engagement

The Funder and External Engagement unit's main deliverables in support of the Business Plan aim to further develop and strengthen collaboration within the CGIAR System around shared resource mobilization and communication initiatives. The unit will develop and implement (1) a System-wide resource mobilization action plan and (2) a System-wide marketing and communications strategy.

The System-wide resource mobilization action plan will be developed in collaboration with the Resource Mobilization Community of Practice and in coordination with the Heads of Communication Community of Practice to support an aspirational target of a 30% share for W1/W2 funding of the overall System funding by 2030. The plan will aim to increase total System funding (W1/W2/W3 and bilateral), grow the share of W1/W2 funding, and increase predictability of System funding through multi-year agreements or indicative pledges. Target areas of growth over the business plan period will follow those set out in the 2018/19 Resource Mobilization and Communications Action Plan focusing on existing

System Council Funders, partners of System Council Funders, lapsed funders, new markets, and new mechanisms including multi-donor funds.

The communications 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 programs, and create an enabling environment for the implementation of the Business Plan. The strategy will promote the new CGIAR narrative, food systems, the five global challenges and the five transformations, featuring the work of Centers and programs and platforms as evidence of progress towards these goals. It will include a profile-raising marketing campaign, one major CGIAR-wide publication every planned three-year business cycle, CGIAR participation at high-level global events, media outreach plans, and communications around the proposed 2020 General Assembly of Centers and inaugural CGIAR Partnership Forum.

#### Key Performance Indicators

KPI title	Measurement of success
2019 – 2021 Business Plan and Steady State KPIs	
FEE 1: Increased volume of pooled W1/W2 funding from current funders (bilateral, multilateral and foundation) (2019 – 2021) (Actions 2.1, 5.1)	<ul style="list-style-type: none"> <li>• Increase for W1/W2 inflation, i.e. USD 4.4 million in 2019, USD 3.3 million in 2020, and USD 5.5 million in 2021</li> <li>• Increased W2 funding for additional research initiatives (extra CRP/PTF funding), i.e. USD 5.0 million annually over 2019 – 2021</li> <li>• Increased W1 funding for Center alliances and special initiatives, i.e. USD 3.0 million in 2019, USD 5.0 million, and USD 7.0 million in 2021</li> <li>• At least 1 new multi-year agreement from current funders over 2019 – 2021</li> </ul>
FEE 2: Increased volume of pooled W1/W2 funding from new or lapsed funders (bilateral, multilateral, foundation and private sector) (2019 – 2021) (Action 2.1)	<ul style="list-style-type: none"> <li>• Increased W1/W2 funding from new or lapsed funders, i.e. USD 15 million in 2019, USD 20.3 m in 2020, and USD 25.9 m in 2021</li> <li>• At least 1 multi-year agreement from new or lapsed funders over 2019 – 2021</li> <li>• At least 1 new financing mechanism developed over 2019-2021</li> </ul>
FEE 3: Deepened collaboration with private sector (2019 – 2021) (Action 6.2)	<ul style="list-style-type: none"> <li>• At least 1 new high-level partnership with select global private sector actors each year</li> <li>• Established and well-functioning Private Sector Community of Practice</li> </ul>
FEE 4: Creation of new multilateral development bank (MDB) cooperation platform(s) (2019 – 2021) (Action 6.3)	<ul style="list-style-type: none"> <li>• CGIAR research integrated with MDB operations from design to implementation and M&amp;E</li> <li>• Demonstrably strengthened partnerships with national governments through MDB investment portfolios</li> <li>• Greater impact of CGIAR research and presence on the ground through three MDB partnerships over the Business Plan 2019-2021</li> <li>• Overall increase in MDB investments in W1/W2</li> </ul>
FEE 5: Increased collaboration on System-	<ul style="list-style-type: none"> <li>• Communication strategy developed in collaboration with CGIAR Heads of Communication Community of Practice</li> </ul>



KPI title	Measurement of success
wide communication initiatives to support resource mobilization resulting in increased W1/W2 funding and raising CGIAR brand profile (2019 – 2021) (Action 2.1, 6.2, 9.1)	<ul style="list-style-type: none"> <li>• Communication strategy published and disseminated</li> <li>• CGIAR Centers and CRPs demonstrably sharing responsibility for implementing the Communication strategy</li> <li>• Communication strategy aligned to overall W1/W2 growth targets over 2019 – 2021 cycle</li> </ul>
FEE 6: Fully implemented 2018-2019 System-wide resource mobilization action plan (2019) (Action 9.2)	<ul style="list-style-type: none"> <li>• Overall increase in total System funding (W1/W2/W3 and bilateral)</li> <li>• Share of W1/W2 funding for CGIAR portfolio maintained at 20%</li> <li>• Overall increase in funding stability and predictability through multi-year agreements or indicative pledges</li> </ul>
FEE 7: CGIAR's Partnership Forum contributes meaningful input into the delivery of an agreed '2030 Plan' (2020) (Action 10.1)	<ul style="list-style-type: none"> <li>• In 2020 - the Partnership Forum Co-Chairs (a representative of Centers and a representative of Funders) are supported in the delivery of a strategic agenda for the Partnership Forum that contributes to the development of the '2030 plan'</li> <li>• In 2021 – the relevance of the Partnership Forum as a strategic forum is confirmed by the adoption of a 2030 Plan that takes up topics incorporated from outcomes of the inaugural Partnership Forum.</li> </ul>

## Legal and Office Services

Legal and Office Services has a broad mandate covering responsibilities including building maintenance and security, diplomatic protocol, human resource management, and general legal support and compliance.

During the Workplan cycle, Office Services will be focusing on the improvement of SMO policies, procedures, processes, and tools to ensure the smooth and efficient day-to-day running of the basic operations of the System Organization.

In the area of HR, people management is a key component of the SMO's business plan and strategy. The KPIs highlighted below focus on addressing the concerns of multiple stakeholders, including gender equality and diversity, and strengthening internal operations and transition management. Beyond the current business cycle, SMO HR priorities will be driven by a proposed CGIAR People Management Strategy, which will anchor people management across the System and inform development of Center and SO annual workplans. Much of the HR work to be done during the 2019 – 2021 business cycle is steady-state. The SMO's HR objectives focus on four main areas: Recruitment and Selection; Effective Employment Relations; Performance Management; and Compensation Management.

The general law and compliance work will continue with the establishment of a System-wide repository for policy related documents and a focus on the implementation of uniform templates for transactions, supporting units with their policy work, and ensuring that all decisions and actions of the System Organization have a sound legal basis.

## Key Performance Indicators

KPI title	Measurement of success
2019 – 2021 Business Plan KPIs	
LOS 1: Office support and services are delivered efficiently (2019 – 2021) (Action 2.3)	<ul style="list-style-type: none"> <li>Office assets and records are managed according to policies, procedures, and processes</li> <li>Appropriate processes and systems are in place to deliver logistical operations and resolve day-to-day administrative and operational matters</li> <li>Administrative support is coordinated efficiently</li> <li>Fit-for-purpose operational policies and procedures are identified, developed, and revised as necessary</li> <li>All System Organization staff are periodically trained on office processes and procedures</li> </ul>
LOS 2: Development of a CGIAR People Management Strategy (2019 – 2020) (Action 4.1)	<ul style="list-style-type: none"> <li>Develop for System Management Board approval a common strategy that reflects a cohesive approach to people management across the CGIAR System</li> <li>Demonstrable System-wide progress in attracting, developing, and retaining talent against specific metrics</li> </ul>
LOS 3: Common CGIAR safeguarding policies, guidelines, and tools are adopted System-wide (2019 – 2021) (Action 4.2)	<ul style="list-style-type: none"> <li>Supporting individual Center policies and practices alignment with an overarching CGIAR safeguarding framework</li> <li>Strengthened System-wide reporting and accountability on safeguarding, gender parity, fraud, and risk management</li> </ul>
LOS 4: Development of a CGIAR Gender Equality, Diversity, and Inclusion Framework (2019 – 2021) (Action 4.3)	<ul style="list-style-type: none"> <li>A System-wide culture of gender equality, diversity, and inclusion is embedded in the workplace</li> <li>A mechanism for measuring accountability across the System is developed</li> </ul>
LOS 5: HR and legal support provided to the establishment of the Rome office and CGIAR Advisory Services Shared Secretariat (2019 – 2020) (Action 6.4)	<ul style="list-style-type: none"> <li>Successful transition management and minimal disruption to business continuity</li> </ul>
Steady-state KPIs	
LOS 6: Maintenance of a functional and safe work environment (2019 – 2021)	<ul style="list-style-type: none"> <li>Office building and working environment in Montpellier is maintained properly, functional, and safe for all who work or visit</li> </ul>
LOS 7: System Organization's actions are consistent with its headquarters' agreement (2019 – 2021)	<ul style="list-style-type: none"> <li>Contact with French authorities is properly maintained</li> <li>Relevant <i>Notes Verbales</i> are delivered within five business days of receipt of all necessary information</li> </ul>
LOS 8: Staff are provided safety and security support (2019 – 2021)	<ul style="list-style-type: none"> <li>Staff are updated as quickly as possible based on the severity and urgency of any relevant local and international security alerts</li> <li>Building alarm and access cards are maintained appropriately</li> <li>Contact with the security company, the fire brigade, the police, insurance companies and other entities as relevant is maintained</li> </ul>

KPI title	Measurement of success
LOS 9: System Organization HR operational capacity and efficiency is strengthened (2019 – 2020)	<ul style="list-style-type: none"> <li>Inconsistencies and bottlenecks in management and administration of employment terms and conditions are addressed</li> <li>HR information management is strengthened by utilizing technology to support efficiency in decision making</li> </ul>
LOS 10: System Organization HR is strengthened	<ul style="list-style-type: none"> <li>HR practices follow international standards and best practices for Recruitment and Selection; Effective Employment Relations; Performance Management; and Compensation Management</li> </ul>
LOS 11: System Organization decisions and actions have a sound legal basis	<ul style="list-style-type: none"> <li>General law and compliance advice is provided in a responsive and accurate manner</li> </ul>

## Programs Unit

During the Business Plan cycle the unit will be focusing on continually supporting and improving the implementation quality of the existing CGIAR Research Portfolio while also exploring new thematic strategies and initiatives. Underpinning these activities is the creation of a strong program performance and reporting foundation against which program success and impact will be measured. Program performance management will include ensuring satisfactory reporting by CRPs and Platforms on their programs and activities, the creation of templates for annual work plans, budgets and annual reports; arranging adequate external reviewing processes, and synthesizing documents for system level reporting. This will be backstopped by the final design and implementation of a 12-point performance management strategy. The development of a Management Information System for system reporting and new performance management standards relevant to entry into the new portfolio, will be key factors.

The unit will also be key in the creation/elevation of the Gender Equality Platform during 2019 with full operation in 2020 and the implementation of new strategies in areas such as crop breeding, anti-microbial resistance, climate change, rapid response, biofortification, landscape, and Dry Arc.

Finally, the Program Performance unit will play a key role in facilitating the development of a 2030 Plan – in particular in the creation of the next portfolio.

### Key Performance Indicators

KPI title	Measurement of success
2019 – 2021 Business Plan KPIs	
PP 1: Successful implementation of the CGIAR portfolio over the business plan period (2019 - 2021) (Action 1.1)	<ul style="list-style-type: none"> <li>Satisfactory (full, according to template and accurately evidenced) reporting by CRPs and Platforms on their programs and activities.</li> </ul>
PP 2: Creation/elevation of Gender Equality Platform (2019) (Action 1.2)	<ul style="list-style-type: none"> <li>Design and implementation arrangements of the Gender Equality Platform completed in 2019 for the Platform to commence full operation in January 2020</li> </ul>

KPI title	Measurement of success
PP 3: Deepen the portfolio through new thematic strategies and initiatives (2019 – 2021) (Action 1.3)	<ul style="list-style-type: none"> <li>Active implementation of new strategies and projects to enhance current portfolio activities in a non-competitive manner</li> </ul>
PP 4: Successful implementation of a 12-Point Program Performance Management Framework (2019 – 2021) (Action 3.1)	<ul style="list-style-type: none"> <li>Programs of Work and Budgets are submitted and reviewed according to agreed timeline</li> <li>Annual Reports are submitted and reviewed according to agreed timeline</li> <li>Results dashboard for the overall portfolio is functional and publicly accessible</li> <li>CGIAR System Annual Performance Report reviewed, approved, and published according to agreed timeline</li> </ul>
PP 5: Successful implementation of Program Performance Standards (2019 - 2020) (Action 3.2)	<ul style="list-style-type: none"> <li>First set of six Program Performance standards implemented mid-2020 in line with the entry phase for new portfolio</li> <li>Ongoing management performance standards are actively implemented as part of the CRP/Platform proposal review process</li> </ul>
PP 6: Facilitate the development of a new portfolio as a contribution to the 2030 plan (2019 – 2021) (Action 10.1)	<ul style="list-style-type: none"> <li>Development of a 2030 Plan that reflects identified programmatic needs and resources</li> </ul>
<b>Steady-state KPIs</b>	
PP 7: CGIAR Research Portfolio is monitored and adjusted as needed (2019 – 2021)	<ul style="list-style-type: none"> <li>Necessary portfolio modifications are identified and made in a timely way according to clear criteria</li> </ul>
PP 8: Strong and collaborative Science Community (2019 – 2021)	<ul style="list-style-type: none"> <li>Successful Science Leaders meeting (and other iterative or focal interactions) highlighting collaboration, cooperation, and capacity improvement</li> </ul>

## Annex 4 – SMO Current Staff List (as of 30 November)

- Underlined items indicate ongoing vacant positions that are under recruitment.
  - *Italicized items indicate positions requested as part of this Workplan.*
  - Roles marked with ‘\*\*’ are shared/System-facing capacity that deliver increased alignment (refer section 3 above, at ‘Staff and Financial Resourcing 2019-2021’)
1. Executive Director
    - 1.1. Executive Assistant to the ED and SMB Chair
    - 1.2. *Special Projects Support*
  
  2. Director, Board and Council Relations
    - 2.1. Assistant
    - 2.2. Deputy Director
      - 2.2.1. Senior Associate
    - 2.3. Board and Council Relations Manager
      - 2.3.1. Meetings and Events Associate
  
  3. Director, Funder and External Engagement
    - 3.1. Deputy Director
    - 3.2. Assistant
    - 3.3. Funder Engagement Officer
    - 3.4. *Funder Engagement Senior Associate/Officer*
    - 3.5. Senior Manager, Communications
      - 3.5.1. Senior Associate, Communications
  
  4. Director, Finance
    - 4.1. Assistant
    - 4.2. Finance and Reporting Manager
      - 4.2.1. Senior Finance Associate
    - 4.3. Donor and Trust Fund Support Manager
    - 4.4. Finance and Accounting Officer
    - 4.5. Financial Accounting Associate
    - 4.6. ICT Business Partner
      - 4.6.1. Senior Associate, ICT
      - 4.6.2. Senior Associate, Business Analyst
      - 4.6.3. Global Applications Officer
  
  5. Director, Legal and Office Services
    - 5.1. Senior Legal Officer
    - 5.2. *Ethics and Risk*
    - 5.3. HR Officer
      - 5.3.1. Assistant, Human Resources
    - 5.4. Office Services Associate
    - 5.5. **\*\* CGIAR Gender, Diversity, and Inclusion Business Partner – Dual report to HR CoP convener**

6. Director, Programs
  - 6.1. Assistant
  - 6.2. Senior Advisor
  - 6.3. Results and Program Performance Manager
  - 6.4. Senior Officer
  - 6.5. *Senior Social Scientist*

## Annex 5 – 2019 Calendar of Key Events informing SMO workplan

 CGIAR governing/convening body meetings       External events where SMO input planned

Note: this does not yet include meetings of the Strategic Impact, Monitoring and Evaluation Committee, for which several meetings including one in-person are envisaged.

January	February	March	April	May	June
<p><b>14-16 January:</b> Resource Mobilization CoP, Rome</p> <p><b>16-18 January:</b> Communications CoP, Rome</p> <p><b>30-31 January:</b> 3<sup>rd</sup> General Assembly, Bogor</p> <p><b>End-January</b> – ARC virtual meeting</p>	<p><b>14-15 February:</b> Center Audit Committee Chairs' meeting, Washington DC</p> <p><b>Mid-February (tbc):</b> SIMEC/Advisory services meeting, Rome</p>	<p><b>Early-March:</b> AOC virtual meeting</p> <p><b>20-21 March:</b> Global Food Security Symposium (Chicago Council), Washington DC</p>	<p><b>2-4 April:</b> SMB13, Montpellier</p> <p><b>Mid-April:</b> ARC in-person meeting, Montpellier</p>	<p><b>14-16 May:</b> SC8, Addis Ababa</p> <p><b>20-22 May:</b> 4<sup>th</sup> World Forestry Congress, Montpellier</p>	<p><b>Mid-June:</b> Science Leaders' meeting, Montpellier</p> <p><b>11-12 June:</b> EAT Stockholm Food Forum</p> <p><b>Late June (tbc):</b> AOC virtual meeting</p>
July	August	September	October	November	December
<p><b>Mid-July (tbc):</b> CGIAR System Reference Group "Bellagio"</p> <p><b>Mid-July:</b> ARC virtual meeting</p>	<p><b>Late summer (tbc):</b> CSEs annual in-person meeting</p>	<p><b>2-6 September:</b> African Green Revolution Forum</p> <p><b>Mid-September:</b> ARC virtual meeting</p> <p><b>17-27 September:</b> UN General Assembly (&amp; Climate Summit), NYC</p>	<p><b>2-4 October:</b> SMB14, Rome/ Montpellier</p> <p><b>15-18 October:</b> World Food Prize, Des Moines</p> <p><b>21-25 October (tbc):</b> ARC-AOC joint in-person meeting</p>	<p><b>12-14 November (tbc):</b> SC9, Chengdu, China</p> <p><b>11-22 September:</b> UNFCCC COP25</p> <p><b>End-November:</b> ARC virtual meeting</p>	<p><b>Mid-December:</b> SMB virtual meeting</p>