



Draft 2022—24 Transition Plan: *Delivering One CGIAR*

Purpose

The document presents an outline and key elements of a 2022—24 Transition Plan for CGIAR, to be completed in early 2022. It focuses on CGIAR's institutional transition and integration process, framed by the 2030 Research and Innovation Strategy and aligned with the three-year planning cycle for the portfolio of CGIAR Initiatives and Platforms as well as the associated 2022—24 Financing Plan (FINPLAN).

It includes, in Annex I, a Progress Report on the 2019—21 Business Plan, setting out where progress was made against the ten actions contained therein, noting that the more ambitious speed and scope of change set out in the One CGIAR recommendations, endorsed only a year into the Business Plan period means that many elements of the plan were overtaken during its lifecycle. Annex II therefore also provides a Progress Report on the implementation of the System Reference Group's recommendations for One CGIAR.

The CGIAR System Board considered an earlier draft of this document at its 22nd meeting on 29-30 November 2021 and provided guidance to shape and strengthen the approach.

Action Requested

The System Council is requested to review and provide inputs on the Draft 2022—24 Transition Plan to inform its further development and finalization in early-2022.

<p>Document category: Working document of the System Council There is no restriction on the circulation of this document</p>

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DRAFT 2022—24 Transition Plan: *Delivering One CGIAR*

14th Meeting of the CGIAR System Council
15—16 December 2021



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(i) Background and context

- The CGIAR System Council (SC), at its 7th meeting in November 2018, approved the CGIAR System 3-Year Business Plan for 2019—2021.
- As that plan comes to a close, **this document sets out an outline and key elements of a 2022—24 Transition Plan for CGIAR,** to be completed in early 2022.
- Rather than attempting to set out a complete business plan, this document focuses on CGIAR’s institutional transition and integration process, framed by the 2030 Research and Innovation Strategy and aligned with the three-year planning cycle for the portfolio of CGIAR Initiatives and Platforms as well as the associated 2022—24 Financing Plan (FINPLAN).
- **The Plan comes at a critical juncture in the ongoing transition to ‘One CGIAR’,** launched in January 2020. Building on significant progress over the past two years, the 2022—24 Plan will frame the continued transition process with an overarching aim to fully realize the benefits of unified and integrated governance, management, and operations.
- The 2022—24 Plan also comes against a backdrop of important changes in CGIAR’s operating environment, including but not limited to the COVID-19 pandemic and its knock-on effects on global food systems. **An important overarching aim for this Transition Plan is to strengthen CGIAR’s change readiness**—to enable us to adapt and respond as the world around us continues to change.

(i) Background and context: 2019—21 Business Plan in review

See Annex I for a more detailed Progress Report on the implementation of the 2019—21 Business Plan



- 10 Actions, combining substantial changes, better ‘housekeeping’, and starting to address deeper challenges
- Deliberately designed for a diverse partnership, focusing on the collective actions, without replacing entity-specific plans
- As the 2019—21 Plan comes to a close, CGIAR has made solid progress across the ten actions, as shown below
- In many respects, however, the 2019—21 Plan has been overtaken by the more ambitious One CGIAR recommendations

Action	Status	Notes
1. Implement and enhance the portfolio of CRPs and Platforms	fully achieved/ completed	2017—21 portfolio on track to completion, Gender Platform launched in 2020
2. Create Financial Sustainability and Growth in CGIAR	fully achieved/ completed	2019—21 actions implemented, RMCA Strategy sets out higher growth ambition
3. Strengthen program performance management	fully achieved/ completed	Improved annual reporting, data access, quality assurance, and IATI compliance
4. Improve people management	not completed	Mostly completed or superseded by One CGIAR: GDI function, Ethics Framework
5. Pursue new cross-Center alliances	not completed	Largely overtaken by One CGIAR, which going well beyond bilateral alliances

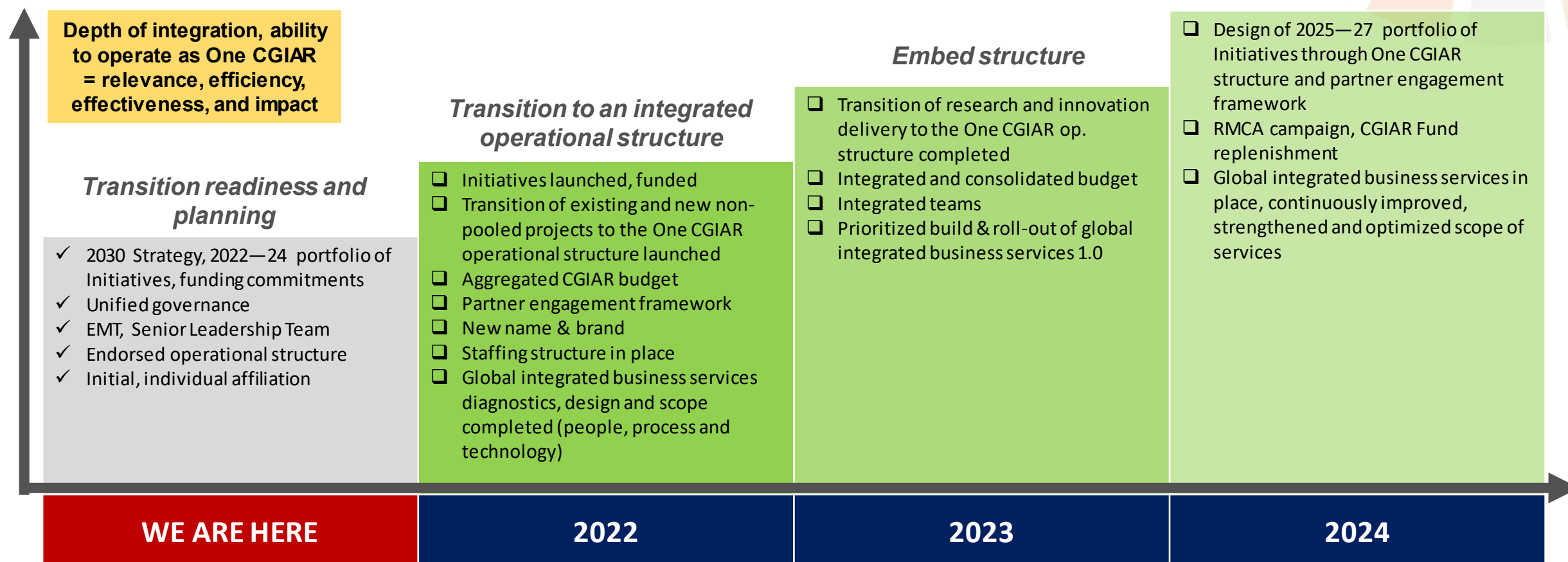
Action	Status	Notes
6. Enhance collaboration with delivery partners	reprioritized, not relevant in light of One CGIAR transition	Overtaken by One CGIAR: RMCA Strategy; Global Groups for P&A and IF&RM, Regional Groups
7. Align and enhance assurance systems	mostly achieved/ completed	Good progress with significant opportunities arising from the move to operating as OneCGIAR
8. Align high-quality independent advisory services into System-level decision-making	fully achieved/ completed	SC decision on advisory services and agreed workplan for the Shared Secretariat have been largely implemented
9. Collaborate on shared resource mobilization and communication	fully achieved/ completed	With the RMCA Strategy and integrated operational structure with its GE&I Division, CGIAR has delivered above and beyond this action
10. Develop a 2030 Plan	fully achieved/ completed	One CGIAR, 2030 Strategy go well beyond the 2030 Plan envisaged

(ii) Overview of the 2022—24 Transition Plan: The Plan at a glance



The 2022—24 Transition Plan sets out a confidently paced, but carefully sequenced transition process, with key milestones across research & innovation delivery, global engagement and resource mobilization, and institutional integration with an aim to rapidly realize the full benefits of unified and integrated governance, management and operations across CGIAR.

Assess, optimize, and plan ahead



(ii) Overview of the 2022—24 Transition Plan: Goals & Objectives (1/2)



The 2022—24 Plan sets out 3 forward-looking Goals and 8 Objectives...	<i>...which fully encompass and deliver the One CGIAR recommendations... (SRG recommendations as endorsed by the System Council in Nov 2019)</i>	<i>...building on 2019—21 achievements (Implementation Actions from the approved 2019—21 Business Plan)</i>
GOAL 1: Higher impact – delivered faster, at larger scale	See Annexes I—II for progress reports on the implementation of the 2019—21 Business Plan and One CGIAR recommendations	
Objective 1.1: Ensuring excellence in research and innovation delivery across CGIAR Initiatives and the non-pooled portfolio	1. A Compelling Mission for One CGIAR 4. A New Research Modality	1. Implement and enhance the portfolio of CRPs and Platforms
Objective 1.2: Rolling out an upgraded performance and results management framework	1. A Compelling Mission for One CGIAR 4. A New Research Modality	3. Strengthen program performance management
GOAL 2: Stronger partnerships for higher impact and more funding		
Objective 2.1: Delivering concerted resource mobilization, communications, partnership and advocacy	3.c. One CGIAR at the Country and Regional Level 5. More, and Pooled, Funding	2. Create Financial Sustainability and Growth in CGIAR 6. Enhance collaboration with delivery partners 9. Strengthen collective resource mobilization and communication efforts
Objective 2.2: Unified presence and engagement at the country and regional levels	3.c. One CGIAR at the Country and Regional Level	6. Enhance collaboration with delivery partners

(ii) Overview of the 2022—24 Transition Plan: Goals & Objectives (2/2)



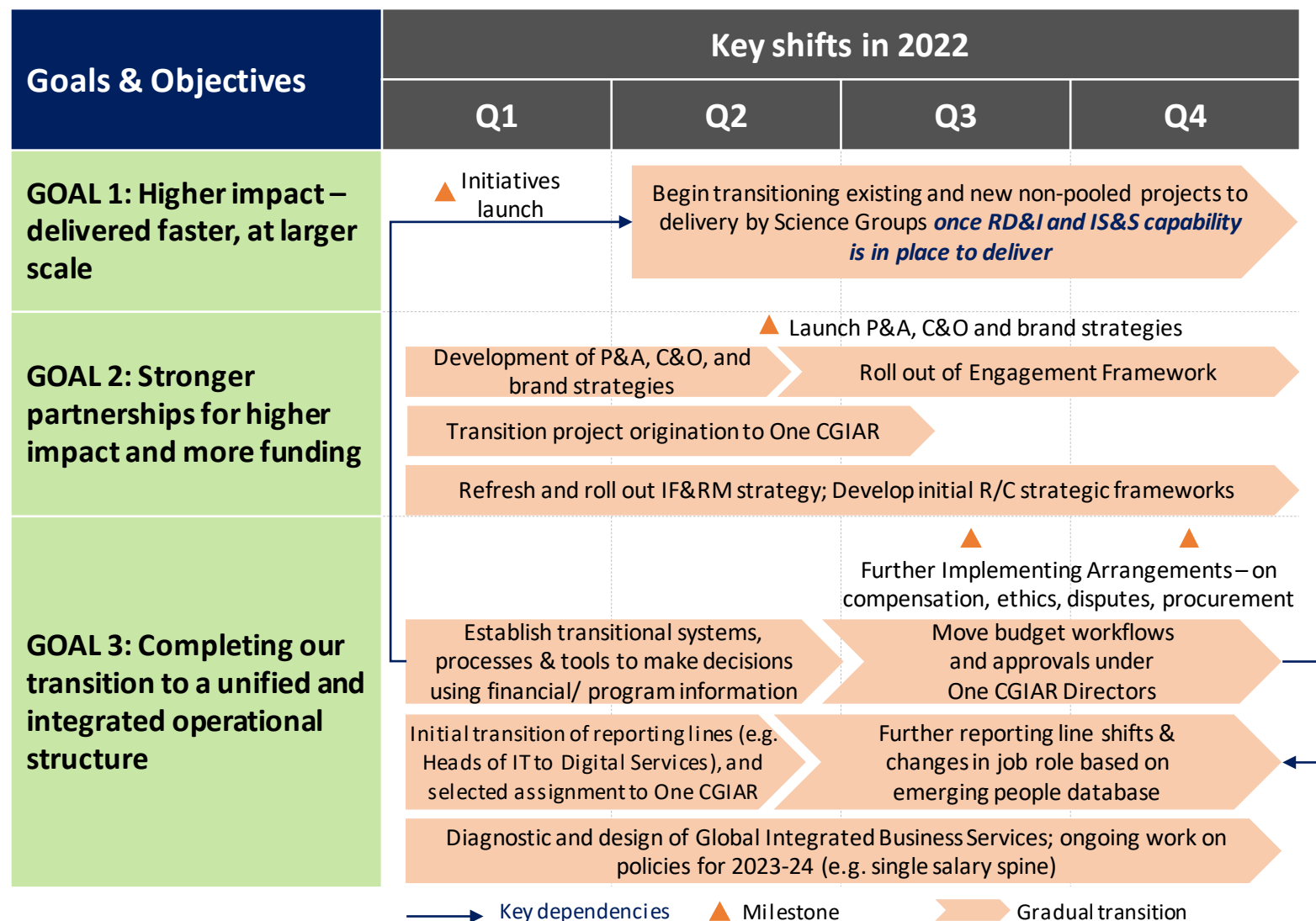
The 2022—24 Plan sets out 3 forward-looking Goals and 8 Objectives...	...which fully encompass and deliver the <i>One CGIAR</i> recommendations... (SRG recommendations as endorsed by the System Council in Nov 2019)	...building on 2019—21 achievements (Implementation Actions from the approved 2019—21 Business Plan)
GOAL 3: Completing our transition to a unified and integrated operational structure		See Annexes I—II for progress reports on the implementation of the 2019—21 Business Plan and One CGIAR recommendations
Objective 3.1: Advancing and evolving CGIAR's unified governance and systems	<i>Recommendation 2: Unified Governance</i>	7. Align and enhance assurance systems 8. Align high-quality independent advisory services into System-level decision-making
Objective 3.2: Integrating our people and culture	<i>Recommendation 3.a: An Integrated Operational Structure</i> <i>Recommendation 3.b: One CGIAR Policies and Services</i>	4. Improve people management
Objective 3.3: Finance and funding for greater efficiency and effectiveness	<i>Recommendation 3.a: An Integrated Operational Structure</i> <i>Recommendation 3.b: One CGIAR Policies and Services</i> <i>Recommendation 5: More, and Pooled, Funding</i>	
Objective 3.4: Towards global integrated policies, systems, and business services	<i>Recommendation 3.b: One CGIAR Policies and Services</i>	5. Pursue new cross-Center alliances

(ii) Overview of the 2022—24 Transition Plan: Focus on the 2022 transition year – approach



- **BUILD MOMENTUM:** Focus on the most powerful levers to put in place the integrated operational structure, such as authorizing environments, appointments, and portfolio transition
- **FOCUS ON BUSINESS CONTINUITY:** Ensure continuity and make changes only where necessary, working with what we have
- **GRADUAL PHASING:** Only shift to fully integrated operation of people, projects, assets once essential 'maturity' conditions have been met (e.g. authorizing environment) – but not necessarily waiting for all 'nice to have' preconditions to be realized
- **TEST AND ADAPT:** Take an adaptive management approach and evolve the plan in 2022 and onwards (see later page)

(ii) Overview of the 2022—24 Transition Plan: Focus on the 2022 transition year – sequencing



Areas with deep-dive on the following pages:

1 Portfolio transition


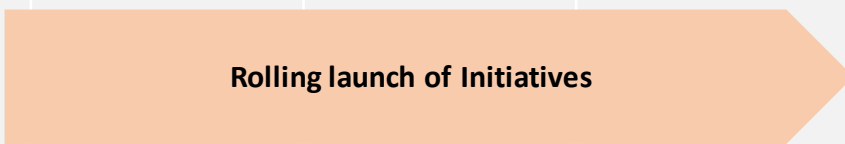
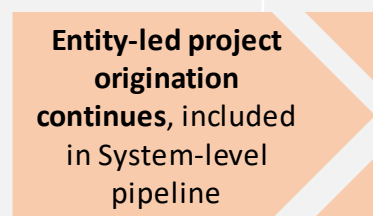
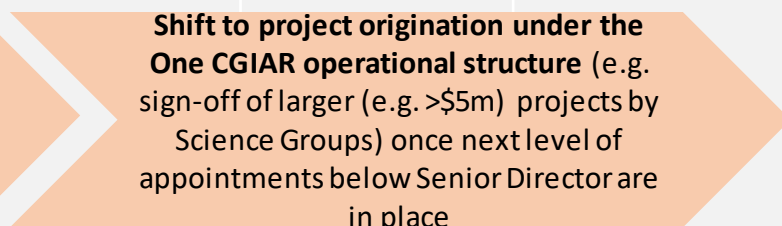
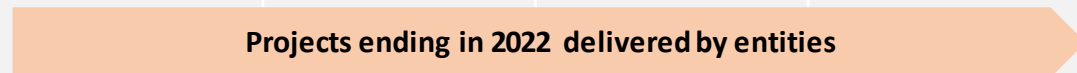
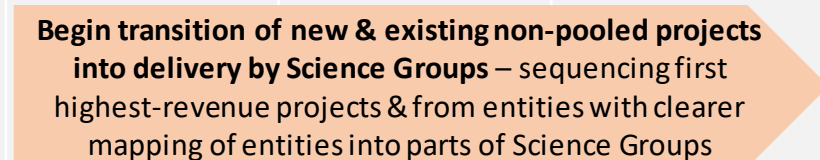
2 People integration

C&O = Communications & Outreach
 IF&RM = Innovative Finance & Resource Mobilization
 P&A = Partnerships & Advocacy

(ii) Overview of the 2022—24 Transition Plan: Focus on the 2022 transition year – (1) portfolio transition



The focus for 2022 is to establish work across the One CGIAR structure in the form of Initiatives, as well as a gradual transition of the non-pooled portfolio starting with largest, lowest-risk projects.

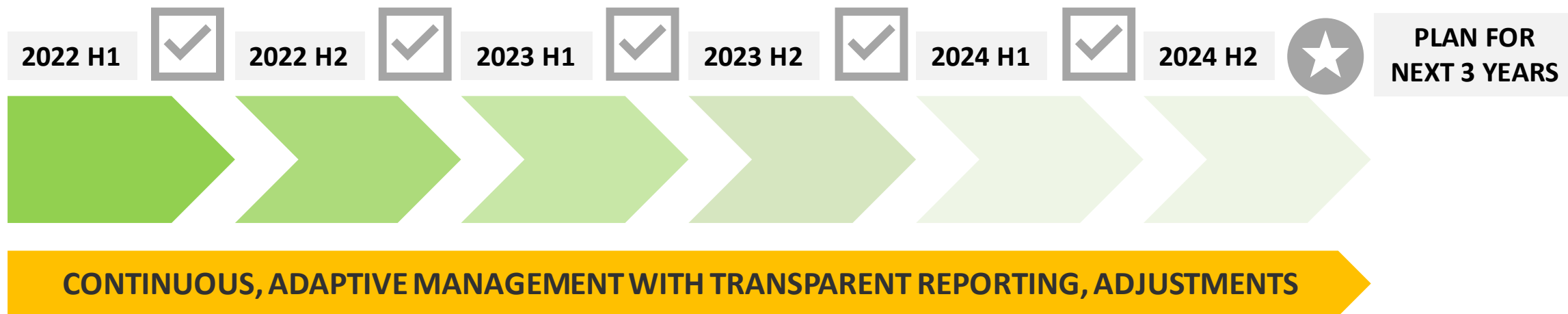
Portfolio transition	Key shifts in 2022				Assumptions & dependencies
	Q1	Q2	Q3	Q4	
Pooled Initiatives	 Stand up initial Initiative teams	 Rolling launch of Initiatives			Work completed before end-2021 to: <ul style="list-style-type: none"><input type="checkbox"/> Design Initiative scope and budgets<input type="checkbox"/> Stand up initial Initiative teams ready to deliver<input type="checkbox"/> Interim financial and program reporting systems ready for management decision-making<input type="checkbox"/> Pooled funding modalities finalized, approved
Non-pooled project origination	 Entity-led project origination continues, included in System-level pipeline	 Shift to project origination under the One CGIAR operational structure (e.g. sign-off of larger (e.g. >\$5m) projects by Science Groups) once next level of appointments below Senior Director are in place			<ul style="list-style-type: none"><input type="checkbox"/> Implementing Arrangement on project integration adopted by Q1 2022<input type="checkbox"/> Accountabilities for project origination decided and formalized by Q1 2022<input type="checkbox"/> Capacity available for pipeline review & management (e.g. Directors in Science Groups by Q2 2022)
Non-pooled project delivery	 Projects ending in 2022 delivered by entities			 Begin transition of new & existing non-pooled projects into delivery by Science Groups – sequencing first highest-revenue projects & from entities with clearer mapping of entities into parts of Science Groups	<ul style="list-style-type: none"><input type="checkbox"/> Implementing Arrangement on project integration adopted by Q1 2022<input type="checkbox"/> ‘Mapping’ of projects to Science Groups completed by H1 2022<input type="checkbox"/> Capacity available for science management and information/ systems (e.g. Directors in Science Groups, Financial Controller by Q2 2022)

(ii) Overview of the 2022—24 Transition Plan: Focus on the 2022 transition year – (2) people integration

Steps of People Integration	Key shifts in 2022				Assumptions & dependencies
	Q1	Q2	Q3	Q4	Pre-conditions & assumptions
2. Transitional shift in line manager/ supervision	Initial transitional reporting lines: Some staff will transition into One CGIAR via a change in the reporting lines of senior staff (e.g. Heads of IT to Digital Services), and selected assignment to One CGIAR		Further reporting line shifts & changes in job role based on emerging people database		<ul style="list-style-type: none">❑ Affiliation exercise completed & communicated❑ IA#1 on People Integration required for shift❑ Letters of assignment and other docs developed❑ Sufficient GD/ RD bandwidth to manage staff❑ Changes in systems required to capture new reporting lines and enable performance mgmt.
	Phase 3: Positions reporting to GD/RDs				<ul style="list-style-type: none">❑ Operating Structure for Phase 3 & 4 roles approved❑ Phase 3 position in role to hire Phase 4 roles❑ Sufficient internal (P&C) and external support to run the appointments process, and set standards on job levelling, titles, comp & ben, etc.❑ Digital platform for applications developed
3. Senior Appointments (Phase 3 & Phase 4)	Phase 4: Positions reporting to P3 roles are launched on a rolling basis once the P3 appointee in role				
4. Further Appointments and Team Building (Phase 5 and beyond)			Team-building: Phase 3 & 4 appointees create team structures and oversee the transition of affiliated colleagues to specific roles. based on a capability mapping and competitive advertising (where necessary)		<ul style="list-style-type: none">❑ Phase 3 & 4 positions in role to create team structures beneath them❑ Occurring in parallel with reporting line shifts, similar pre-conditions required❑ Communication with affiliated staff on team building-process for change management

(ii) Overview of the 2022—24 Transition Plan: Adaptive management over the 3-year period

- Drawing on lessons from the 2019—21 Business Plan period, the 2022—24 Transition Plan will be set out as an evolving management tool.
- The Executive Management Team will provide semi-annual updates on progress and risks to the System Board and System Council, including adjustments to the planned objectives and milestones, as required.
- As indicated below, a dashboard will be created to share up-to-date information on progress against KPIs, beyond the achievement of agreed milestones.



GOAL 1: Higher impact – delivered faster, at larger scale

Objective 1.1: Ensuring excellence in research and innovation delivery across CGIAR Initiatives and the non-pooled portfolio



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes (assumptions, risks, dependencies metrics of success)
<ul style="list-style-type: none">✓ 2030 Strategy approved✓ 2022—24 Investment Prospectus endorsed✓ Initiatives submitted to ISDC✓ Science Group leadership in place	<ul style="list-style-type: none">❑ 2022—24 Portfolio of Initiatives & Impact Area Platforms launched, delivered through Science Groups	<ul style="list-style-type: none">❑ Non-pooled portfolio transition to Science Groups completed	<ul style="list-style-type: none">❑ Plan for optimization of research facilities footprint initiated❑ 2025—27 portfolio of Initiatives designed	Assumes authorizing environment and teams are in place for a swift and responsible transition of research projects and facilities under Science Groups' leadership

Rolling launch of Initiatives over 2022—24

Relevant SRG recommendation(s):

1. A Compelling Mission for One CGIAR
4. A New Research Modality

Relevant reference documents:

- 2030 Research and Innovation Strategy
- 2022—24 Investment Prospectus
- CGIAR Performance and Results Management Framework

GOAL 1: Higher impact – delivered faster, at larger scale

Objective 1.2: Rolling out an upgraded performance and results management framework



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes (assumptions, risks, dependencies metrics of success)
<ul style="list-style-type: none">✓ 2030 Strategy approved✓ CGIAR Performance and Results Management Framework endorsed	<ul style="list-style-type: none">❑ Common performance mgmt. across all Initiatives (e.g. theory of change, scaling readiness, mgmt. information system) and large non-pooled projects rolled out	<ul style="list-style-type: none">❑ First cycle of reporting against Results Framework❑ First-ever CGIAR report on performance & results across whole portfolio of pooled and non-pooled work	<ul style="list-style-type: none">❑ Stage-gate evaluation of first set of Initiatives❑ 2025—27 portfolio of Initiatives designed, including improved performance mgmt.	Assumes authorizing environment and teams in place to enable unified systems, reporting and performance mgmt. for all pooled and non-pooled work

Relevant SRG recommendation(s):

1. A Compelling Mission for One CGIAR
4. A New Research Modality

Relevant reference documents:

- 2030 Research and Innovation Strategy
- 2022—24 Investment Prospectus
- CGIAR Performance and Results Management Framework

GOAL 2: Stronger partnerships for higher impact and more funding

Objective 2.1: Delivering concerted resource mobilization, communications, and partnership and advocacy (1/2)



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022 (Base setting)	2023 (Improving)	2024 (Consolidating)	Notes (assumptions, risks, dependencies metrics of success)
<ul style="list-style-type: none"> ✓ IF&RM, C&O, P&A leadership in place ✓ Pledges/ commitments to 1st CGIAR Initiatives ✓ First-ever CGIAR-wide pipeline & non-pooled funding outlook ✓ Developing transitional comms 	<ul style="list-style-type: none"> ❑ IF&RM, C&O, P&A coordination mechanisms in place ❑ Transition of non-pooled project origination completed ❑ Refresh and roll-out of IF&RM strategy (formerly “RMCA Strategy”) ❑ Brand and C&O strategy launched 	<ul style="list-style-type: none"> ❑ Fund & Replenishment /Mobilization strategy launched ❑ Full-cycle reporting on pipeline, grants and finance ❑ Build the brand with target global audiences ❑ C&O strategy evaluation and refresh 	<ul style="list-style-type: none"> ❑ Campaign for next business cycle financing launched ❑ Report impact of Research Initiatives to donors ❑ RM, P&A goals supported with strong C&O program including global events & campaigns 	<ul style="list-style-type: none"> • Leadership and teams must be in place • Appropriate governance must be in place • Efficient RM coordination and transparency

Relevant SRG recommendation(s):
5. More, and pooled, funding

Relevant reference documents:

- CGIAR RMCA Strategy
- CGIAR Engagement Framework

C&O = Communications & Outreach
IF&RM = Innovative Finance & Resource Mobilization
P&A = Partnerships & Advocacy

GOAL 2: Stronger partnerships for higher impact and more funding

Objective 2.1: Delivering concerted resource mobilization, communications, and partnership and advocacy (2/2)



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes (assumptions, risks, dependencies metrics of success)
✓ Developing CGIAR Engagement Framework (EF) Draft 1	<ul style="list-style-type: none"> ❑ 2022-2024 P&A strategy ❑ CGIAR Engagement Framework (KPIs) launched ❑ Guidelines for CGIAR's engagement in high-level policy fora ❑ Coordinated CGIAR participation in high-level fora ❑ Scoping and development of high-level, multi-stakeholder partnerships with non-traditional actors ❑ Structure CGIAR integrated Sust. Fin. and Accelerate for Impact Platforms 	<ul style="list-style-type: none"> ❑ System for harnessing intelligence for P&A ❑ Structure CGIAR portfolio of "positions" on contended issues ❑ CGIAR's portfolio of advocacy campaigns launched 	<ul style="list-style-type: none"> ❑ Complete 2025—27 P&A Strategy ❑ Three-year review of CGIAR's performance on P&A ❑ Set of recommendations to ensure robust alignment (demand, supply, feasibility) of CGIAR's 2025—2027 prospectus 	<p><u>Assumptions:</u></p> <ul style="list-style-type: none"> ❑ Sufficient staffing to deliver (noting limited number of staff initially affiliated) ❑ Sufficient budget for the P&A Global Group ❑ Sufficient support from Funders to ensure effective deployment of the EF ❑ Clear definition of roles and responsibilities ❑ Clear incentives across the structure for collaboration

Relevant SRG recommendation(s):

5. More, and pooled, funding

Relevant reference documents:

- CGIAR RMCA Strategy
- CGIAR Engagement Framework

GOAL 2: Stronger partnerships for higher impact and more funding

Objective 2.2: Unified presence and engagement at the Regions & Countries levels



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022 (Transition)	2023 (Test)	2024 (Improve)	Notes
<ul style="list-style-type: none"> ✓ GE&I leadership in place ✓ Initial round of regional dialogues, engagement on Initiatives ✓ R/C Strategic Framework concept under development (in alignment with Engagement Framework) 	<ul style="list-style-type: none"> ❑ Early-stage operating model and teams for R&C in place ❑ Teams reporting to Regional Engagement Leads operational ❑ All stakeholders engaged with as One CGIAR ❑ Initial versions of R/C strategic frameworks developed ❑ CGIAR's interim strategic footprint / operating presence determined 	<ul style="list-style-type: none"> ❑ All Country/ Cluster teams in place ❑ CGIAR long-run strategic footprint/ operating roadmap for each region defined ❑ Refined versions of Country strategic frameworks developed ❑ Long-term engagement strategies in the region developed ❑ Building of shared Ag. R&D agenda with R&C stakeholders 	<ul style="list-style-type: none"> ❑ Support the development of the 2025—27 portfolio ❑ Assessment of Op. Model improvement potential to drive effectiveness and efficiency ❑ Assessment and right-sizing of footprint and strategic investments 	Interim ways of working to be established for 2022 to ensure alignment with RD&I on Initiatives, development of P&A, C&O and IF&RM regional strategy

Relevant SRG recommendation(s):

3.c. One CGIAR at the Country and Regional Level

Relevant reference documents:

- CGIAR Resource Mobilization, Communications, and Advocacy Strategy
- CGIAR Engagement Framework
- R&C Frameworks

GOAL 3: Completing our transition to a unified and integrated operational structure

Objective 3.1: Advancing and evolving CGIAR's unified governance and systems



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes
<ul style="list-style-type: none"> ✓ Unified governance adopted (including same 8 System Board members as members on 11 Center/ Alliance Boards) ✓ Common 'Audit, Finance and Risk Committee' established ✓ Internal Audit planning moving to whole of CGIAR planning basis ✓ Code of conduct for Governance Officials in place ✓ Entity-specific ethics hotlines operational 	<ul style="list-style-type: none"> ❑ Unified governance matured through common rules, single secretariat ❑ Governance oversight of research and innovation model established on a fit-for-purpose basis ❑ One CGIAR Internal Governance Framework designed and adopted (with associated policies, tools) ❑ Suite of 'CGIAR' Ethics and Business Conduct policies and trainings being used ❑ Refreshed 'CGIAR risk appetite statement'; policy ❑ Single CGIAR Internal Audit function; and assurance oversight refreshed 	<ul style="list-style-type: none"> ❑ Unified governance further streamlined (membership matters) ❑ Holistic mapping of all sources of assurance provided to System Board and System Council ❑ Single investigation function & independent dispute resolution mechanism established ❑ Embed further the risk process and continue to strengthen risk culture ❑ Comprehensive annual external reporting on CGIAR ethics and business conduct 	<ul style="list-style-type: none"> ❑ Integrated risk-based assurance planning and delivery (covering audit, evaluation, ethics, business conduct; mature management structures to deliver 'second line' assurance) ❑ First annual statement of assurance for all CGIAR ❑ Continuous risk management improvement program ❑ CGIAR acceptance into Ethics Network of Multilateral Organizations (ENMO) 	<p>Dependencies:</p> <ul style="list-style-type: none"> • Center/Alliance Board approval of key internal legal instruments • Authorizing environment formalized through 'Operational Directives' to ensure unified decision making • Staff are empowered to increase maturity of systems and practices through a tone-at-the-top culture • ICT capability enhanced to provide mature tools for risk, ethics and governance

Relevant SRG recommendation(s):

2. Unified governance; 3b. One CGIAR Policies and Services

Relevant reference documents:

- Unified Governance check-list; Legal realization of One CGIAR Roadmap

GOAL 3: Completing our transition to a unified and integrated operational structure

Objective 3.2: Integrating our people and culture



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes
<ul style="list-style-type: none"> ✓ Senior Leadership Team in place, incl. Global Director of People & Culture ✓ One CGIAR Group structure delineated to first three levels (senior posts), and ready to begin rolling recruitment. ✓ Initial staff affiliations to Group structure completed. ✓ Guidance Notes (with more in development) on people-related elements of the transition ✓ One Culture technical review completed. ✓ New multi-year GDI Action Plan in development. 	<ul style="list-style-type: none"> ❑ People integration to One CGIAR Structure supported by reporting line changes, workforce planning and strong internal communications ❑ Phase 1: Transitional HR delivery model and key process scoped and implemented. ❑ Phase 1: common policies (e.g., recruitment, safeguarding, contracts, separation, wellbeing) developed & implementation begins. ❑ Phase 1: common job classification, compensation & benefits (C&B) and performance model and policies ready for implementation. ❑ One CGIAR GDI & Culture multi-year action plans begin implementation. ❑ Early internal grievance system in place. ❑ P&C strategy, KPIs and metrics developed. ❑ Phase 1: People data system & dashboards as precursor to One CGIAR HCMS. 	<ul style="list-style-type: none"> ❑ Phase 2: HR delivery begins transition to shared services. ❑ Phase 2: remaining key common policies (e.g., development, career pathing, performance, C&B) developed & early implementation ❑ Phase 2: common job classification compensation & benefits (C&B) performance model and policies begins implementation. ❑ One CGIAR GDI & Culture multi-year action plans continue ❑ Common internal grievance system in place. ❑ Phase 1: Common talent development programs ❑ Phase 2: P&C KPIs, metrics, and people data tracked and reported. ❑ Phase 2: One CGIAR HCMS implementation modules completed. 	<ul style="list-style-type: none"> ❑ Phase 3: HR delivery fully transitioned to shared services model. ❑ Phase 3: Entities operate under common P&C policies and processes ❑ Phase 3: transition to common compensation & benefits (C&B) nearing completion ❑ One CGIAR GDI & Culture multi-year action plans report on impact ❑ Phase 2: Common career pathing model launched ❑ Phase 3: P&C KPIs, metrics and people data available on corporate dashboard ❑ Phase 3: One CGIAR HCMS refined based on lessons learned. 	<p><i>Dependencies:</i> <i>Assumes:</i> (a) authorizing environment ; (b) local labor law analysis swiftly provides necessary guidance for common policy development and implementation; (c) strong internal change communication</p> <p><i>Metrics of success:</i> Staff engagement, turnover, P&C metrics and targets, pulse survey responses</p>

Relevant SRG recommendation(s):

Recommendation 3.a: An Integrated Operational Structure; Recommendation 3.b: One CGIAR Policies and Services

GOAL 3: Completing our transition to a unified and integrated operational structure

Objective 3.3: Funding and finance for greater efficiency and effectiveness



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes
<ul style="list-style-type: none"> ✓ High level 2022 budget ✓ 2022—24 FINPLAN ✓ Pooled funding modalities in place ✓ Global Director of Business Operations & Finance ✓ Finalizing the Flow of Funds and Flow of Approvals, enabling financing and expenditure of Initiatives across Entities 	<ul style="list-style-type: none"> ❑ Detailed 2022 budget, forecasted in Q2 ❑ BOF strategy and targets on efficiency drive ❑ Director and senior management team to support efficiency drive ❑ Transitional financial systems for transparency and reporting ❑ Consolidated core finance policies and procedures 	<ul style="list-style-type: none"> ❑ 2023 Detailed Budget with quarterly forecasting ❑ All core finance policies and procedures consolidated ❑ Optimized asset use through streamlining facility use and enhanced value for money 	<ul style="list-style-type: none"> ❑ 2023 Detailed Budget with quarterly forecasting ❑ Three-year budget for 2025—27 Portfolio of Initiatives ❑ Fully Integrated One CGIAR system for Finance/HR/MEL—define requirements minimally disruptive approach 	<ul style="list-style-type: none"> ❑ Assumes 2022 budget approval by System Board ❑ Assumes approval and authorizing environment for proposed flow of funds ❑ Metrics of success: Reduction of overhead rate by a minimum of 6% by 2024

Relevant SRG recommendation(s):

Recommendation 3.a: An Integrated Operational Structure; Recommendation 3.b: One CGIAR Policies and Services; Recommendation 5: More, and Pooled, Funding

Relevant reference documents:

2022—24 FINPLAN

GOAL 3: Completing our transition to a unified and integrated operational structure

Objective 3.4: Towards global integrated policies, systems, and business services



KEY MILESTONES OVER THE TRANSITION PLAN PERIOD

WE ARE HERE	2022	2023	2024	Notes (assumptions, risks, dependencies metrics of success)
<ul style="list-style-type: none"> ✓ OneCGIAR 'Policy approach' established (Frameworks, Policies, Procedures, Tools definitions and outlines) ✓ Internal Audit engagement underway to take stock of key gaps, best practices, and lessons learned ✓ Communities of Practice with deep subject matter expertise (including where there are local law requirements) ✓ Approved OneCGIAR integrated operational structure an enabler of transformative change for efficiency and effectiveness 	<ul style="list-style-type: none"> ❑ Global IS&S leadership teams are formed & resourced as key stewards of the move to integrated global policies and services ❑ Global integrated business services diagnostics, design and scope completed (people, process and technology) ❑ Digital Strategy in place ❑ Impact Delivery Enabling Digital Services & Systems are identified and designed ❑ Integrated Data and Business Intelligence services launched ❑ Digital Innovation Accelerator Hub Pilot ❑ Cyber Security posture improved 	<ul style="list-style-type: none"> ❑ Phased implementation, integration and adoption of Best of Breed systems ❑ Operational and digital excellence framework established ❑ Business intelligence & Performance Management capabilities matured ❑ Digital research and Data product and platforms development and support model ❑ Digital and data governance models ❑ Security resilience program in place 	<p>Digital and data empowered organization through:</p> <ul style="list-style-type: none"> ❑ Continuous prioritization, implementation, integration, and improvement of services, systems & capabilities ❑ Maturity of operating model of Global DS team (strategic contributor and center of excellence) ❑ Digital resilience ❑ Scalable Innovative Digital Research and Data Science products and platforms (Modeling, Breeding systems, big data analytics) ❑ Strategic data analytics & Digital communication 	<p>Maintaining Integrity/quality of data and stability of business operation systems.</p> <p>Strong internal ownership and accountability (global IS&S directors), performance management, and effective governance.</p> <p>Resources and investments (in building global team capacities, new systems, hiring implementing partners and more)</p> <p>Build on and scale existing successful models, systems, processes across CGIAR while bringing new best practices.</p>

Relevant SRG recommendation(s):
Recommendation 3.b: One CGIAR Policies and Services

Relevant reference documents: 2030 Research and Innovation Strategy (Ways of working 7: Make the digital revolution central to our way of working)

(iii) Managing risk



CGIAR Transition Plan
Objectives

Manage risks to Transition
Plan objectives

1

Place the Transition Plan goals & objectives at the center of the risk management process while in transition

Ensure that risks are:

- Identified keeping the 2022—24 Transition Plan objectives in mind
- Prioritized and managed in relation to their potential effect on objectives

By reviewing and adjusting as needed the existing One CGIAR transition risk register and process

2

Integrate the CGIAR risk management process with the Transition Plan review cycle

Ensure that risks to the Transition Plan objectives are:

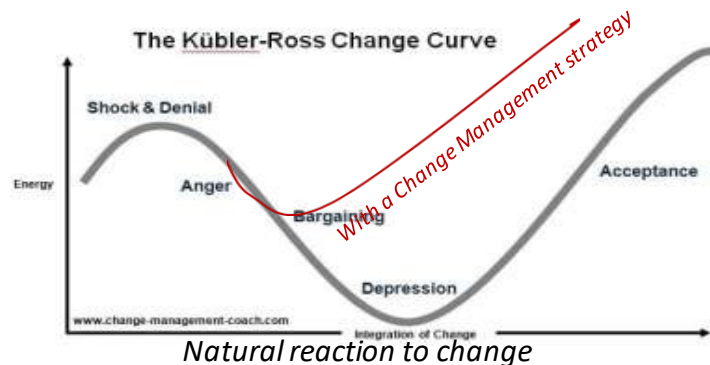
- Discussed and actioned as part of the Transition Plan review cycle rather than in isolation, and
- Where available, utilize information on metrics of success to assess risk moving forward and adjust mitigations planned

(iv) Managing change (1/3)

Our approach is tailored to the unique nature of this transition

Our change management approach acknowledges both the natural emotional reaction to change, and the critical role of CGIAR's people

Key elements to consider



To what extent does success depend on people adopting and sustaining new ways of working?



Change Management goals

- Limit the natural drop in morale and performance during the change process
- Support faster adoption of the change
- Enable change to 'stick'

Approach

- Tailored to CGIAR culture, embracing diversity & inclusion
- Respectful of the individual pace of change
- Continuous feedback and improvement

Success factors

Employee inclusion in the change process

Systematic approach to change management

Compelling vision to engage people

Integration with Transition plan

Regular Monitoring and adjustment

(iv) Managing change (2/3)

A systematic approach to address the **people dimension** of change

Drawing best practice in change management, our approach seeks to address people engagement and adoption at organizational, group, and individual levels. This entails integrating the people dimension of change in our transition workplans along with continuous close support to colleagues through a network of change champions.

Empower the organization to sustain the change

Engage the organization on the change journey

Create the desire to embrace the change journey

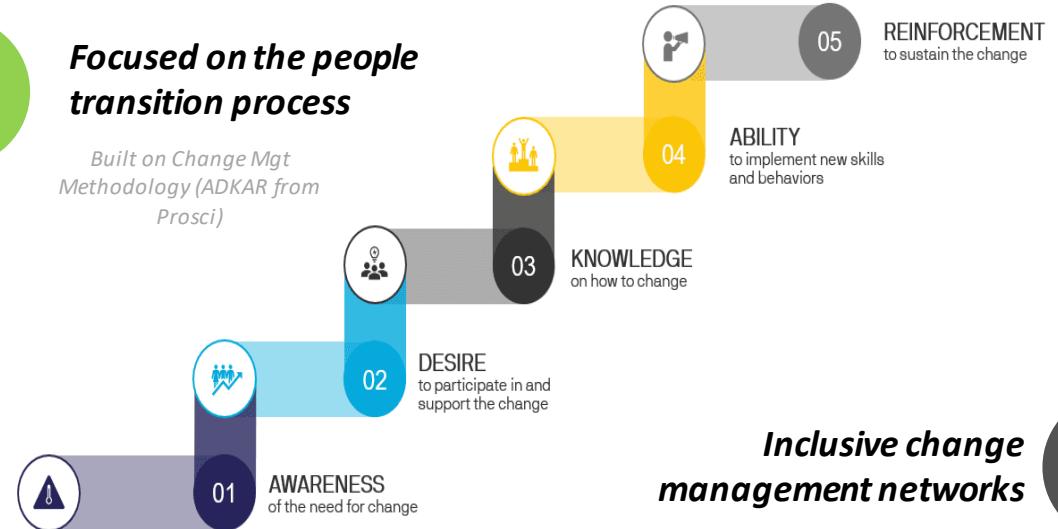
1

Over the transition journey

2

Focused on the people transition process

Built on Change Mgt Methodology (ADKAR from Prosci)



Inclusive change management networks

4

3

Integrated into People & Culture, project mgmt.

(iv) Managing change (3/3)

High-level change management plan

In addition to the integration of change management across in detailed workplans, a high-level change management plan guides and structures the cross-cutting activities required to build and sustain a positive change momentum

Key success factors

From 2021 to 2022

From 2022 to 2023

Employee inclusion in the change process

Initiate and empower Change Management Network: CMTT

Cascade CM Champions/ agents over the entire organization

Systematic approach to change management

Communication – Engagement – Enforcement
Supported by change impact analysis all through major phases
Feedback process (All employee meetings, townhalls, ...)

Compelling vision to engage people

From vision to what “Success” looks like

Celebrating early wins

Realizing change benefits

Integration with Transition plan

Change Management included in each PM plans and leadership Workplans

Regular Monitoring and adjustment

Constant ad-hoc feedbacks loop with Change management Network

Survey

Survey

Survey

We are here

Building on 2021 achievements:

- Regular cadence of change communications and engagement (all-staff webinars, newsletters, FAQs)
- Change Management Task Team launched
- First CGIAR-wide Pulse Survey and strengthened feedback mechanisms
- Affiliation process:
 - Focused and impact centric communication
 - P&C focal point enablement
 - Virtual full day “Face to Face open feedback” session

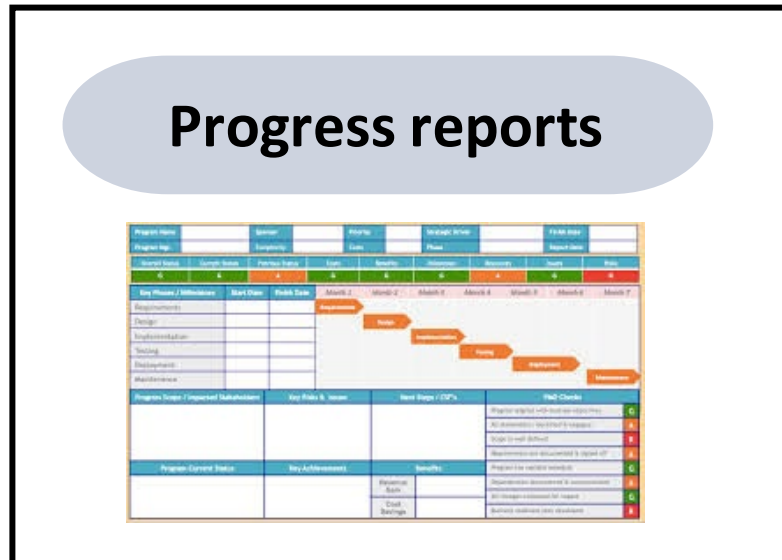
Immediate next steps in 2022:

- Strengthen the coalition of change management champions across the organization
- Empower leaders and champions to engage with and support CGIAR’s people
- Launch a one-stop-shop repository of resources to support leaders and champions

(iv) Realizing, monitoring, and reporting on the benefits of unified and integrated governance, management and operations

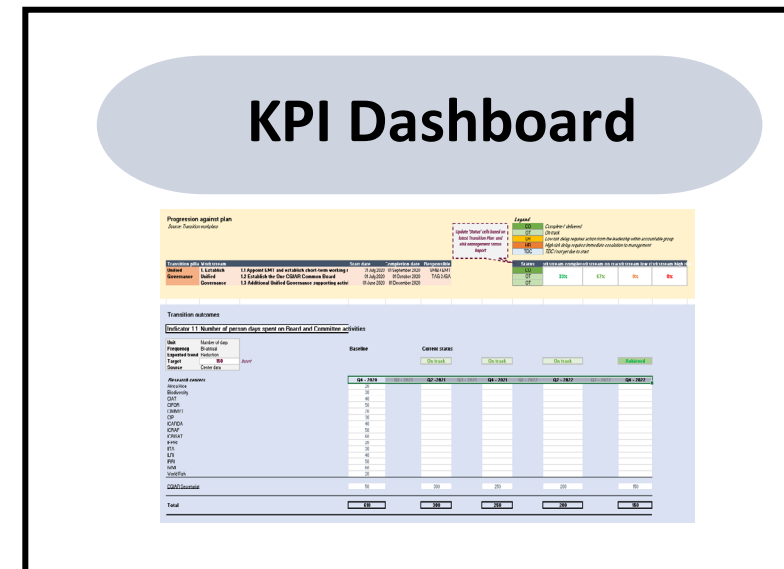
A transition dashboard will enable continuous monitoring of progress towards agreed milestones as well broader organizational improvements in line with the value proposition set out for the One CGIAR recommendations:

Transition project monitoring



Transition project monitoring provides clarity on our ability to address the change

Benefits realization

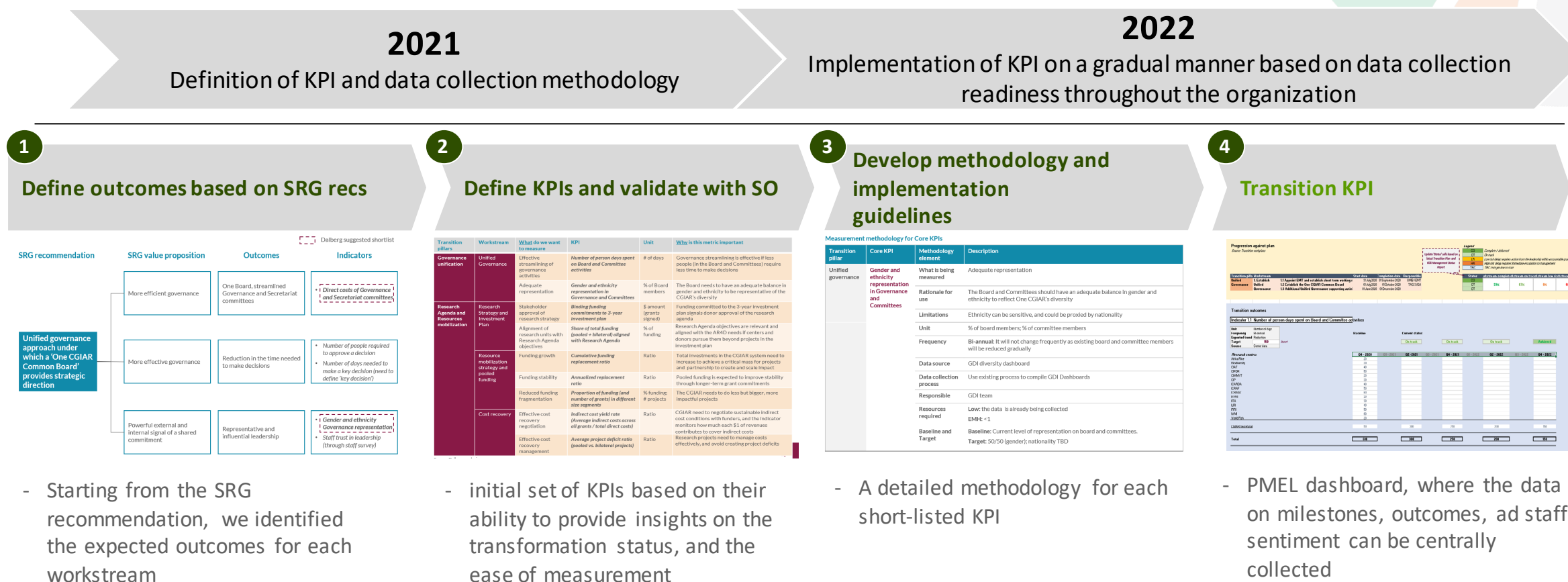


Transition KPI based on SRG recs highlights attained benefits aligned to workstream implementation

(iv) Realizing, monitoring, and reporting on the benefits of unified and integrated governance, management and operations



KPI dashboard implementation plan.



List of reference documents

- [CGIAR Business Plan 2019—2021](#)
- [Recommendations for One CGIAR](#)
- [2030 Research and Innovation Strategy](#)
- [CGIAR Performance and Results Management Framework](#)
- [2022—24 Investment Prospectus](#)
- [CGIAR Resource Mobilization, Communications and Advocacy Strategy](#)
- [Integrated operational structure for One CGIAR](#)
- [Framework for Gender, Diversity and Inclusion in CGIAR's Workplaces](#)
- [Action Plan for Gender, Diversity and Inclusion in CGIAR's Workplaces](#)
- [CGIAR Ethics Framework](#)

ANNEX I: Progress Report on the 2019—21 Business Plan

- The 2019—21 Business Plan sets out ten “Implementation Actions”, including a mix of “substantial changes, better ‘housekeeping’, and starting work on a 2030 Plan that will address deeper-seated challenges”.
- The Business Plan was deliberately designed for “a diverse partnership rather than a singular corporation”, therefore focusing on decisions and actions at the collective level, without an intention to replace or supersede entity-specific strategies or plans.
- As the 2019—21 Plan comes to a close, CGIAR has made solid progress across the ten actions, as presented in the slides below.
- In many respects, however, the 2019—21 Plan has been overtaken by the much more ambitious speed and scope of change set out in the One CGIAR recommendations, which were endorsed only a year into the Business Plan period.

ANNEX I: Progress Report on the 2019—21 Business Plan

Self-assessment of progress against Implementation Actions



2019—21 Business Plan Actions		Status	Notes
ACTION 1:	Implement and enhance the portfolio of CRPs and Platforms		As of November 2021, the 2017—21 portfolio of CGIAR Research Programs (CRP) and Platforms are on track to completion by end-2021, with a final Annual Performance Report to be issued in mid-2022. A new portfolio of CGIAR Initiatives was set to launch in January 2022.
1.1	Successfully implement the CGIAR portfolio over the business plan period		As above.
1.2	Elevate new Gender Equality to a new CGIAR Research Platform		The CGIAR GENDER Platform was launched in January 2020 and is a key Impact Area Platform in the new 2022-2024 Portfolio.
1.3	Deepen the portfolio through new thematic strategies and initiatives		<u>Not relevant.</u> Rather than deepen the 2017—21 portfolio, CGIAR has focused on developing the 2022—24 Portfolio of CGIAR Initiatives consistent with the 2030 Research and Innovation Strategy.
ACTION 2:	Create Financial Sustainability and Growth in CGIAR		The 2019—21 actions have largely been implemented, with CGIAR raising its ambition on funding and financing in line with the One CGIAR recommendations and the Resource Mobilization, Communications, and Advocacy Strategy.
2.1	Agree ambitious targets for funding volume and quality		Targets set in 2019—21 Business Plan.
2.2	Implement the 2019-2021 FINPLAN		On track for a successfully implement the 2019-2021 FINPLAN. Funder indications in line with the FINPLAN have broadly been contributed. Planned expenditure is on track with an underspend of less than 10% of the 2021 budget expected, at the end of the funding period.
2.3	Meet minimum overhead costs		Achieved.
2.4	Extend reconciliation of System Council Funder seating to end-2020		<u>Reprioritized.</u> Moving into the 2022 calendar year, pending approval of the pooled funding modalities for the 2022—24 portfolio of CGIAR Initiatives and Platforms.

ANNEX I: Progress Report on the 2019—21 Business Plan

Self-assessment of progress against Implementation Actions



2019—21 Business Plan Actions		Status	Notes
ACTION 3:	Strengthen program performance management		Fully achieved with significant improvements on annual Performance Reporting, data accessibility and quality assurance, dashboard access, and IATI compliance.
3.1	Implement a 12-Point Program Performance Management Framework		Fully achieved. All headline items completed including quality, timely annual performance reporting with quality-assessed data accessible through a dashboard.
3.2	Implement Program Performance Management Standards for 2019		Fully achieved. The Program Performance Management Standards Pilot Assessment fed into the development of the SC-approved Performance and Results Management Framework.
ACTION 4:	Improve people management		This action has been largely completed or superseded by the One CGIAR transition.
4.1	Develop a CGIAR People Management Strategy		<u>Reprioritized for 2022-2024</u> , A One CGIAR People Management Strategy is now in development, as part of the broader people integration process and transition to One CGIAR policies and services.
4.2	Reinforce and strengthen our shared ethical frameworks and practices		Good progress, with some reprioritization into 2022. The CGIAR Ethics Framework was endorsed in October 2019, a Code of Conduct for Governance Officials in 2020, and CGIAR appointed its Director of Ethics and Business Conduct in mid-2021 to steward further enhancements. There is periodic reporting to the System Board and System Council committees, and considerable focus by the Director on supporting leadership in setting the tone of at the top. Moving into 2022-2024, the adoption of common policies will be further coordinated in line with 5.2 below.
4.3	Design and implement a 'Gender, Diversity and Inclusion Framework'		CGIAR's GDI Function and 2020—21 Action Plan were launched in January 2020 and have been successfully implemented.

ANNEX I: Progress Report on the 2019—21 Business Plan

Self-assessment of progress against Implementation Actions



2019—21 Business Plan Actions		Status	Notes
ACTION 5:	Pursue new cross-Center alliances		Notwithstanding progress early in the Business Plan cycle, this action has largely been overtaken by the One CGIAR transition, with unified governance and institutional integration across all of CGIAR, rather than bilateral alliances.
5.1	Attract additional funding in support of Center alliances		Additional funding was secured and provided in 2019 in support of the Bioversity-CIAT and CIFOR-ICRAF alliance initiatives.
5.2	Explore priority shared services opportunities between Centers		Consistent with One CGIAR Recommendation 3.b, CGIAR is pursuing a comprehensive transition to whole of CGIAR policies, procedures, systems, and services under an integrated operational structure.

ANNEX I: Progress Report on the 2019—21 Business Plan

Self-assessment of progress against Implementation Actions



2019—21 Business Plan Actions		Status	Notes
ACTION 6:	Enhance collaboration with delivery partners		<u>Largely not relevant</u> in light of OneCGIAR
6.1	Implement a new country collaboration strategy		These sub-actions actions have been largely overtaken by the June 2020 Resource Mobilization, Communications, and Advocacy Strategy; the OneCGIAR integrated operational structure design with dedicated Global Groups for Partnerships and Advocacy and Innovative Finance and Resource Mobilization, as well as the six Regional Groups; and the emerging work on unified country and regional engagement in line with SRG Recommendation 3.c.
6.2	Deepen private sector collaboration		
6.3	Establish new Multilateral Development Bank cooperation platforms		
6.4	Set up a CGIAR Rome hub		This is completed, with a more integrated cross-CGIAR presence in Rome, including several members of the newly-formed Senior Leadership Team.
ACTION 7:	Align and enhance assurance systems		Good progress made, with significant opportunities arising from the move to operating as OneCGIAR
7.1	Increase coordination and information sharing between assurance providers		Common CGIAR Audit, Finance & Risk Committee ('AFRC') took up role on 1 June 2021, with a strong emphasis on common approaches in key assurance areas and providing a significant opportunity for increased visibility of internal controls and the relative strengths of them under the current structure. Cross-participation between Board and Council's audit/assurance committees throughout 2019-21 period.
7.2	Evolve our risk management maturity		Risk maturity self-assessments and common approach strengthened through work of Risk Community of Practice.
7.3	Evolve capacity to increase the value of internal audit		Progress of implementation of actions arising from external quality assessment of CGIAR's internal audit arrangements. Strong progress towards combined internal audit planning approach to reduce duplication, with a redesign of
7.4	Harmonize cross-System internal controls frameworks for shared risks		<u>Reprioritized to 2022</u> . With introduction of common AFRC, a more holistic internal governance framework is now targeted for One CGIAR, to include internal control design/monitoring and risk-based approach.

ANNEX I: Progress Report on the 2019—21 Business Plan

Self-assessment of progress against Implementation Actions



2019—21 Business Plan Actions		Status	Notes
ACTION 8:	Align high-quality independent advisory services into System-level decision-making		The System Council decision on advisory services and agreed workplan for the Shared Secretariat have been largely implemented
8.1	Implement System Council decision on advisory services		As above.
8.2	Implement Council-agreed workplan of the Advisory Services Shared Secretariat		As above.
ACTION 9:	Collaborate on shared resource mobilization and communication		With the June 2020 Resource Mobilization, Communications, and Advocacy Strategy and the creation of an integrated operational structure with its Global Engagement & Innovation Division, CGIAR has delivered above and beyond this action.
9.1	Develop and implement a System-wide marketing and communications strategy		As above.
9.2	Implement a System-wide resource mobilization action plan		As above.
ACTION 10:	Prepare a longer-term plan		The One CGIAR recommendations and the subsequent 2030 Research and Innovation Strategy supersede the need to develop a stand-alone 2030 Plan.
10.1	Develop a 2030 Plan		As above.

ANNEX II: Progress Report on One CGIAR

- The CGIAR System Council, at its 9th meeting in November 2019, endorsed the CGIAR System Reference Group's (SRG) five interconnected recommendations for a unified and integrated 'One CGIAR'.
- The One CGIAR recommendations were endorsed with target dates that reflected the urgency of the changes required in view of the escalating climate crisis and the narrowing window of opportunity to achieve the Sustainable Development Goals.
- The slides below provides an assessment of progress towards the five recommendations and their associated target dates as of November 2021.

ANNEX II: Progress Report on One CGIAR

Progress against 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 1: 2030 Research Strategy developed, approved	SC approval by end-2020														Completed	The 2030 Research and Innovation Strategy was approved by the System Council (SC) at its 11 th meeting in December 2020.
Recommendation 1: 2022—24 Investment Plan developed, approved	SC approval by Q2 2021														Completed	The 2022—24 Inv. Prospectus was approved by the System Board (SB) at its 20 th meeting on 18 May and endorsed by the SC on 9—10 June.
Recommendation 1: Initial set of CGIAR Projects developed, approved	SC approval by Q4 2021														In progress, on track for target date	Consistent with 2022—24 Inv. Prospectus, the first 19 Initiatives were submitted to the ISDC for independent expert review on 30 September 2021.
Recommendation 2: SB members appointed to Center/Alliance Boards, as a minimum 2/3 voting majority	Effective from 1 Oct 2020														In progress	Appointments completed for 11 Center/Alliance Boards. The System Council has agreed that the door will remain open until the door is closed. The progress report will be 'completed' at the end of the whether or not the two remaining operational bodies join.
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.

completed
 in progress, on track for target date
 in progress, requires attention
 to start later

ANNEX II: Progress Report on One CGIAR

Progress against 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 SB with proposed 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, requires attention	Phased process underway to fill key managerial roles in the new structure; and carry out detailed design and diagnostics to pave the way for common policies and global integrated business services.
Recommendation 3.b: Priority policies and services build and implementation	in 2021—22														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.

ANNEX II: Progress Report on One CGIAR

Progress against 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, requires attention	Initial partner engagement is underway through regional dialogues and consultations on CGIAR Initiatives.
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 period is underway building on the strategy developed by TAG7 and the RMCA working group.
Recommendation 5: 70% pooled funding achieved	by end of 2022–2024 period														to start later	