Implementing an integrated operational structure for One CGIAR

11 June 2021
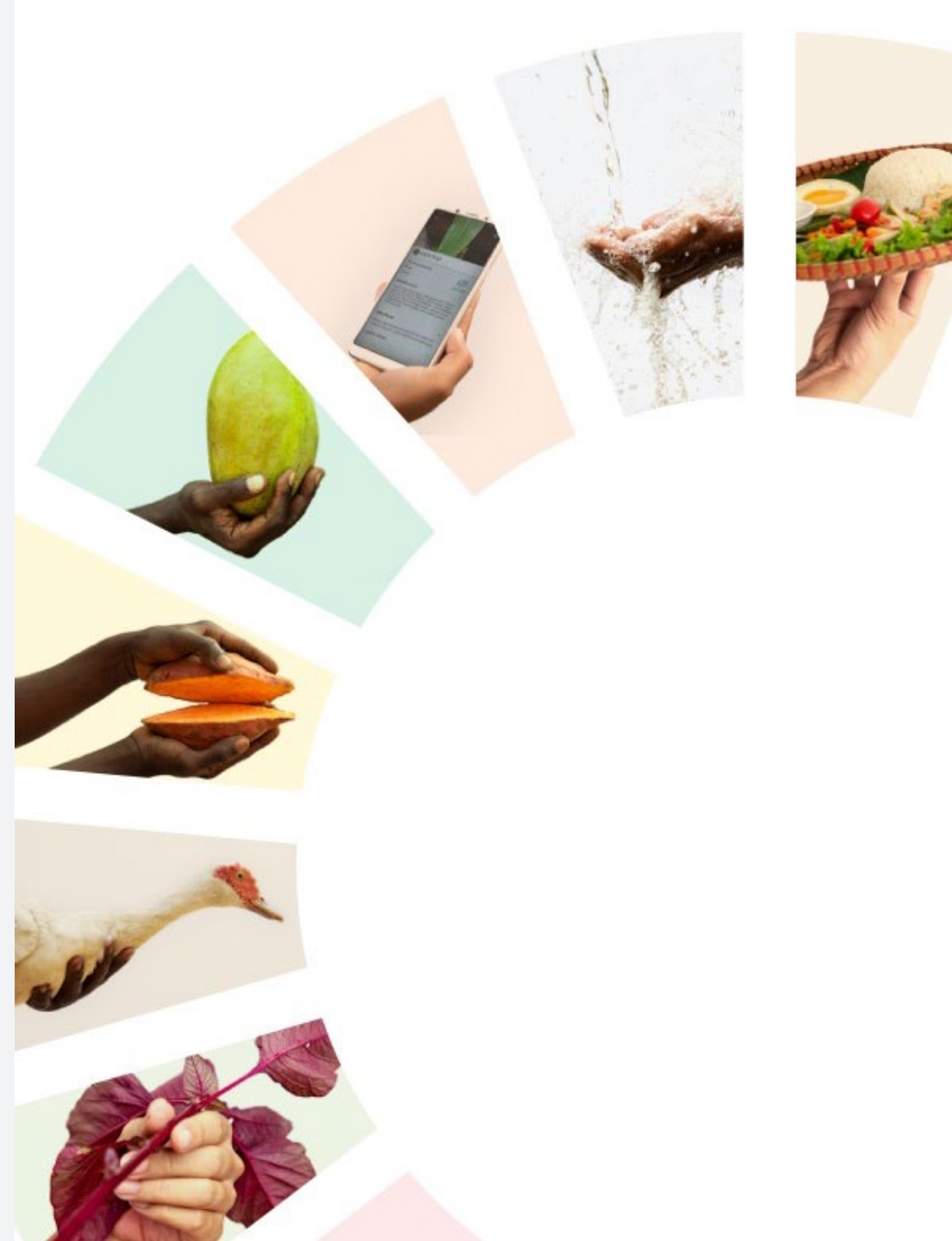
Implementing an integrated operational structure:
Summary of current progress

CGIAR

The transition to One CGIAR is on track
(key achieved milestones as of June 11, 2021)

But key milestones remain for the second half of the year:

Year	Period	Milestone
2019	Q4	☑ SRG Recommendations endorsed
	Q1	
	Q2	☑ CGIAR RMCA Strategy **(SRG Recommendation 5)**
2020	Q3	☑ Restructured System Board (SB) in place **(SRG2)** ☑ Executive Management Team (EMT) in place **(SRG3)**
	Q4	☑ SB members form 2/3 voting majority on 11/13 Boards **(SRG2)*** ☑ 2030 Research and Innovation Strategy approved **(SRG1)**
	Jan	☑ Integrated operational structure approved by SB **(SRG3)**
	Feb	☑ Investment Advisory Groups launched **(SRG1&4)**
	Mar	☑ Integrated operational structure endorsed by SC **(SRG3)**
2021	Apr	
	May	☑ 2022—24 Investment Prospectus approved by System Board **(SRG1&4)** ☑ First key managerial appointments to One CGIAR structure **(SRG 3)**
	Jun	☑ 2022—24 Investment Prospectus approved by System Council **(SRG 1&4)**

* With mixed progress on amending governing instruments consistent with the SB-endorsed TAG-3 checklist
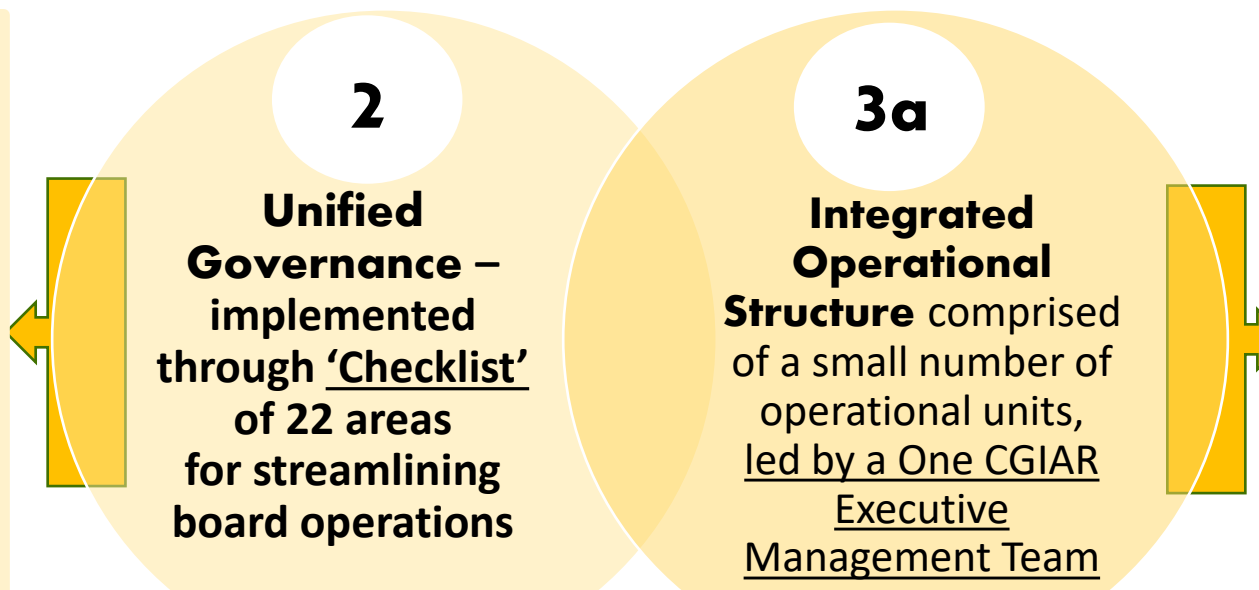
- ❑ One CGIAR leadership must be empowered as soon as possible to fulfill their new roles – key governance decisions required to enable this

- ❑ Timely affiliation of all staff, and shifting reporting lines to the new structure will be essential to providing clarity and certainty – **affiliation by July, reporting lines thereafter**

- ❑ Shifting from Centers/ Alliances to Science Groups as the main operating units for research and innovation delivery **from January 2022** requires rapidly establishing an initial operating model

Implementing an integrated operational structure:
Unified governance and an empowered leadership team

CGIAR

- **Co-designed:** TAG-3
- **Strategic goal:** work as 'we' at the Board level to drive the transition in collaborative way
- **Fully respecting HQ Host Country legal requirements**
- **Openness to include flexibilities** to address non-legal political risks

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Unified Governance – implemented through 'Checklist' of 22 areas for streamlining board operations

3a

Integrated Operational Structure comprised of a small number of operational units, led by a One CGIAR Executive Management Team

- **Key enabler of One CGIAR**
- **SRG Recommendation expressly** spoke of the EMT leading the process to consolidate the operational design
- **Expressly stated also that DGs will report to the EMT,** whilst playing a role in business continuity

Several of the 'Checklist items' were specifically focused on **not maintaining** those structures and process that keep Boards as 'us' (instead of 'we'). In 5 to 6 instances, a Center's approach to adopting the checklist makes it challenging to empower the EMT and the broader One CGIAR leadership team. The SB will be discussing how to address the remaining topics in the coming weeks.

Implementing an integrated operational structure:
Looking ahead – a high-level transition timeline

CGIAR

1. One CGIAR recommendations	2. Building unified governance	3. 2030 Strategy & org. design	4. Transition period		5. Operating as One CGIAR
			Critical path to early-stage operating model	Launch early-stage operating model	

November 2019	Feb – Aug 2020	Sept 2020 – Mar 2021	Mar – Dec 2021	2022	2022/2023 Onwards
SRG's recommendations unanimously endorsed by the System Council	*System Board and EMT appointed to lead One CGIAR transition*	*2030 Research & Innovation Strategy approved, integrated operational endorsed*			

Mar – Dec 2021:
- Appoint & empower new leadership
- Shift reporting lines
- Implement essential changes for early-stage operating model

WE ARE HERE

2022:
- Shift to One CGIAR operational budget
- Science Groups go live as operating units for pooled & non-pooled funding
- Launch CGIAR Initiatives
- Unified pipeline & resource mobilization

Implementing an integrated operational structure:
key enablers

CGIAR

New structure enabled by the following conditions to maximize the benefits

- Authorizing environment
- Planning & budgeting
- Reporting lines
- Accountabilities for representing One CGIAR
- Fundraising coordination & accountability

...underpinned by...

- *Delivery of the 2022—24 Investment Plan for greater impact*
- *Securing adequate resources to fund the transition*
- *Bandwidth for leaders & teams to deliver One CGIAR priorities*
- *Continuing participatory and consultative processes and forums, to leverage the knowledge and experience of staff*

Implementing an integrated operational structure:
Update on key managerial appointments

"Key managerial positions" in the One CGIAR operational structure = 10 Global Directors, 6 Regional Directors, and Senior Directors and other positions reporting directly to Global and Regional Directors

A phased approach approved by the CGIAR System Board

PHASE I: Direct appointments of Center Alliance DGs	Prospective appointments announced internally on 26 May, subject to Center/ Board approvals of necessary contractual arrangements
PHASE II: Competitive process to fill the Global Director and Regional Director positions not filled in Phase I	6 Global Director and 2 Regional Director positions at different stages of the recruitment process
PHASE III: Competitive process (internal and/or external) to fill other key managerial positions	Process to be launched following validation of detailed structure and roles by incoming Global Directors and Regional Directors

PHASE I: List of prospective appointees (*alphabetical by first name*)

- **Aly Abousabaa** as Regional Director, Central and West Asia and North Africa
- **Barbara Wells** as Global Director of Genetic Innovation
- **Gareth Johnstone** as Senior Director of Aquatic Food Systems
- **Harold Roy-Macauley** as Regional Director, East and Southern Africa
- **Jean Balié** as Regional Director, South-East Asia and Pacific and acting Regional Director, South Asia until the position is filled
- **Jimmy Smith** as Senior Director of Livestock-Based Systems
- **Johan Swinnen** as Global Director of Systems Transformation
- **Juan-Lucas Restrepo** as Global Director of Partnerships and Advocacy
- **Mark Smith** as Senior Director of Water Systems
- **Martin Kropff** as Global Director of Resilient Agri-Food Systems
- **Nteranya Sanginga** as Regional Director, West and Central Africa

Looking ahead, and in keeping with CGIAR's commitment to advancing gender equality, diversity, and inclusion (GDI) in our workplaces, **the EMT aims for at least 40% women overall across key managerial positions,** from a baseline of ~33%. In addition to gender diversity, the process to fill key managerial positions will create opportunities to advance all other forms of diversity in CGIAR's leadership – including culture, ethnicity/race, mobility, and age.

In line with the GDI Action plan 2020-2021, we are embedding the 5 GDI commitment areas into the transition process

Fostering diversity and inclusion

- Engaging **diverse stakeholders in working groups** for transition design and implementation (incl. initiative design teams)
- Commitment to **40% female appointment target**
- **Inclusive recruitment** toolkits used in ongoing recruitments

Providing fair, safe & inclusive workspaces

- **One CGIAR safeguarding policies** prioritized in first set of common policies
- Work to develop an **inclusive One CGIAR culture** underway
- Dedicated task teams defining **policies and standards** for fair, safe and inclusive workplaces and pay parity
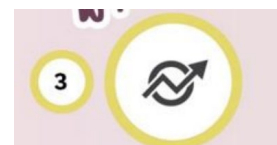
Raising GDI awareness and reducing bias

- Inaugural wave of **inclusive leadership** training program concludes in June
- Range of **e-learning trainings** and one stop **knowledge hub** for all staff developed and in use
- Employee-led resource groups creating **diverse One CGIAR global communities**

Accountability on workplace GDI advancement

- All common One CGIAR policies and procedures to include a **GDI lens**
- GDI being intentionally incorporated into One CGIAR **evaluation and audit approaches**

Progressing in partnership

- Procurement-focused task teams being advised on consciously incorporating **GDI targets for supplier networks**
- Laying foundations for **diverse future One CGIAR talent pipelines**
- Demographic data being collected to support **robust diversity target setting** for One CGIAR

Implementing an integrated operational structure:
Tailored change management and communications

Ensure that stakeholders are aware of the change, understand the reasons for it, and are equipped to engage in it

CGIAR staff	- **Monthly Newsletters** sent to all staff and made publicly available on CGIAR.org - **Bi-monthly all-staff webinars** with questions submitted in advance and live, and recordings made publicly available on CGIAR.org - **Internal, all-staff SharePoint site** to share information on the transition - **Rolling, public Q&A,** building on key questions received through webinars and other channels - **All-staff, quarterly pulse survey** – to be launched end-June - On-demand support towards **Center/ Alliance townhall meetings** and other Center-specific communications - 170+ CGIAR colleagues engaged hands-on through **34 One CGIAR Transition Task Teams** covering the full range of transition work streams - Cross-CGIAR **Initiative Design Teams** - Early priority on **staff affiliation** to ensure that all staff have early visibility of their 'home' in the new structure
Regional and country partners	- **Prospective appointments of 4/6 Regional Directors,** recruitments of the remaining 2 at advanced stages - **On-demand support** towards regional and country consultations (e.g. India and Bangladesh) - Planning underway for **structured, One CGIAR engagement** with key host country counterparts, advised by Center leadership - Continuous engagement with representatives of regional constituencies on **System Council and IAGs**
Center/ Alliance Leadership	- **Minimum bi-weekly DGs & EMT meetings** from January 2021 - **Intensive individual engagement between EMT and DGs** leading up to and following their prospective appointments to GD, RD, and SD roles - Since January, 2 rounds of **EMT dialogues with Center/ Alliance leadership teams** on the One CGIAR transition - Large number of senior staff in various Transition Task Teams
Center/ Alliance - specific Board members	- **EMT engagement in all Center/ Alliance Board meetings in April/May 2021,** with a substantive update on the One CGIAR transition - **Individual conversations between EMT, Center/ Alliance Board Chairs, and DGs** on appointments of DGs to GD, RD, and SD roles - From May 2021, **monthly all-Board members calls** for EMT to provide updates on progress and the way forward - Intensive, individual and small-group engagement to identify and resolve specific issues
Cross-cutting	- **2 cross-CGIAR change management workshops in March & May 2021** to take stock of CGIAR-wide as well as Center/ Alliance -specific change management in the transition to One CGIAR, priorities going forward, and ways of strengthening collaboration and coordination - **Cross-CGIAR Change Management Task Team and Agents of Change Network formed**

Implementing an integrated operational structure:
Broad, cross-CGIAR engagement through Transition Task Teams

34 task teams (TTs) are currently engaged in work to progress the transition. These task teams (TTs) include 172 members from across the One CGIAR system.
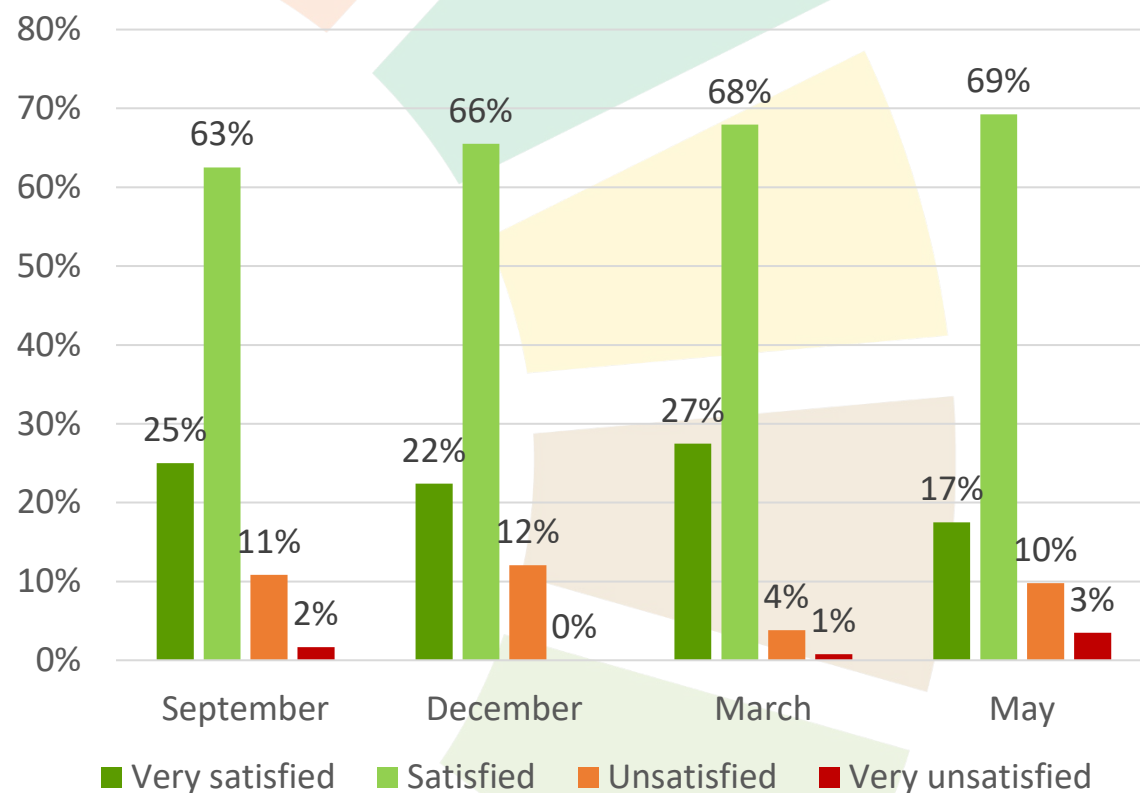
Lead	Group	# TT	Mandate
Cross	Change management	1	Coordinate change management initiatives and efforts across One CGIAR.
IS&S	Support for 1CG Budgets	1	Support from Business Operations & Finance to develop 1CG budgets based on chosen service delivery model.
IS&S	Reporting lines trans.	1	Support from People & Culture to implement necessary changes to transition personnel reporting lines to 1CG.
IS&S	Legal Group	1	Legal support to the 1CG transition.
IS&S	Efficiencies Cluster	2	Define scope/strategy for IT vendor contracts harmonization, harmonize procurement policy, and create a One CGIAR database of suppliers.
IS&S	Trans. Service Delivery Mechanisms Cluster	12	Set up transitional digital capabilities, develop SLAs/SOPs, define transitional financial management oversight processes, determine DoAs, and define an initial performance results management system.
IS&S	Prioritized Policy Framework Cluster	6	Define policy governance framework and mechanisms, establish prioritized common policies for IS&S, and support prioritized common policies in other areas.
IS&S	Diagnostic Prep Cluster	2	Coordinate system-wide data and information gathering, and framing of diagnostic.

Lead	Group	# TT	Mandate
RD&I	Impact Area Platforms	1	Determine Impact Area Platform modality, personnel and budget requirements.
RD&I	Project Coordination	1	Propose functions/strategy, identify resource needs, and propose investments to implement.
RD&I	Monitoring & Perf. Mgmt	1	Propose functions/strategy, identify resource needs, and propose investments to implement.
GE&I	RMCA	1	Implement RMCA strategy and assign staff capacity to support fundraising for the Action Areas.
GE&I	Pipeline	1	Design/launch unified 1CG pipeline to coordinate and grow pooled/bilateral RM across 1CG.
GE&I	RM Coord	1	Design principles/process to coord RM in the transition.
GE&I	Advocacy/ Partnerships	1	Advance 1CG advocacy engagements in the transition, inform transitional advocacy/partnerships strategies.
GE&I	Comms	1	Develop guidelines/processes to ensure continuity and communications coordination in the transition to 1CG.
GE&I	Regions & Countries	1	Provide strategic/technical guidance to the MD GE&I and the incoming 1CG Regional Directors on the development of key cross-cutting design, transition, stakeholder engagement and change management.

Implementing an integrated operational structure:
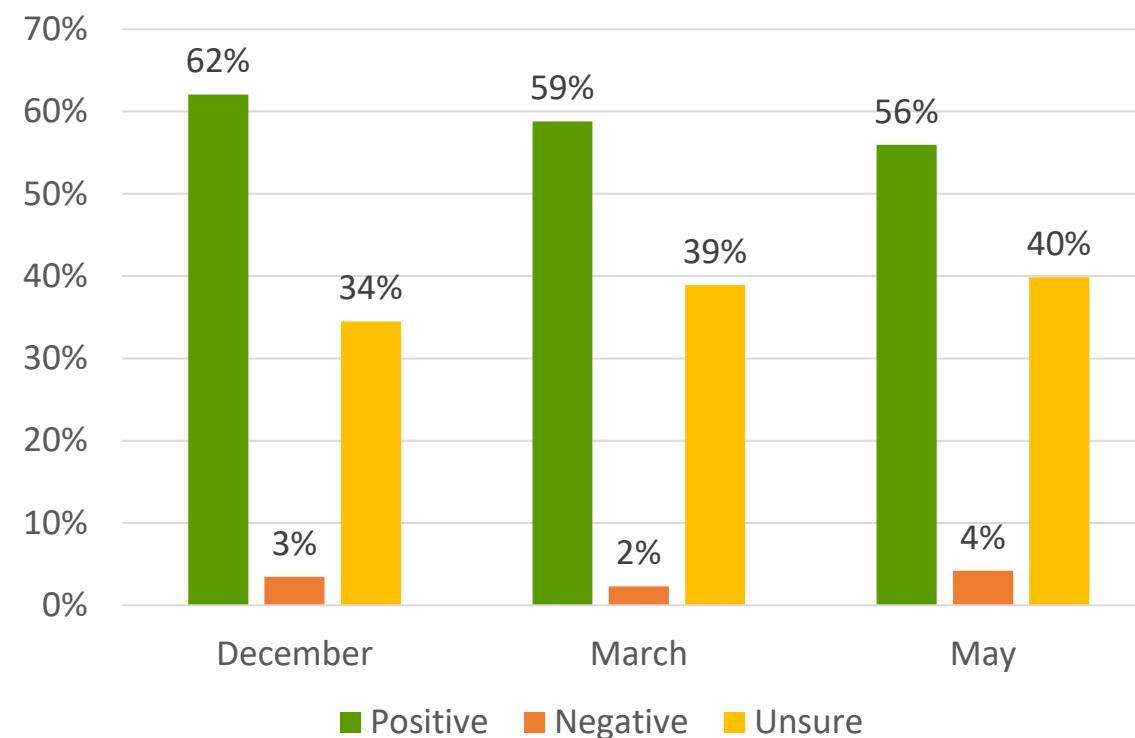## Post-webinar feedback from CGIAR staff

CGIAR

Feedback following all-staff webinars suggests communications are well received, but also continued uncertainty as key implications for roles and jobs have yet to be clarified (NB: Small sample size – a comprehensive pulse survey will be launched later this month.)

Overall how satisfied were you with the webinar?

	September	December	March	May
Very satisfied	25%	22%	27%	17%
Satisfied	63%	66%	68%	69%
Unsatisfied	11%	12%	4%	10%
Very unsatisfied	2%	0%	1%	3%

How do you feel about the transition towards One CGIAR?

	December	March	May
Positive	62%	59%	56%
Negative	3%	2%	4%
Unsure	34%	39%	40%

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Implementing an integrated operational structure:
Funding the transition

Contribution from CGIAR (CAPEX and OPEX): CGIAR contributions will give SC Funders confidence that One CGIAR is a shared priority

Funder contributions: Building on the contributions to date, a larger number of Funders are invited to contribute towards the costs of the transition

ADEQUATE RESOURCES SECURED FOR AN EFFECTIVE TRANSITION THAT QUICKLY REALIZES THE BENEFITS OF ONE CGIAR

Underpinned by robust analysis outlining transition costs and potential savings: Provides confidence to Funders that costs are well-justified and expected savings are realistic (demonstrating a good ROI)

FUNDER CONTRIBUTIONS TOWARDS THE ONE CGIAR TRANSITION AS OF JUNE 2020:

- Bilateral grants:
  - BMGF ($9.9m)
  - EC ($3m)

- W1 Special Transition Fund:
  - Norway ($1.1m)
  - Sweden ($1m)
  - Belgium ($0.6m – TBC)
  - UK ($0.14m)

NEXT STEPS TOWARDS AN INVESTMENT CASE (aiming for within next month)

- Analysis underway to increase confidence in the magnitude and timing of the transition costs
- Identifying CAPEX and OPEX cost buckets that could be funded by CGIAR

Implementing an integrated operational structure:
## Key transition risks and mitigation measures

Category	Risk event
Strategic	Low morale, anxiety, and/or resistance to change among staff
	Center/ Alliance opts not to join One CGIAR
	Failure to implement a shared One CGIAR culture
	Deterioration of host country relationships
	One CGIAR engagement model for regions/ countries does not meet expectations
	Potential for unethical behavior or misconduct

Category	Risk event
Oper-ational	One CGIAR leadership is not empowered
	One CGIAR leadership have insufficient bandwidth
	Bandwidth constraints across key staff
	Delays in completing operational structure design, particularly -22 budgets
	Disruptions to ongoing delivery
Financial	Failure to articulate One CGIAR investment case
	Failure to meet 2022 revenue targets

Additional background reading:
Progress towards One CGIAR
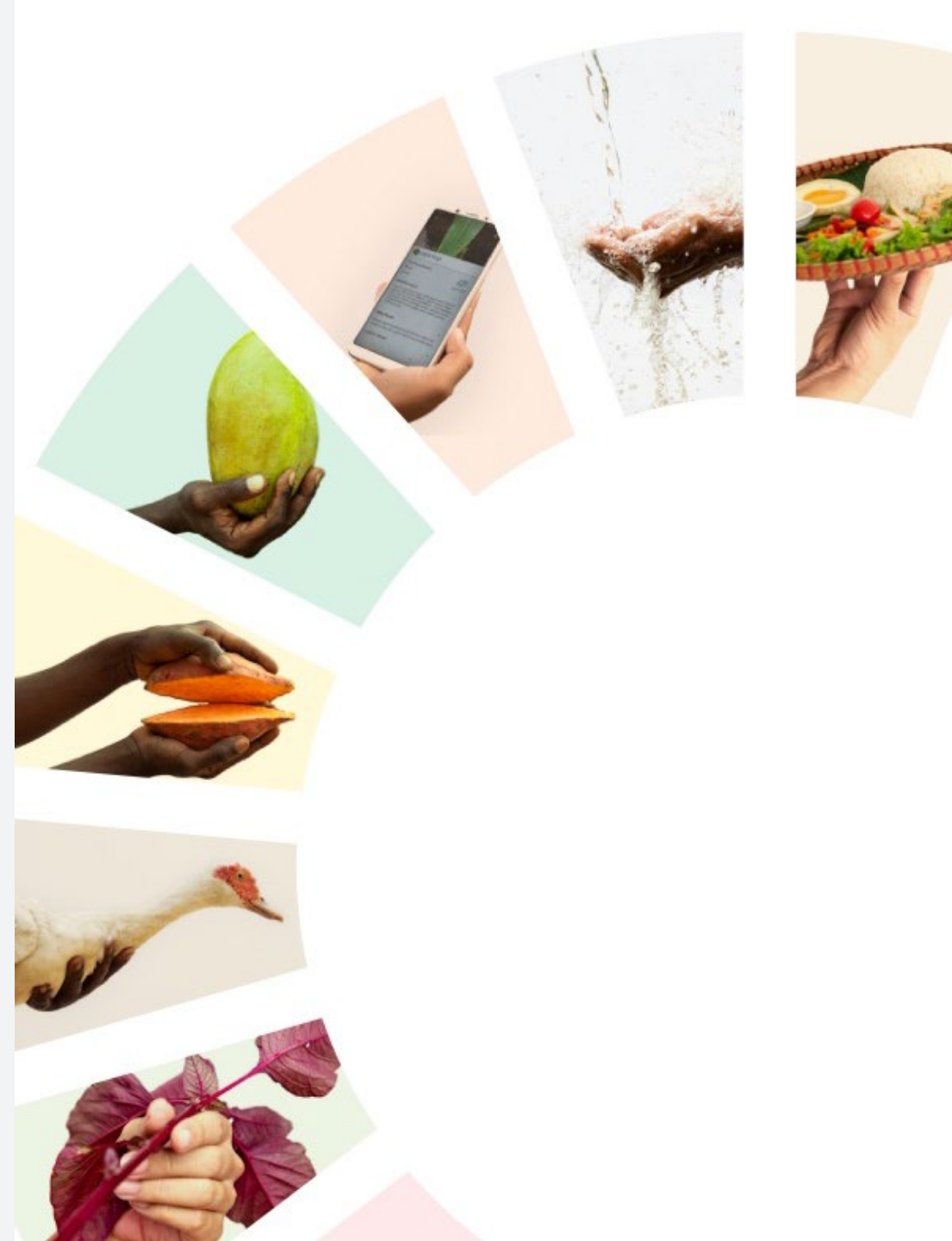
Taking stock of progress

To deliver science and innovation that advance transformation of food, land, and water systems in a climate crisis.

- ☑ 2030 Strategy approved
- ☑ 2022—24 Investment Prospectus

- ☑ New research modality – CGIAR Initiative –substantially set out in approved 2030 Strategy and Performance and Results Management Framework

- ☑ Operational structure endorsed in March -21 – sets out high-level model for country and regional engagement
- ☑ Prospective appointments of 4/6 Regional Directors ('RD')
- ☐ Intensive design work underway
- ☐ Advanced stages of filling 2 remaining RD positions
- ☐ Roll out of the new engagement model in 2021—22 supported by empowered leadership

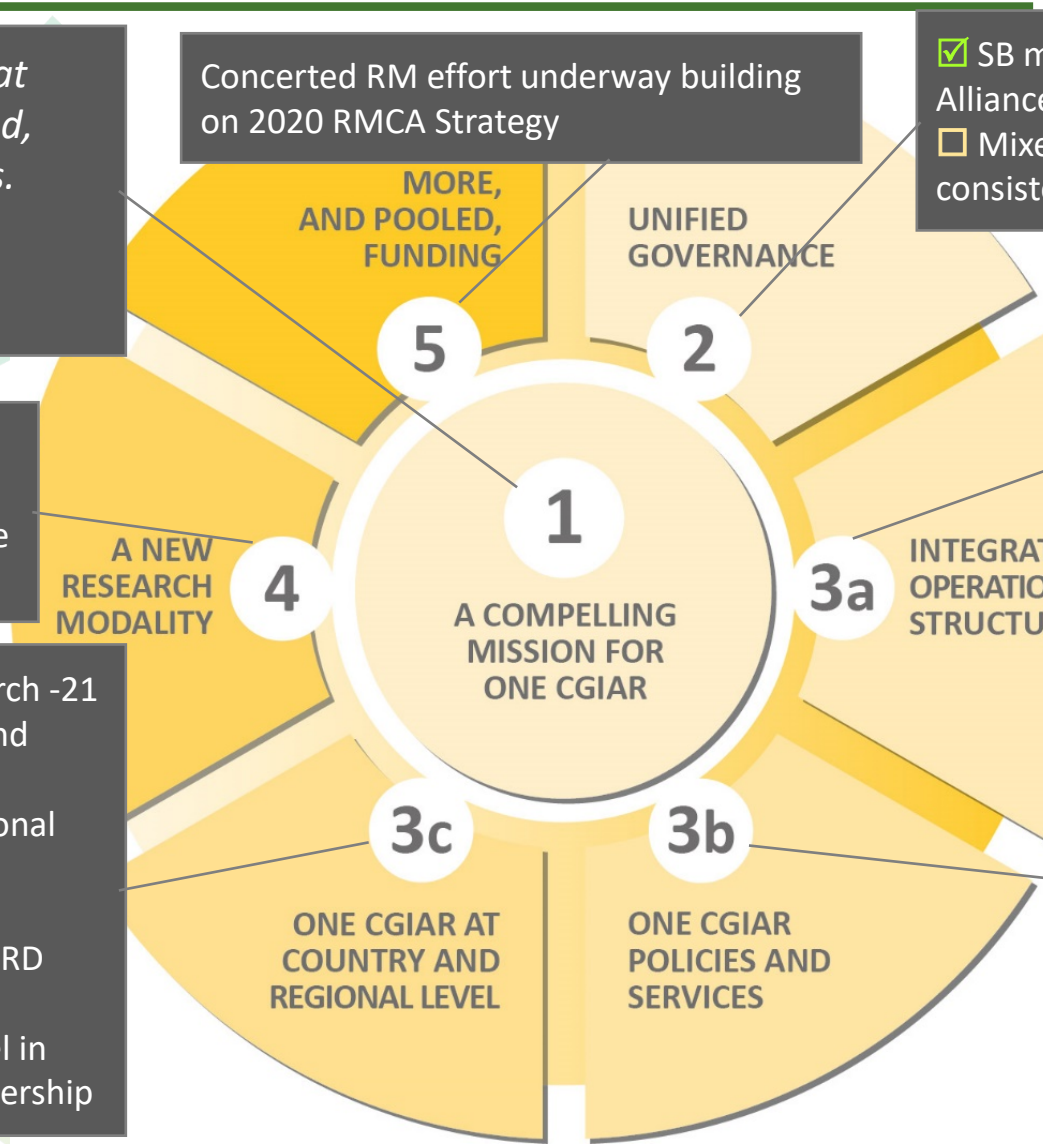Concerted RM effort underway building on 2020 RMCA Strategy

- ☑ SB members a 2/3 voting majority on 11 Center/ Alliance Boards
- ☐ Mixed progress on amending governing instruments consistent with the SB-endorsed TAG-3 checklist

- ☑ EMT appointed, effective Sept 2020
- ☑ Operational structure endorsed in March -21
- ☑ Prospective appointments of DGs as Global Directors, Regional Directors, and Sr Directors
- ☐ Next phase of key managerial appointments
- ☐ EMT, broader One CGIAR leadership to be empowered through revised delegations of authority aligned to new institutional design

- ☑ Operational structure endorsed in March -21 – sets out high-level model for best practice all CGIAR policies, services, and systems
- ☐ Intensive, prioritized design work underway
- ☐ Final stage of IS&S GD appointments
- ☐ Staged delivery in 2021—22 supported by empowered leadership (from 3a)

Diagram

- 1 — A COMPELLING MISSION FOR ONE CGIAR
- 5 — MORE, AND POOLED, FUNDING
- 2 — UNIFIED GOVERNANCE
- 3a — INTEGRATED OPERATIONAL STRUCTURE
- 4 — A NEW RESEARCH MODALITY
- 3b — ONE CGIAR POLICIES AND SERVICES
- 3c — ONE CGIAR AT COUNTRY AND REGIONAL LEVEL

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Critical path – for reference in progress updates

Key area	Objective	Q2	Q3	Q4
Teams and capacity to deliver research and services	Appoint new leadership	Global and Regional Directors appointed		
	Establish authorizing envir.	Define accountabilities for key decision moments Secure DoAs for EMT and new leadership		
	Shift reporting lines & teams	Affiliate staff to Global & Regional Groups	Change reporting lines for senior mgmt. and individual affiliation to teams	Start essential planning & performance objectives for senior mgmt.
People, culture & change mgmt. readiness	Secure staff readiness	Deliver essential change mgmt., comms & culture work – esp. around affiliation, implications for individuals in new teams, and bilateral funding		
		Define common culture principles and ways of working		
Processes and systems	Finalize planning & budgeting	Develop budget guidelines (e.g. cost principles)	Prepare budgets at entity level	Consolidation of One CGIAR budget / Budget review & approval
	Set-up mgmt. reporting systems	Mgmt. systems scoped and designed (digital workplace, staff occupation, budget, security)	Upgrade existing IT systems / procure and integrate new ones (if necessary)	Validate and test monitoring and reporting systems
	Ensure regulatory compliance	Ongoing legal consultations and check-points before major decision and changes across workstreams		
Funding	Ensure funding stability	Build unified pipeline Establish common pricing approach for Investment Plan projects	Secure funding for investment plan fast-track initiatives from SC Funders and deliver coordinated One CGIAR RMCA	
		Clarify new funding modalities	Draft new funding framework	Sign off legal new funding framework

Progress towards One CGIAR:
Recommendations and target dates

The One CGIAR recommendations were endorsed with target dates that reflected the urgency of the changes needed, particularly in view of the climate crisis and the narrowing window of opportunity to achieve the SDGs. This table presents an update of progress towards those target dates as of June 4, 2021.

Endorsed recommendation	Target date	2020						2021				2022	2023	2024	Status	Notes
		Jul	Aug	Sept	Oct	Nov	Dec	Q1	Q2	Q3	Q4					
Recommendation 1: 2030 Research Strategy developed, approved	SC approval by end-2020														**Completed**	The 2030 Research and Innovation Strategy was approved by the System Council at its 11ᵗʰ meeting in December 2020.
Recommendation 1: 2022—24 Investment Plan developed, approved	SC approval by Q2 2021														In progress, on track for target date	The 2022—24 Investment Plan was approved by the System Board at its 20ᵗʰ meeting on 18 May, and submitted for System Council review and approval on 26 May.
Recommendation 1: Initial set of CGIAR Projects developed, approved	SC approval by Q4 2021														In progress, on track for target date	Following System Board and System Council approval, and drawing on the inputs received, CGIAR Initiatives will proceed to full proposal design, aiming for ISDC submission on 30 Sept.
Recommendation 2: SB members appointed to Center/Alliance Boards, as a minimum 2/3 voting majority	Effective from 1 Oct 2020														**Completed (11/13 Center/ Alliance Boards)**	Appointments completed for 11 Center/Alliance Boards.
Recommendation 3.a: Form One CGIAR EMT	Effective from 1 July 2020		x												**Completed**	Appointment of the inaugural CGIAR Executive Management Team (EMT) announced on 6 August 2020, effective from 1 Sept.

key: ■ completed; ■ in progress, on track for target date; ■ in progress, requires attention; ■ to start later

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Progress towards One CGIAR:
Recommendations and target dates

Endorsed recommendation	Target date	2020						2021				2022	2023	2024	Status	Notes
		Jul	Aug	Sept	Oct	Nov	Dec	Q1	Q2	Q3	Q4					
Recommendation 3.a: EMT to revert to the Board with a proposed integrated structure	by end-2020							x							**Completed**	Following a consultative process, the EMT's proposed, integrated operational structure for One CGIAR was endorsed by the System Council in March.
Recommendation 3.b: Priority One CGIAR policies and services feasibility and business case development, services design	in 2020—21														In progress, on track for target date	Phased process underway to fill key managerial roles in the new structure, including Global Directors responsible for Finance; HR; and IT; and working closely with Center/Alliance leadership and multiple cross-CGIAR Task Teams on detailed design and diagnostics to pave the way for common policies, services, and systems.
Recommendation 3.b: Priority policies and services build and implementation	in 2021—22														Due to start later	
Recommendation 3.c: Design and scoping of One CGIAR country and regional engagement model	in 2020							x							**Completed** (Initial design as part of operational structure)	Building on the recommendations of TAG5 on country and regional engagement, the One CGIAR structure sets out an engagement model based on six Regional Groups with Country Offices to deliver strategy, demand identification, partner engagement, and related functions working closely with Science Groups.

key: ■ completed; ■ in progress, on track for target date; ■ in progress, requires attention; ■ to start later

Progress towards One CGIAR:
Recommendations and target dates

Endorsed recommendation	Target date	2020						2021				2022	2023	2024	Status	Notes
		Jul	Aug	Sept	Oct	Nov	Dec	Q1	Q2	Q3	Q4					
Recommendation 3.c: Prioritized roll-out of new engagement model	in 2021								▓	▓	▓				in progress, on track for target date	
Recommendation 4: New modality developed and approved for implementation readiness	from 2022			▓	▓	▓	▓	▓	▓	▓					in progress, on track for target date	The new research modality – CGIAR Initiative – is substantially set out in the approved 2030 Strategy and Performance and Results Management Framework, with detailed financing and implementation aspects to be finalized in time for launch of the first Initiatives in January 2022.
Recommendation 5: 50% pooled funding achieved	by end-2022	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓	▓			in progress, on track for target date	A concerted resource mobilization, communications, and advocacy effort for the 2022—24 Investment Plan is underway, led by the Managing Director, Resource Mobilization building on the strategy developed by TAG7 and the RMCA working group.
Recommendation 5: 70% pooled funding achieved	by end of 2022-2024 period												▓	▓	due to start later	

key: ■ completed; ▨ in progress, on track for target date; ■ in progress, requires attention; ▓ to start later