

Window 1 Special Alliance Fund Procedures

Purpose

The document summarizes the recommended application procedures and progress reporting standards in relation to the Window 1 Special Alliance Fund.

Action Requested

The Board is requested to review, and if thought appropriate, approve the application procedures and progress reporting standards for the Window 1 Special Alliance Fund.

Special notice on 'Consent Agenda' status of this document

This paper is being presented to the SMB according to Article 7.1 of the SMB Rules of Procedure, permitting a 'consent agenda' of multiple items being presented for approval via a single vote of the SMB (not item by item). **Should a SMB member wish to remove an individual item from the Consent Agenda, that request should be communicated to the Secretary of the SMB by close of business Paris time on Thursday 26 September 2019.**

Distribution notice:

This document may be shared without restriction.

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Background

1. On the recommendation of the Board¹, the System Council approved the creation of the [W1 Special Alliance Fund: Center Alliances](#) (W1 Alliance Fund) together with an allocation of US\$ 1 million from the Window 1 Liquidity and Stabilization Fund at the 8th System Council meeting in May 2019.
2. This document sets out the recommended materials to establish the application procedures and progress reporting expectations for distributions that are made from the W1 Alliance Fund.

Standardized Application and Allocation Procedures

3. Applications to the W1 Alliance Fund shall be made by Alliances (comprising two or more Centers), not by individual Centers. Approval of an application by the Alliance Board is a pre-requisite to submission.
4. Applications should be no more than 8 pages and shall be prepared in a prescribed format (see outlines at [Annex A: Standard Application Form](#) and [Annex B: Standard Budget Format](#)).
5. Allocations from the W1 Alliance Fund shall be determined by the System Management Board (Board) acting in the best interests of the CGIAR System.
6. Applications can be submitted and will be considered by the Board on a rolling basis, with determinations being subject to the amount of funds available in the W1 Alliance Fund from time to time.
7. Following an approved allocation decision by the Board, the approved level of financing will be disbursed from the W1 Special Alliance directly to the Center identified in the application as the fiduciary lead.

Progress Reporting and Monitoring

8. An annual progress report (narrative and financial) shall be submitted via an on-line tool that is consistent with the application format, no later than 28 February following the year in which the funds were disbursed.

¹ The Board discussed the concept for a Special Alliance Fund at its 13th meeting, and subsequently endorsed the creation of the fund by electronic vote effect on 29 April 2019 (SMB/M13/EDP1).

W1 Special Alliance Fund: Center Alliances

Standard Application Form

Update: 19 September 2019

Executive Summary (1-2 pages)

Narrative summary of the proposed alliance activity to be undertaken including:

- *identification of the underlying strategic objectives driving the alliance (impact, research synergies, institutional, operational, other)*
- *any important milestones and dates for completion of stages of the transition (pre-alliance exploration, implementation of change, and post-alliance alignment)*
- *identification of qualitative benefits expected from the Alliance*
- *a summary of the total estimate cost of the alliance activity, the amount of funding requested from the W1 Special Alliance Fund, and the expected financial return on the investment*
- *Identification of which Center is acting as the fiduciary lead for the Alliance for purposes of receiving funds from the W1 Special Alliance Fund and reporting back on their usage*

Planned Alliance Activities and Outcomes (2-4 pages)

Brief narrative description of planned alliance activities and outcomes related to:

- a) Governance and legal structures
- b) Mission, Vision & Strategic Objectives
- c) Communications & Branding
- d) Research for Development Agenda
- e) Management and Operational Alignment

Risk Management (1 page)

Identification of top 5 risks (mapped to CGIAR's risk families) and the mitigation measures in place

Budget and Projected Return on Investment (1 page – see Annex B)

