Fund Council

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WORKING DOCUMENT

CGIAR Consortium report to FC11
May 2014

Submitted by:
Consortium Office

CGIAR Consortium report to FC11, May 2014

April 18, 2014

Summary

This update on the activities of the CGIAR Consortium to the May 2014 meeting of the CGIAR Fund Council reports on progress made since the last FC meeting in November 2013. The report, following this summary, is in three sections:

1. A bullet-form overview of activities and outputs during the October 2013 to March 2014 period;
2. An additional 2014 budget request for additional work on the Gender and Diversity (in the workplace) Strategy and the revitalization of the SRF (additional work on the SRF Update); and
3. Scorecards that provide an assessment of the 2013 Consortium Office performance, compared with the 2013 Program of Work, in terms of outcomes (Table 1) and outputs (Table 2).

The focus of much our work in the past 6 months has been on the preparation for the CRP 2nd Call – through the SRF management Update; the Guidance CRP 2nd Call Document; the IEA Review of CRP Governance and Management; and the Mid-Term Review of the Reform.

In October/November we had asked both the CB and the FC to get more involved in the preparation of the SRF Management Update and Guidance documents, and as a result we had a meeting, initially of the CB Science, Program and Partnership Committee (SPPC), hosted by the new SPPC Chair Martin Kropff at Wageningen University (on Feb 7-8), but in which eventually a large number of FC representatives participated. This was an excellent meeting to increase the engagement of both the CB and FC in these important processes (meeting summary has been shared). As a result of this meeting we are planning additional work – an assessment of "what it will take to achieve the SLOs", independent of the current CRP portfolio. The Consortium's new Chief Science Officer, Wayne Powell, is preparing and will lead that work (but will need some additional budget). The way forward on these documents is proposed as follows:

1. <u>The FC approves the 2014 SRF Management Update at FC11</u>, following CB approval of the same at CB15 – including an overview of the additional work to be undertaken in 2014, to arrive at the 2015 SRF management Update (late in 2014) that incorporates the conclusions and recommendations of the MTR and satisfies the FC and CB as a basis against which to issue the request for CRP 2nd Call pre-proposals.
2. <u>The FC discusses many of the issues dealt with in the Guidance document at FC11 (or the preparatory workshop on May 6)</u>, such as the results of the Wageningen meeting and the IEA review, but the document itself is further developed, including taking account of MTR recommendations, and approved by the CB and FC by the end of 2014.

The IEA Review of CRP Governance and management has delivered its report and proposes a revised model for the CRPs. The Consortium a Consortium Response that was discussed and agreed with the Centers, and approved by the CB at CB15 as well.

The Consortium has shared various information with the MTR Panel and is finalizing two papers (discussed in draft with the centers and at CB15), as follows:

1. An Impact Paper that provides answers to the questions of the MTR on examples of CGIAR successes, policy engagements and private sector partnership.
2. A Consortium Position paper that provides answers to other MTR Panel questions as well as positions of the Consortium that we would like to share with the Panel.

The CO Science team has also worked with the CRPs to produce, first, 2014 CRP Programs of Work and Budget (POWB) and concludes that overall there is much progress in the clarity provided by the CRPs on their plans for the forthcoming year compared to a year ago. The CRPs have also submitted their 2013 Annual Reports, which have been reviewed by the Science Team. Revised resubmissions are due by the end of April and the Science Team is drafting its Consortium CRP Portfolio Report – which will be richer in lessons learned than was feasible in the previous two versions.

On the mainstreaming of Gender-in-Research there has been impressive progress, and all 15 CRPs now have approved gender-in-research strategies that are being implemented. Based on an analysis of the 2014 Programs of Work and Budget, ten of the 15 CRPs are implementing their strategy to a degree judged satisfactory by the CO Gender and five are catching up. The total planned investment in gender research in 2014 has increased to about 14% or $110million, sharply up from about 5% in 2013.

Three CRPs (AAS, MAIZE and FTA) that have contracts ending in June 2014 need 6-month extensions to the end of the calendar year (when all CRPs will be extended to the end of 2016). Initial analysis of the POWB of the three CRPs shows that they request an additional allocation (increase over the 3-year contracts currently in place) of about $20million in W1-2 funding and a spending authority for an additional $100million in additional W3-bilateral funding (that has been raised and is projected to be available). The CB has approved this extension request and submitted it to the FC for its approval.

The Consortium has initiated work on a CGIAR Gender and Diversity (in-the-workplace) Strategy. In March the Center DGs participated in a half-day "gender retreat" and they, and subsequently the CB, endorsed the development of the new Gender and Diversity (in the workplace) Strategy. We have started to engage with the HR community of practice, and engaged a consultant (Bob Moore) to support this work (but we will need some additional budget). The Consortium also prepared the first CGIAR Consortium Gender and Diversity Performance report, submitted to FC11 in May. The overall conclusion is that of the roughly 300 CGIAR leadership positions (board and management) there are about a 100, or 33%, held by women.

The CGIAR Consortium HQ building is nearing completion and the CO will move into it on April 24-25. The ratification process in French parliament of the CGIAR Consortium treaty and headquarters

agreement is approaching its final steps also. The Consortium and the French government are preparing for the inauguration of its new HQ on June 2.

The Consortium is developing its Consortium policies (where it now relies on Bioversity policies) – with priority for our HR policies. Through a consultancy of Bob Moore during most of February we have completed the first analysis of the feasibility to move the Consortium definitively out of the classical CGIAR system with separate classes of staff (locally recruited and internationally recruited) and have a "One-Staff" system with one set of salary bands and benefits for all staff, plus a package of "Relocation and Transfer benefits" that is available to any individual that has to re-locate at the request of the Consortium. Conversion of the Consortium's current (Bioversity) compensation system will involve monetizing many of the current IRS benefits and converting these

in base salary (e.g. housing allowance; purchasing parity allowance; home leave; separation allowance). We are scheduling a separate consultancy to classify and grade CO jobs in a competency based system, following a recent similar exercise at CIP and using their system to a large extent, in May-June 2014. The (framework) HR policies to be approved by the CB, and the authority delegated to management to complete and implement the system, will be submitted for CB approval in the October CB meeting and the new HR system is expected to take effect from 1/1/2015.

With regard to the implementation of the CGIAR Intellectual Asset Principles, much progress has been made by the CO legal team. Indeed, while the CGIAR Intellectual Asset Report and the FC IP Group's report agreed "that overall substantive gains have been made across the CGIAR Consortium resulting from the CGIAR IA Principles in terms of increased awareness, improved capacity and adoption of best practices", both reports also found that a number of Centers did not comply in 2012 with certain provisions of the CGIAR IA Principles. As a result, and although it recognized that the first reporting cycle was a bit of a "test-drive", the Fund Council expressed strong concern and requested that the CGIAR Consortium: (i) strengthen its oversight role and ensure that all Center Intellectual Asset Reports submitted in 2014 show full compliance with the CGIAR IA Principles; (ii) indicate any non-compliance by Centers (including the names of the non-compliant Centers) in the 2014CGIAR IA Report; and (iii) report back to the Fund Council at its next meeting on the specific remedial actions taken by the non-compliant Centers. Since then, the CO legal team has taken many actions to improve its working relationship with the FC IP Group, to strengthen its oversight role and to ensure compliance of Center IA Reports submitted this year, and to resolve the cases of non-compliance mentioned above. These efforts are further detailed in an Annex to this report.

The CO finance team has also worked with the Centers to develop a database of all bilateral grants on the books of centers in 2012 – the idea is to monitor, in years to come, both the total number of contracts (to follow the reform hypothesis that the total number of contracts would go down) and the estimated overall transaction costs in the new CGIAR. In 2012 the Centers report having 2630 bilateral grants from over 500 donors with a total value of about $2.6 Billion (total contract value, i.e. over multiple years), or an average size of about $100K. Some of the largest donors have many active bilateral grants (USAID – 269; ACIAR – 113) while there are also some 300 donors with a single (small) grant to one of the centers. The classic 80-20 rule applies, with about 20% (490 grants) providing about 80% of the income, and the other over 2000 grants providing about 20% of the income - with an implied average grant size of about $25 thousand for those 2000 grants. The full analysis and database yields many more interesting conclusions – but it appears obvious that there is ample scope for increased efficiency and effectiveness - reduced transaction costs - by cutting of the long tail of little projects – and increasing the average grant size. Work on adding the 2013 grant data to the database is ongoing.

There is also good progress to report on the CGIAR's new ERP system, OCS. WorldFish, CIP and IRRI are now operational with OCS and engaged in post go-live activities to extend usage of available functionalities. The OCS support unit (OSU) is operational from its base at ICRAF with some staff located at IRRI and CIP. The six OCS Phase 2 and 3 centers plus the Consortium are moving forward with their localizations with go live dates staggered through 2014. However, the recent release of a major Agresso Business World (the OCS software) upgrade called Milestone 4 will likely extend the timelines as Phase 2 and 3 centers adjust their roll-outs to upgrade the software before rather than after go-live. Phase 1 centers will need to test and implement Milestone 4. IITA has indicated that they wish to join OCS in 2015 and CIFOR, IWMI and ICRISAT have discussed their intent to join, but are awaiting the OCS audit to be conducted by the IAU. The OCS Steering Committee was chaired by Gerry

O'Donoghue until his departure and will be chaired by his successor Nthisana Phillips once she is fully on board. Norman McDonald of IRRI has kindly accepted to be the Interim Chair. The OCS Steering Committee has formed a working group to develop the terms and conditions for new centers to join.

Finally, much progress has been made to re-establish the Internal Audit Unit as a shared service under its new Director, Pierre Pradal, who started work on 1/1/2014, hosted by the CO in Montpellier. The CB at CB15 approved the ToR of a new Audit Oversight Group (as a subcommittee of the CB's Audit and Risk Committee) for the IAU to report to. The AOG has 4 members that represent the centers (2 Audit Committee Chairs and 2 Corporate Service Directors), one member from the CB ARC, who chairs the AOG, and the Consortium CEO as an observer.

The 2014 calendar year is shaping up to be a critical year to prepare the next stage in the development of the new CGIAR; to confirm or adjust the design put in place through the reform; and to prepare for the second round of CRP investments. We are currently having many discussions among CGIAR stakeholders that demonstrate the passion and strong beliefs held by all. We trust that through constructive meetings, in Mexico at FC11, with the MTR in Oxford later in May, and with the Centers and CRP directors in Montpellier in early June (June 3-5), we will be able to chart our course.

Activities in the October 2013 – March 2014 period

CEO's Office
- Released Guidance for the Extension and Refresh process (2015-16 funding) in December 2013.
- Released third draft of 2014 SRF Management Update and Guidance for CRP 2nd Call in December 2013 for public consultation.
- Organised Wageningen Guidance workshop to get CB program committee and FC member comments on the SRF management Update and Guidance documents, 7-8 February.
- Recruited a new Chief Science Officer, Wayne Powell, who started 50% of his time on January 1, 2014 (and 100% from April 1). Anne-Marie Izac is a senior science advisor to the CEO in 2014 and will retire at the end of 2014.
- Recruited a new Director of Finance and Corporate Services, Nthisana Phillips, who will start July 1, 2014. Gerry O'Donoghue left February 1, 2014 and David Theriault has been contracted to act as Interim DCFS until the arrival of Ms Phillips.
- Contracted Bob Moore as HR consultant to help develop HR policies for the CO and a CGIAR Gender and Diversity Strategy – activity started in February.
- Contracted Maria del Pilar as HR consultant to classify and grade CO jobs based on the competency system also used at CIP – activity planned for May 2014.
- Initiated preparation of materials for the Mid-term Review of the Reform and met with the MTR Panel in Berlin, 18-20 January.
- CEO presented keynote at Global Forum on Innovation in Agriculture in Abu Dhabi in February.
- CEO participated in Economist global food security event in London, Feb 2014.
- Met with BBSRC COO, Steve Visscher, in Paris on Feb 19 to discuss BBSRC-CGIAR collaboration.
- Initiated coordination activities for CGIAR- FAO collaboration on Gender, Metrics, and Up-scaling.
- Initiated coordination with FO for resource mobilization in China.
- Initiated coordination of the CRP Annual meetings that will take place the first week of June.

- Continue co-organizing the "Family Farmers and Research" Conference (Montpellier June 1-3) together with Agropolis International, GFAR and CRPs.
- Selection and recruitment of Capacity Building and Partnerships Expert that will be seconded to the CO by the French government. Alain Vidal (up to now Director of the CGIAR Challenge Program on Water and Food) has been selected and will start early May 2014.
- Participated in HarvestPlus' 2nd International Biofortification Conference in Kigali, Rwanda, from March 31-April 2.

Knowledge Management
- Secured approval by all 15 Centers on Open Access Policy.
- Submitted Concept Note for Open Access funding to Fund Council; concept was approved and a full proposal was requested, produced, and submitted.
- Open Access Implementation Guidelines were drafted and two rounds of consultations have been conducted; currently undergoing revisions based on feedback.
- Launched version 1.0 of the CGIAR Data Management System; first two resources included are the CGIAR Institutions Ontology and the CGIAR GEO Ontology.
- Began work on CGIAR Collaboration Platform, based on Office 365; started work to pilot the platform with one Center (IFPRI), one CRP (CCAFS), and the Consortium Office.
- Recruited and hired a CGIAR Consortium Data and Knowledge Manager.
- Strengthened CGIAR Consortium-wide Knowledge Management (KM) Community of Practice (CoP).
- Signed on to the Global Open Data for Agriculture and Nutrition (GODAN) initiative.
- Continued to contribute to Design of African Agriculture Technology Platform.

Communications
- Began planning for 2013 Annual Report; theme will be Climate-Smart Agriculture.
- Initiated the process to update the Branding Guidelines and Toolkit.
- Facilitated development of Consortium Biotechnology/GMOs position.
- Supported Consortium presence at the Global forum for Innovations in Agriculture (GFIA) in Abu Dhabi (February 2014), including a shared booth and keynote by Frank.
- Supported Consortium presence at the Economist Event 'Feeding the World' in London (February 2014), including Frank's panel presence and interviews.
- Began planning for other key events including upcoming EAT Stockholm Food Forum (Stockholm, May 2014); Resilience 2014 (Montpellier, May 2014), the Family Farming Forum (Montpellier, June 2014), and the new Consortium Headquarters inauguration (Montpellier, June 2014).
- Increased media outreach, including: working with the Fund Office to coordinate media outreach around the $1Billion press release; securing interviews with top tier media; and switching to a new media outreach support form.
- Began developing a set of new base materials for conferences and events, including core content (speeches and presentations) as well as giveaways (t-shirts, pens, bags, etc.).
- Continued to increase activity and followers on social media and cgiar.org website.
- Began discussions with Fund Office to move Fund Office website onto CGIAR.org.
- Began recruiting the 2014/15 Communications Fellow

Information, Communications Technology (ICT)
- Provided support and presence at ICT4AG conference in Kigali (November 2013
- Continued work with ICT Managers on Active Directory Improvements Project.
- Planned and conducted ICT Managers CoP Annual Meeting, 2014 (Nairobi, March 2014)
- Developed Consortium ICT Strategy, in collaboration with ICT Managers.

- Began pilot for Office 365 with the Consortium Office, IFPRI, and CCAFS.
- Recruited and hired the ICT Fellow.

Legal
- Took actions to resolve the cases of non-compliance by Centers with the CGIAR IA Principles that occurred last year during the first reporting cycle (as a result, all notified Centers were deemed to be in line with the Principles).
- Took actions to strengthen the Consortium's oversight role with regard to Centers' implementation of the Principles and ensure that Center IA Reports submitted in 2014 comply with the Principles:
    o Worked closely with the FC IP Group to clarify the misinterpretations of the Principles that took place during the first reporting cycle and clarify expectations moving forward;
    o Developed sample Research and Emergency Exemption clauses for Center use;
    o Involved internal audit;
    o Developed a register on issues in Center IA Reports to facilitate and monitor follow-up actions;
    o Developed a number of tools for Center use: (1) a checklist of Center obligations under the CGIAR IA Principles; (2) a template for Center IA Reports under table format; (3) a Q&A on the implementation of the Principles;
    o Developed a process for handling Center requests for deviation from the Research and Emergency Exemption requirements under Article 6.2.2 of the CGIAR IA Principles (approved by the CB at its last meeting in December);
    o Contacted Center IP focal Points individually to indicate where improvements on reporting are necessary.
- Organized a training course for CLIPnet on Plant Breeders' Rights, provided monthly legal/ IP updates to CLIPnet, and communicated on various IP issues (e.g. traditional knowledge).
- Helped develop and/or provided legal advice on the following:
    o Terms of Reference for the Audit Oversight Group;
    o Consortium Policy Adoption Process;
    o Use of a Material Testing Agreement instead of the SMTA for food products and other non-breeding testing purposes;
    o CGIAR Statement on Biotechnology;
    o Open Access Implementation Guidelines;
    o Center /CRP photography and Video handbook;
    o Accountability Framework for Consortium Security Management System;
    o D&O liability Insurance;
    o Center certifications;
    o Income tax issues faced by staff of CGIAR Centers in India;
    o Consortium Response to IEA report on CRP Governance and Management;
    o Various agreements (e.g. Center Research and Collaboration Agreements, agreement between the CGIAR Consortium and EAT).
- Commissioned an independent evaluation of the DGIS grant to the CO Legal /IP tem (which was very positive).
- Commenced preparations for administrative separation from Bioversity and recognition of the ILO Tribunal Jurisdiction by the CGIAR Consortium

Shared Services
- Developed 'Shared Services Strategy for CGIAR Consortium'.
- Drafted 'Strategy for smarter procurement across CGIAR Consortium' and began contacts with key providers.

- Developed the document 'Towards a CGIAR Consortium Security Management System'.
- Convened first meeting of Staff Security Community of practice.
- Negotiated subscription to 83 journal titles for Centers for a value of USD 683,000 - a 35% increase compared to last year.
- Initiated partnerships with international organizations: UN High Level Committee Management on Procurement, UNOPS, UN Department of Staff Security, WFP.
- Successfully negotiated membership with InsideNGO for all CGIAR Centers.
- Co-developed plans for early implementation of Office 365 with one Center (IFPRI), one CRP (CCAFS), and the Consortium Office.
- Finalized document reviewing ICT regional support options.
- Developed plans for new Shared Services website.
- Contract with IITA to provide support in information management signed.
- Began development of 'online training' service offerings.
- Supported 'youth in agriculture' and organized social media training for young researchers at Global Landscape Forum, Warsaw.
- Secured CB approval of the Consortium Approach to Shared Services and their support to confirm Shared Services as a permanent function of the CO (following the 2013 pilot).

Science
- Reviewed the 16 programs of work and budget (POWB) from the CRPs, providing comprehensive comments on the submissions, requesting re-submissions of improved POWB.
- Recommended to the CB 6 month contract extensions for the 3 CRPs with contracts finishing June 2014.
- Initiated the review and assessment of the 16 Annual Reports from the CRPs, leading to the Portfolio Report.
- Analyzed the proposals from the CRPs for piloting results-based management. Selected 5 pilots for funding, recommended funding to the CB. CB approved the recommendations.
- Analyzed ICARDA's request for equipment replacement, discussed with relevant CRP directors, recommended an allocation of funds to the relevant CRPs to the CB. CB approved the recommendations.
- Reviewed and approved the last 3 CRP Gender Strategies submitted; the full set of CRP Gender Strategies is now approved.
- Contributed presentations to various CGIAR meetings: ISPC, IEA on monitoring and evaluation
- Participated in a total of 18 different meetings organized by the CRPs.
- Participated in 4 international scientific conferences, presenting the work of the CGIAR in two of them (International Crop World Global Congress and International Plant & Animal Genome 2014).
- Contributed to updating the documents: Guidance for CRP second call and SRF Management Updates (foresight).
- Supported CRPs in gender research strategy development, research planning, recruitment of gender experts and capacity development
- Assessed with external consultants the status of gender mainstreaming in the CRPs in mid-2013, formulated and began implementation of a Gender Research Action Plan to address the findings
- Positioned the Gender Research Network to promote and facilitate cross-CRP improvement of research quality in gender with a network workshop on "Standards for Gender Research"
- Advised the formulation of CRP IDOs to include gender, including the agreement of CRPs to a common gender and empowerment IDO
- The Gender Research Network supported CRPs in launching a cross- CRP gender research initiative with design of a Global Study of Gender Norms and Agency in Agricultural Innovation.

Finance and Corporate Services
- The Investment Policy Guidelines is completed and with FC for final approval.
- Broad consultation with the CSE on preparing a draft CGIAR Reserves Policy Guideline.

- Revised FG2 IFRS Template and Manual completed by PwC; WG to complete detailed review for recommendation to CSE in June. Statement of Activity to be streamlined as part of WG objectives.
- OCS for CGIAR Consortium – Localization and User acceptance testing phase started and working in parallel and on track; major Unit IV milestone update in May/June will be taken on board; this will impact plans, with go live now early to mid Q3 and a potential extra $25k cost for consultancy.
- HR manual and One-staff policy development for CGIAR Consortium drafted and development to continue for January rollout.
- Development for competency based salary structure to start in May with outside consultant
- CRP reports due mid-April. Working with Centers to improve CRP Financial Reports in timeliness and accuracy. Quarterly CRP finance reports introduced for 2014.
- Finance Plan for 2014-2015 completed and approved by CB.
- 2013 CO Financial Statements drafted and in preparation for audit in mid-March.
- Ongoing work with French Government for ratification of HQ agreement.
- Ongoing work with Lewis & Morgan (DC) to obtain 501 (c) 3 in the USA.
- Non-HR payments now processed through CO.
- David Theriault (ex CIP COO) acting as interim CSE director February to July in preparation for Nthisana Phillips starting July 1st.
- Preparation for separation from Bioversity and move to new offices.
- 2013 Financial Report in preparation for publication in Q2.

Additional 2014 Consortium Budget Request

Introduction

The 2014 CO Budget is very tight, with the full complement of staff now on board, additional costs to continue paying Bioversity overhead as we did not separate on January 1 (an estimated $400K), and the FC refusal to action (i.e. fund) the PwC recommendations for 4 additional positions, notably and extra position on the Science Team and a Strategic HR Manager, while at the same time give the Consortium additional responsibilities regarding the development of a Gender and Diversity Strategy and Gender Performance reporting. In addition, we understood from the participating CB and FC members in the Wageningen meeting that a "revitalized SRF", with an assessment of what it will take to achieve the SLOs independent from the current CRP portfolio is critically important, but again we don't have the funding in our budget to take this on as an additional task. We could raise funds bilaterally, but as the current FC position (that we disagree with and will raise with the MTR) is that we can only be funded through W1, the logical next step is to ask the FC for the additional W1 funding.

We estimate to need an additional $150K for the Gender and Diversity Strategy and an additional $350K for work on the "revitalized SRF" (to produce the 2015 SRF Management Update), as further detailed below, for a total requested increase of $500K.

	2013 Estimate	2014 Approved	2014 Additional	2014 Total
Board Fees	325	325		325
Personnel Costs	3,269	4,461	435	4,896
Consultants	1,423	1,000		1,000
Travel	540	760	25	785
Meetings	131	131	40	171
Other Operating Costs	250	270		270
Contingency		100		100
Capital	500	-		-
Bioversity Overhead	735	-		-
	7,173	7,047	500	7,547

CGIAR Gender and Diversity Strategy

We have initiated this work through a consultancy of Bob Moore, primarily focused on a "One-Staff" HR set of policies for the Consortium, but also initiating work to prioritize issues in the Gender and Diversity Strategy. This work would have been led by a Consortium Strategic HR

Manager or Director – the position recommended by the PwC external review of CGIAR governance – but as such a position has not yet been authorized, we need to fill the gap through consultancies, working closely

with the Community of Practice of HR managers and directors of the centers. After determining the priority issues to work on (from recruitment, to leadership development, to equitable pay etc.) we will need both some analytical work, assessing the extent of the issue and providing a baseline, as well as the development of actions to carry these out and ultimately a policy.

Estimated budget (total $150K):

- Consultancy, travel and per diem for lead consultant (Bob Moore, possibly supported by specialists) to lead the overall process, working with the HR CoP ($75K)
- Consultation with the centers (workshops / travel) ($25K)
- Consultancies for 3-4 pieces of analytical work, data gathering and development of actions specific priorities from HR harmonization, leadership development, or equitable pay ($50K)

SRF Management Update

Revitalize the SRF to ensure that it is fit for purpose including an analysis of 'what it will take' to deliver on the four SLOs that are independent of the existing portfolio of CRPs. This will include the following elements (total $350K):

- An analysis of the current landscape of CGIAR in terms of publication output both in quantity and quality. A comparison analysis of CGIAR output vis-a-vis a set of peer organizations over the last 10 years. To be outsourced to Elsevier (first proposal in hand) ($60K)
- A detailed portfolio analysis to validate, quantify and thereby better understand the relationship between Intermediate Development Outcomes (IDOs) and the System Level Outcomes (SLO). This will include further analysis on the Investments currently in place to support each IDO, the geographical focus of CRPs, and the number and nature of partnerships embedded within the current portfolio. This will include work with IFPRI, but can also build on the proposals made by Ken Cassman along these lines. This will
  guide future resource allocation and ensure that the science and finance teams are better aligned. ($150K)
- Workshops to establish to determine targets, metrics and baselines.($40k)
- Consultancies to independent experts with a world-class reputation
  (complementing in-house CGIAR expertise with expertise and judgment "independent of the current CRP portfolio") to support drafting of a revitalized SRF and thereby provide the template on which to build the second generation CRPs in terms of number, nature and scope. ($100k)

Consortium

CGIAR

Assessment of results in the implementation of the 2013 POWB

In Tables 1 and 2 we attempted to assess performance in 2013 against our Program of Work, both in terms of a score card focusing on our outcomes (Table 1) and an overview of the direct outputs and deliverables (Table 2).

Table 1: 2013 Consortium Office Performance Score Card

KEY PRDUCTS AND SERVICES PROVIDED BY THE CO					
	SERVICES	*3 - year OUTCOME indicators*	*2013 targets*	*2014 targets*	*2015 Targets*
Policies / Common Operating Framework: development and cyclical revision					
Common Operational Framework: Financial Guidelines 1-6; Investment and Reserves policies; CRP Monitoring Principles and Reporting Templates; CGIAR Intellectual Asset Principles; Whistleblower policy; Dispute Resolution Policy; Conflict of Interest; Safeguards.	Consortium Level ISO (quality) certification by 2016	FG 5 approved by CB. Common investment policy approved by CB.	FG2 FG 1 FG6 COI policy Reserves Whistleblower policy	FG3 FG 4 ISO certification started
Consortium policies, guidelines and standards: Consortium Gender strategy; CGIAR Branding Guidelines; Open Access Policy; OA Guidelines including data standards; Communications Strategy; IA Guidelines; Good Governance Framework.		Open Access Data policy approved Good Governance Framework approved. IA Guidelines approved. Comms Strategy approved.	OA Guidelines	
Legal requirements for use of W1 and W2 funds: Joint Agreement and Program Implementation Agreement.		PIA under revision.	Revised PIA	
Additional as may arise					
Core business: managing annual CRP cycle					
Programmatic: Annual CRP POWBs; 6-month CRP Updates; CRP Annual Reports; CRP Portfolio Report; Support Gender Research mainstreaming; CRP proposal development, review and recommendations.	*Improve CRP Portfolio quality and alignment*	*SRF Action Plan & CRP IDOs*	*SRF Man Update Guidance 2nd call approved*	*2nd CRP call Implemented smoothly*
Financial: Annual Financing Plan; Preliminary Finance Report; Annual CGIAR financial report; Quarterly FinPlan Updates; Quarterly disbursements.	*Reduce total reporting and transaction costs by 20% by 2015*	*Baseline to be developed*	*+10% reduction*	*20% reduction*
	Reduce number of contracts (from 3500) to 1000 by 2015	*Number of contracts down by 10% 2012 Baseline: 2630 contracts from 552 donors*	*+10% reduction*	*+10% reduction*
Resource Mobilization: Portfolio Resource Mobilization Scenarios; Portfolio-level advocacy; Resource mobilization for portfolio activities.	*Increase overall amount of CGIAR funding by 10% year on year*	*Target 10% increase in funding 2013 increase: 16%*	*+10% increase*	*10% increase*
	At least 50% of CRP funding through Windows 1+2 by 2015	*Target: 40% of CRP funding thru W 1&2 2013 actuals: 40% overall (higher for CRP funding only; probably close to 50%)*	*45% of CRP funding thru W1&2*	*50% of CRP funding thru W1&2*

Shared systems / services: development and service provision				
One Corporate System: develop and support common ERP system.	Annual system financial report by April 30, in 2015	Report by 30 May Enable CRP project management Enable portfolio level perf man	By 30 May	By 30 April
Open Access: develop data standards and develop and support common data management systems.	100% increase in number of openly accessible files	Begin developing OA standards	Baseline study conducted	100% increase in files Openly Accessible
Other Shared standards, systems or services: joint purchasing; joint training and other HR support; joint IT support;	Savings from (new) shared services at least $3m by 2015	Viability study completed for 2 CGIAR Hubs Development of common JD & compensation for PDs	Identified cost savings $1.5 m	Identified cost savings $3 m
Communities of Practice (CoPs) / Partner Relations: development and support				
Strategic Communication: internal and external	CGIAR/CRP brand recognition up 20% from 61% in 2012 by 2015	Establish baseline & Comms strategy 2012 baseline: 61% recognition	Implement Comms strategy	Up 20% in re-survey
Partnership Development: develop cross-Center partnership relations (incl. Consortium-wide MoUs).	At least + 10% in partner satisfaction for KPIs by 2015 Overall satisfaction >80% (2012: 75%	Establish satisfaction baseline & KPIs, Establish action plan 2012 baseline: 75% satisfaction	Action plan implemented	10% increase priority KPIs in re-survey
Communities of Practice: facilitate and support: Corporate Service Executives CoP; HR CoP; Science Leaders CoP; Legal / IP CoP; Communicators CoP; KM CoP; IT managers CoP; Gender and Agriculture Network; Monitoring & Evaluation CoP (with IEA); Capacity Building CoP	Overall satisfaction >80%	>80% level of overall satisfaction in survey [in process] 2013 baseline: TBD	>80% level of overall satisfaction in survey	>80% level of overall satisfaction in survey
Internal Consortium business				
Prepare and support Consortium Board and CB-Members meetings	CO "360" survey through system unit survey At least 80% of CO staff find it great place to work (satisfact survey)	>75% level of satisfaction in system unit survey [in process] >80% staff satisfaction [in process]	>80% level of satisfaction in system unit survey >80% staff satisfaction	>80% level of satisfaction in system unit survey >80% satisfaction

Table 2: 2013 Consortium Office Outputs Realized against Program of Work

Color-coding: delayed but progressing well / not-on-track / Completed as planned

Key projects / activities	*Planned 2013 outputs / deliverables*	*2013 Outputs Realized*
1. Policies / Common Operating Framework (development and cyclical revision)		

• **Finalize Common Operational Framework** (Financial Guidelines (FG): FG1, FG2 phase 2 and FG4 completed, FG5 fully implemented at all CGIAR Consortium members, FG6 reviewed for possible updating; Performance Management System; Dispute Resolution; Conflicts of interest; Safeguards)	• All chapters of the COF are completed and approved, and a review cycle for all guidelines is established
	• Metrics for linking CRPs to SLOs approved
	• oversight process for SRF approved
	• research priority setting aligned with PMS approved
		• **COF:**
		  o FG5 approved
		  o Investment Policy approved
		  o Revised Harmonized reporting approved
		  o Reserves Policy developed

• Strengthen governance policies in COF	• Strengthened governance policies reviewed and implemented	• **CGIAR policies:**
		  o Open Access Policy approved
		  o Good Governance Framework approved
		  o IA Guidelines approved

• Review Joint Agreement (JA) and form of Program Implementation Agreement (PIA)	• Revised JA and form of PIA approved	• Revised PIA drafted • CO Communications Strategy approved
• Finalize a Data and Knowledge Management Strategy	• Consortium Data and KM strategy approved	• CO Data and KM Plan – moved to CO internal business
2. Core business: managing annual CRP cycle		
• All 2012 reports available earlier	• All 2012 reports available May 31 • 2012 CGIAR Annual report published	• CRP reports ready 1 June • Portfolio report ready 1 June • Finance report ready 5 July • IA report ready 6 September • CGIAR Annual report ready 9 September • 2014-15 FinPlan finalized December 2013
• Update the SRF, following Action Plan	• 2013 SRF Update approved	• 2nd Draft Guidance 2nd Call 16 Sept • Draft SRF Man Update released December 2013
• Implement the CRP Performance Management System (PMS)	• Perf Man System in place	• Perf Man System drafted (part of Guidance) + pilots developed
• Develop an Animal Genetic Resources Strategy at SRF level		• Abandoned.
• Implement the CRP biannual financial reporting requirements		• Stable FinPlan established in February, updated in May and August, delivered according to plan • 2013 Cashflow significantly improved over

		2012
• Improved Revenue Forecasting: tracking, updating, and reporting on fund window income	• 2014 Finance plan (partially) based on PMS • Reports are generated as designed from OCS, and in that format where OCS is not yet operational • CRP financing more predictable in timing and volume because donor information is better collected and disseminated, and forecast models are more robust	• 90% guarantee implemented;
• Review CRP management & governance structures	• Best practices for CRP administration and governance structures are established	• Review implemented by IEA
• CRP "mid-term" (program and budget) review		• MTR obviates need for this review
• Develop an annual CGIAR Intellectual Asset Report	• CGIAR IA report acceptable to donors	• First IA report delivered 9 September
• Develop Capacity Strengthening strategies for CGIAR and CRPs		• Workshop at ILRI October 2013 completed and now CoP engaged drafting strategy
3. Shared standards / systems / services (development and service provision)		
• OCS adopted in the CO	• OCS is functional and serves both routine accounting for the CO and consolidated reporting requirements for the CRPs (to the degree possible given adoption timetable)	• 3 OCS Phase 1 centers live • 7 Phase 2-3 centers co-developed common Base Build • OCS Phase 2-3 centers on track for Q1-2 2014 go live • OCS prep of new phase 4
• Develop and implement 1-2 new shared systems or services (depending on 2012 report & recommendations)	• One or two additional services/ systems may be implemented • Business case for 2 pilot hubs developed	• Microsoft Office 365 / Sharepoint deal obtained • Hubs business case developed • Plans for "purchasing" and "staff security" developed • $650K shared service business on "fee for service basis" conducted through CO, with $100K revenue
• Explore interest in common HR policies and systems with Members		• Common PostDoc JD+ comp drafted • Workforce survey done • Common Comp survey deal done
• Share approaches, experiences with designing and implementing research / program / multi-project management support applications, linked to other business processes (e.g. HR, Finance); bring in		• Shared services catalogue online

private sector expertise		

4.	**CoPs / Partner Relations (development and support)**		
• Survey Partner Perceptions	• Partner Perception baseline and plan of action for improvement established	• Stakeholder perception survey completed • Branding baseline survey completed
• Initiate novel partnerships with BRICs		• Meetings in China; preparing visit to EMBRAPA – with Board Chair.
• Prepare CGIAR Communications Strategy (internal and external)	• Communication Strategy approved	• Communication Strategy approved
• CSE will expand focus to embrace human resources CoP & meet twice •	• One additional system-wide HR project will be undertaken • At least one of the two CSE meetings will be a joint one with the HR community	• Workforce Survey • PostDoc Project • Shared Com Surveys • Hyderabad, June 2013
• Legal /IP Network will focus on implementing the CGIAR IA Principles	• Legal/IP Network: CO coordinates the development of best practices to implement the CGIAR IA Principles in the CRPs; one annual meeting	• Specialized online IP training seminars • CoP, Nairobi, October 8
• Science leaders focus on the SRF action plan, the operational plans of the CRPs and the shared scientific data management system	• Shared data management standard system is on-line	• Data standards in prep; first two sets of standards online
• CoP strengthened		• CoPs Satisfaction baseline surveys conducted • **CoPs meetings & dates:** o CRP leaders, Cali, March 2013 o KM Leaders Annual Meeting, Rome, April 2013 o IT Managers Annual Meeting, Washington, DC, May 2013 o Communications Heads Annual Meeting, Montpellier, May 2013 o Shared Services Reference Group – Penang May 2013 o CSE, Hyderabad, June 2013 o IP CoP, Nairobi Oct 2013 o CD CoP, Nairobi Oct 2013
• Gender experts focus on gender research quality standards and on capacity building needs in gender research		• Gender Network, Montpellier, June 2013
• Genetic Resources experts focus on in situ agro-biodiversity and develop and animal genetic	• No activity undertaken in 2013	• No action.

resources strategy – initiate discussion on genetic resources strategy		
5. **Internal Consortium business**		
• Continued support for Board		
• Ensure privileges and immunities for the CGIAR Consortium	• HQ Agreement ratified by French Parliament	• HQ agreement signed March 4; ratification in process
• Separation from Bioversity		• Awaits HQ agreement ratification; now expected April 2014
• Partial administrative separation from Bioversity	• The CO establishes administrative independence (elements of personnel management, all travel, purchasing, etc. assuming corporate bank account is established)	• Bank account opened
• Prep move to new office	• All logistics and plans finalized for move	• CO KM and IT plans developed
• Finalize staffing		• CO Staffing completed: o Moses Muchiri o Philippe Ellul o Anita Regmi o Martina Mascarenhas o Hannah Edwards o Mayumi Fuse o Tina Aourai o David Porras o Paul Luu o Wayne Powell o Nthisana Phillips o Medha Devare o Metasebia Zelalem
• Continued compliance with legal requirements		

Annex 1

CGIAR Consortium Update to FC11 on 2012 IA Reporting and Measures Taken to Strengthen Oversight

The first reports under the CGIAR Principles on the Management of Intellectual Assets ("CGIAR IA Principles") were submitted to the Fund Council at its last meeting in November 2013 (FC 10): the CGIAR IA Report (approved by the CB in October 2013) and the FC IP Group's report.

Both reports agreed *"that overall substantive gains have been made across the CGIAR Consortium resulting from the CGIAR IA Principles in terms of increased awareness, improved capacity and adoption of best practices"*. However, both reports also found that a number of Centers (whose names were not indicated in the reports) did not fully comply in 2012 with certain requirements of the CGIAR IA Principles.

As a result, and although it recognized that the first reporting cycle was a bit of a "test-drive", the Fund Council expressed strong concern and requested that the CGIAR Consortium report back to the Fund Council on:

(i)   the specific remedial actions taken by the CGIAR Consortium with regard to the Centers that were deemed to not have fully complied with the CGIAR IA Principles in 2012;

(ii)   the measures taken by CGIAR Consortium to strengthen its oversight role and ensure compliance by Centers in 2013 and thereafter; and

(iii)   progress toward full compliance with the CGIAR IA Principles in the CGIAR IA Report submitted in 2014 (including any non-compliance by Centers and the names of the non-compliant Centers should this be the case).

1.   **Remedial actions taken by the CGIAR Consortium with regard to the Centers that were deemed to not have fully complied with the CGIAR IA Principles in 2012**

The Consortium legal team took the following actions to resolve the cases of non-compliance that occurred in 2012:

(a)   The non-compliant Centers were formally notified of their non-compliance and were requested to propose remedial actions.

(b)   All notified Centers responded by providing additional information, explanations and/or justifications regarding the alleged breaches, which the Consortium Legal team discussed extensively with the FC IP Group.

It emerged from discussions and additional information provided that the alleged breaches were either due to differences of interpretation by the Centers of the CGIAR IA Principles (which were accepted by the CGIAR Consortium and the FC IP Group) or to a lack of sufficient justifications for certain restrictions to global access in Center agreements (which were subsequently provided by Centers).

For example, regarding the Research and Emergency Exemption requirements for Limited Exclusivity Agreements, Centers considered that such requirements were fulfilled when nothing in the Limited Exclusivity Agreement precluded the Center from fulfilling the obligations under the exemptions. This interpretation was accepted but it was agreed with Centers that explicit clauses would be necessary even in

such cases moving forward. Regarding the Emergency Exemption requirement specifically, it emerged from discussions that this exemption may not always be relevant in cases where the intellectual asset is not related to food emergency (e.g. vaccines or trees). It was agreed with Centers that requests for deviations would be necessary moving forward in situations where the Centers were not sure whether the Research and Emergency requirements were triggered. It also appeared from discussions that a number of agreements reported in 2013 did not actually qualify as Limited Exclusivity Agreements and/or Restricted Use Agreements, in which case they did not have to meet the requirements for exemptions and/or justifications. In other cases, where the justifications provided by Centers for Limited Exclusivity Agreements or Restricted Use Agreements had been deemed too weak, Centers subsequently provided additional information that was judged as being satisfactory.

(c)   *In the end, all cases of non-compliance were resolved and, based on discussions and the additional information provided by Centers, both the CGIAR Consortium and the FC IP Group deemed all agreements to be consistent with the CGIAR IA Principles.*

(d)   The CGIAR Consortium also noted that all Centers submitted their Board Assurances of Compliance for year 2012 as required by the CGIAR IA Principles.

2. Measures taken by the CGIAR Consortium to strengthen its oversight role and ensure compliance by Centers

The Consortium legal team took a number of actions to strengthen its oversight role and to ensure compliance with the CGIAR IA Principles by Centers in all Center IA Reports submitted in 2014, summarized as follows:

a)   A formal letter was sent to all Center Directors General and Board Chairs to inform them of the importance of full compliance with the CGIAR IA Principles.

b)   The Consortium involved internal audit which reminded Center Board audit committee chairs of their Board's responsibilities, in particular with regard to the assurances of compliance.

c)   The Consortium legal team worked closely with the FC IP Group to clarify the misinterpretations of the CGIAR IA Principles which emerged during the first reporting cycle and clarify expectations regarding implementation and reporting moving forward. This resulted in the development of a Q&A that was circulated to all Center IP focal points.

d)   The Consortium legal team developed a register on issues in Center IA Reports to monitor follow-up actions, as well as a number of tools to help ensure that Center IA Reports submitted in 2014 show full compliance, as follows:
   -    a checklist of Center obligations under the CGIAR IA Principles;
   -    a template for Center IA Reports under table format in order to ensure that Centers use consistent formats in their Center IA Reports for 2013;
   -    the Q&A on the implementation of the CGIAR IA Principles mentioned above.

e)   The Consortium legal team contacted Center IP focal Points individually to indicate where improvements in reporting were necessary.

f)   The Consortium legal team developed a process for handling Center requests for deviations from the Research and Emergency Exemption requirements under Article 6.2.2 of the CGIAR IA Principles (approved by the CB at its last meeting in December)[1].

g)   A working group developed examples of Research and Emergency Exemption clauses deemed to comply with the CGIAR IA Principles for Center use when negotiating Limited Exclusivity Agreements.

h)   Centers have increasingly consulted the Consortium legal team for advice and guidance with regard to various practical intellectual property cases they encountered, in order to ensure compliance with the CGIAR IA Principles.

3.   Progress toward full compliance with the CGIAR IA Principles in the CGIAR IA Report submitted in 2014

Information regarding implementation of the CGIAR IA Principles by Centers in 2013 (and any non-compliance, including the name of the non-compliant Centers should this be the case) will be provided in the CGIAR IA Report on 2013. The CGIAR IA Report is currently being developed by the CGIAR Consortium, in consultation with the Centers and the FC IP Group, and will contain an independent section developed by the FC IP Group.

However, it can already be noted that implementation of the CGIAR IA Principles in 2013 and reporting by Centers this year has significantly improved compared to last year.

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[1] No requests for deviations have been received by the CGIAR Consortium to date.