



Fund

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2013 Consortium Work Plan and Budget

(Approved)

*Document presented for Agenda Item 4:
2013 System Entities Work Plans and Budgets*

*Submitted by:
Consortium Office*

Consortium Program of Work and Budget 2013

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Introduction

This program of Work and Budget describes the activities, expected results and associated budget requested in 2013 for the CGIAR Consortium.

The core budget for the Consortium (Board and Office) in 2012 was \$6.2 million. Due to the fact that the CEO position was vacant for 5 months of the year, and the Director Communications position was vacant for 10 months of the year, both the salary and associated activity budget will be under-spent. In addition, while the building of the new Consortium HQ is starting in 2012, it has not yet led to Consortium expenditures (mostly equipment and communication related). Expected core Consortium expenditures in 2012 are \$5 million.

However, as all senior positions have now been recruited, the Consortium team will be at full strength in 2013, for the first time, and in addition the Consortium will have a number of significant one-off expenditures, including:

- equipping the new Consortium HQ building (in 2013-14);
- updating the SRF Action plan and running system and CRP level prioritization processes;
- developing the CGIAR performance management system;
- completing the Common Operational Framework with new policies, particularly work on common governance policies likely to require – possibly quite significant - consulting inputs; and
- baseline surveys to monitor Consortium progress for partner perception and brand recognition (communication).

For these reasons the budget requested for 2013 is a sharp increase over that of 2012. The Consortium seeks approval to create a Building Reserve (\$500K)¹ from unspent funds in 2012 to equip the new HQ in 2013 and 14 – particularly to install state-of-the art video conferencing equipment that will cut down on travel and meetings (estimated savings of at least \$100k p.a. on airfares and hotel costs through using video-conferencing for meetings). In addition, the Consortium seeks approval to spend the remaining \$650K budgeted but not spent in 2012 in 2013, i.e. \$6.6M, particularly to meet one-off costs in 2013.

In addition to the program work on managing the Consortium's core business (i.e. managing the CRP portfolio and the annual CRP cycle), the Consortium proposes to create line items in the 2013 Financial Plan to support three cross-cutting CRP programs of work that are "mainstreamed" in the CRP portfolio (i.e. allocations to CRP and associated activities) for:

¹ The proposed reserve of \$500K has been included as an expense item in the 2012 Latest Estimate (see Table 1 on page 5). Losses brought forward from 2011 of \$116k have also been offset in this table, leaving a difference between budget and Latest Estimate of \$650k to be carried forward.

- gender research (planned for 3 years, 2013-15);
- in-situ agro-biodiversity conservation; and
- capacity building.

Overview 2012

A high priority for the Consortium Board was to recruit a new CEO (Frank Rijsberman, joined 28 May '12) and subsequently for the CEO to recruit for senior leadership positions, i.e. Director of Staff (Louis Solorzano, joins 15 October '12), Director Knowledge Management and Communication (Piers Bocock, joins 22 October '12) and Director Finance and Corporate Services (interviews Sept 5-6 '12). Chief Science Officer Anne-Marie Izac was on medical leave from March through October, and the CEO also acted as Chief Science Officer in her absence.

The new CEO introduced an increased emphasis on the development of a consistent, coherent and harmonized set of intermediate development outcomes for the CRP Portfolio and on an associated performance management system. These ideas have been incorporated in the draft SRF Action Plan and are currently offered up for an e-feedback and e-consultation process for which over 200 individuals had registered by September 1. The SRF Action Plan will be discussed with CGIAR stakeholders at GCARD2 in Punta del Este, Uruguay, October 29 – November 1 and subsequently at the CGIAR Funders Forum on November 2.

Other highlights of 2012 for the CGIAR Consortium were:

- sharply increased contributions by the donors to the work of the CGIAR, forecasted to grow to over \$850M in 2012, which we take as both a reflection of the renewed priority of food security in the development agenda and support for the CGIAR's reform agenda;
- approval of the Intellectual Asset Principles by the Consortium Board and Fund Council in March 2012;
- approval of the Genebank CRP implemented in partnership with the Global Crop Diversity Trust also in March 2012;
- a first CRP Portfolio Report prepared and submitted to the Fund Council on August 31, together with 5 individual CRP reports, all covering 2011;
- gender strategies that were prepared and approved for most of the CRPs (and in development for the others) and a process for mainstreaming and funding gender research in the CGIAR developed and incorporated in the 2013 Financing Plan;
- an approach to mainstreaming in-situ agrobiodiversity conservation was developed through a workshop held in July and a draft position paper circulated for comments in September – together with an approach to support the mainstreaming of this work in the CRP portfolio through a dedicated financial allocation for 2013;

- revised proposals for the final three CRPs awaiting approval submitted in August to the Fund Council;
- alignment of CAADP national investment plans and CRP priorities through a number of workshops, with an MoU between the African Union and CGIAR agreed and ready for signature;
- first year of implementation of near to full set of CRPs with work initiated to harmonize CRPs across the portfolio, and take advantage of synergies and reduce overlaps, through a meeting of the CGIAR science leaders in September and the creation of a program of work following this meeting.

Lowlights in 2012 were that the following planned Consortium activities did not get implemented:

- the planned Communications strategy was not developed in 2012, due to the absence of a Communications Director, but is now scheduled for 2013; and
- planned Joint CB-FC Chair resource mobilization missions, following up on earlier joint visits of the CB and FC Chairs to Europe in 2011 were not realized due to scheduling challenges.

Of the CGIAR Consortium members, ICARDA had a particularly challenging year, with the developments in Syria leading to evacuation of all international staff and very limited access for ICARDA national staff to the Tel Hadiya research facility. ICARDA is currently preparing a strategy and investment plan responding to this changed environment to strengthen the center outside Syria.

[In 2012 IITA will write off \$15M of its reserves that turned out to have been invested in a fraudulent investment scheme. Analysis of all circumstances that led to this investment will be a catalyst for strengthened and harmonized policies on governance and finance (reserves, investment) across the CGIAR Consortium members, to become part of the Common Operational Framework, and the focus of a retreat of Board Chairs and DGs with the Consortium Board Chair and CEO in December 2012].

Table 1: Analysis of actual spending compared to budget by department in 2012

	Board		CEO		Science and Gender		KM & IT		CSE & OCS		Legal and IP		HQ		Total	
	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012	2012
	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate	Budget	Latest Estimate
Salaries	115	34	467	546	622	488	499	333	473	303	194	158	299	312	2,669	2,174
Fees	469	392													469	392
Consultants			30	108	326	285	94	132	210	73	60		-	-	720	598
Travel	385	348	59	112	75	48	41	29	53	55	15	25	8	10	635	627
Meetings and other			224	47	367	35	93	203	267	250	-	4	90	101	1,042	640
Administration	105	19	82	104	160	119	94	79	100	69	38	25	49	51	628	466
Losses b/f from 2011				116												116
Reserve for 2013 Capex				500												500
Total	1,074	793	862	1,533	1,551	975	821	776	1,103	750	307	212	445	474	6,163	5,513

Consortium Products, Services and Outcomes

The Consortium Office analyzed its main products and services and the 3-5 goals it could be held accountable for. The Consortium Board will discuss, possibly modify and then finalize these strategic plans in its meeting in October 2012². In this document the structure devised for the main consortium products and services has been adopted to structure the workplan for 2013. The five key products and services are the following:

1. **Policies and standards:** Development and cyclical revision of the Common Operational Framework and other policies and standards.
2. **Core business:** Management of the CRP portfolio and annual CRP cycle.
3. **Shared systems or services:** Development and management of shared systems / services.
4. **Communities of Practice (COPs), Partnership enabling and external relations.**
5. **Back-office support – internal Consortium:** Internal business such as support for the Consortium Board and Members Group; CO work plans and budgets.

Performance indicators and 3-5 year targets have been proposed but not yet approved by CB. Once approved at the October 2012 CB meeting, the performance indicators will be used to monitor the Consortium's performance and to develop a short set of key targets related to outcomes for 2013. For now this POWB presents a set of activities and associated outputs or deliverables to support the requested budget in the following section.

2013 Workplan

Table 2: 2013 Consortium Office Priorities – projects and deliverables / outputs

1. Policies / Common Operating Framework (development and cyclical revision)	
Key projects / activities	2013 outputs / deliverables
<ul style="list-style-type: none">• 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)• Strengthen governance policies in COF• Review Joint Agreement (JA) and form of Program Implementation Agreement (PIA)• Finalize a Data and Knowledge Management Strategy	<ul style="list-style-type: none">• Revised JA and form of PIA approved• All chapters of the COF are completed and approved, and a review cycle for all guidelines is established• Strengthened governance policies reviewed and implemented• Metrics for linking CRPs to SLOs approved• oversight process for SRF approved• research priority setting aligned with PMS approved• Consortium Data and KM strategy approved

² See the draft document on Consortium Products, Services and Outcomes, dated August 28, 2012

2. Core business: managing annual CRP cycle	
<ul style="list-style-type: none"> • Update the SRF, following Action Plan • Implement the CRP Performance Management System (PMS) • Develop an Animal Genetic Resources Strategy at SRF level • Implement the CRP biannual financial reporting requirements • Improved Revenue Forecasting: tracking, updating, and reporting on fund window income • Review CRP management & governance structures • CRP "mid-term" (program and budget) review • Develop an annual CGIAR Intellectual Asset Report • Develop Capacity Strengthening strategies for CGIAR and CRPs 	<ul style="list-style-type: none"> • 2013 SRF Update approved • PMS in place • 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 • Best practices for CRP administration and governance structures are established • Mid-term review: recommend re-design if necessary, both financially or structurally • GIAR IA report acceptable to donors • 2012 CGIAR Annual report published
3. Shared standards / systems / services (development and service provision)	
<ul style="list-style-type: none"> • OCS adopted in the CO • Develop and implement 1-2 new shared systems or services (depending on 2012 report & recommendations) • Explore interest in common HR policies and systems with Members • 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 private sector expertise 	<ul style="list-style-type: none"> • 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) • One or two additional services/ systems may be implemented
4. CoPs / Partner Relations (development and support)	
<ul style="list-style-type: none"> • Survey Partner Perceptions • Initiate novel partnerships with BRICs • Prepare CGIAR Communications Strategy (internal and external) • CSE will expand focus to embrace human resources CoP & meet twice • Legal /IP Network will focus on implementing the CGIAR IA Principles • Science leaders focus on the SRF action plan, the operational plans of the CRPs and the shared scientific data management 	<ul style="list-style-type: none"> • Partner Perception baseline and plan of action for improvement approved • Communication Strategy approved • 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 • Legal/IP Network: CO coordinates the development of best practices to implement the CGIAR IA Principles in the CRPs; one annual meeting

system <ul style="list-style-type: none"> Gender experts focus on gender research quality standards and on capacity building needs in gender research Genetic Resources experts focus on in situ agro-biodiversity and develop and animal genetic resources strategy – initiate discussion on genetic resources strategy 	<ul style="list-style-type: none"> Shared data management standard system is on-line
5. Internal Consortium business	
<ul style="list-style-type: none"> Continued support for Board and Members Ensure privileges and immunities for the CGIAR Consortium Legal separation from Bioversity Partial administrative separation from Bioversity Prep move to new office. Finalize staffing Continued compliance with legal requirements 	<ul style="list-style-type: none"> HQ Agreement ratified by French Parliament The CO establishes administrative independence (elements of personnel management, all travel, purchasing, etc. assuming corporate bank account is established) All logistics and plans finalized for physical move

In addition to the regular annual work cycle as budgeted in 2012, the Consortium POWB for 2013 includes a fund reserve for the following items to complete the Workplan outlined above:

- SRF Action Plan: meetings and consultants to support the system and CRP level prioritization processes: \$250K.
- Legal and governance: finalization of the COF and other Consortium policies and standards, with emphasis on a program of work related to strengthened governance across the Consortium and its members, reservation for additional legal and governance staffing or consultants: \$150K.
- Internal Audit: strengthening of the Internal Audit Unit with a CRP (cross-center) audit plan: \$250K.
- Performance monitoring: baseline assessments of CGIAR partner perception and brand recognition: \$125K in 2012, and \$25k in 2013.

2013 Staffing

The Consortium Office will be at full strength at the leadership (director) level, as shown in below.

Table 3: Consortium Office Staffing Plan for 2013

Department	Staff Positions					Total Staff
CEO	CEO	Director of Staff	Policy Advisor, Board Secretary			3
Science	Director of Science	Program Officer, CRP	Senior Program Officer, CRP			3
KM & IT	Director of KM & IT	Senior KM -IT Officer	Data Officer	Media Officer		4
CSE	Director of CSE	Finance Officer	Accounts Assistant			3
Legal & IP	General Counsel					1
HQ & Support	Office Manager	Assistant CEO	Assistant Science/ Comms	Assistant CSE/ LIP	Assistant to Board (Uruguay)	5
						19

Off the staff shown in Table 3 above, all positions are expected to be filled per January 1, 2013, except for:

- Vacancy for a Senior Program Officer, CRP (replacing Andrew Ward); and
- New positions for: (1) a Media Officer/writer / web content officer; and (2) an Accounts Assistant.

In addition, the Legal & IP department foresees the need for temporary (2013) staffing or consultant costs to meet 2013 peak needs to finalize the COF and other policies, particularly governance related (not included in table 2 as it is a temporary allocation).

The staff shown in Table 3 will be allocated against the Consortium's key products and services as shown in Table 3 – which also costs the staff and additional variable budget to analyse the cost of the 5 key Consortium functions.

Table 4: Allocation of staff against key Consortium services.

		Staff Time Allocation						Total
		CEO	Science	KM & IT	CSE	Legal & IP	HQ & Support	\$
1	Finalise Common Operational Framework	0.5	0.3	2.0	0.6	0.3	1.0	1,503
2	Core business: Managing annual CRP cycle	1.0	2.0		1.0	0.1	1.0	2,032
3	Shared standard/systems/services (development and service provision)	0.5		1.0	0.8		0.7	1,167
4	CoPs/ Institutional Relations (development and support)	0.5	0.5	0.8	0.4	0.2	0.8	1,031
5	Internal Consortium Business	0.5	0.2	0.2	0.2	0.3	1.5	899
TOTAL		3.0	3.0	4.0	3.0	1.0	5.0	6,631

2013 Budget requirements

Table 5: 2013 Core Budget Proposal

	Board	CEO	Science and	KM & IT	CSE & OCS	Legal and IP	HQ	Total
Salaries		940	672	685	470	190	335	3,292
Fees	275							275
Consultants		375	100	200	340	150	-	1,165
Travel	270	250	60	80	60	30	12	762
Meetings and other		120	40	73	73	5	70	381
Administration	52	212	120	139	127	52	54	756
Total	597	1,897	992	1,177	1,070	427	471	6,631

Table 6: Capital Investment for 2013

IT room	10,500
Networking Infrastructure	26,000
PBX, IP and 50 telephones	45,000
Visio and Video equipment	220,000
Landscaping and Parking	67,500
Furniture and internal equipment	131,000
TOTAL	500,000

Table 7: Total proposed budget for 2013 compared to approved budget 2012

in US\$000

Expense Item	2012 Approved Budget	2013 Proposed Budget
Board/Council meetings (including travel of members)	1,074	597
Personnel Costs		
Professional Staff	2,256	3,035
Administrative Support	299	257
Long term Consultant	319	345
Short term Consultant	990	1,160
Total	3,864	4,797
Number of staff (Full Time Equivalent)		
Professional Staff (by function: incl int. & locally-recruited)	12	15
Administrative Support (incl Montevideo)	4	4
Total FTE	16	19
Number of Long Term Consultants	2	2
Travel		
CEO	81	250
Science and gender	149	60
Communications and legal	135	110
Finance, Corporate Services, shared services, and admin	99	72
Consultant travel		
Total	464	492
Meetings and Workshops		
CEO	0	60
Science and gender	285	276
Communications and legal	20	119
Finance, Corporate Services, shared services, and admin	145	73
Total	450	528
Operating Expenses		
CEO	0	60
Science and gender	0	0
Communications and legal	50	20
Finance, Corporate Services, shared services, and admin	330	100
Total	380	180
Overhead Charges		
On personnel	576	719
On all other	55	48
Total	631	767
Sub-Total	6,863	7,361
Carry Forward from previous year		(650)
TOTAL	6,863	6,711
Financing		
From the CGIAR Fund	6,163	5,981
From other sources	700	730

Table 8 : Allocation of Resources to Activities

Objectives	<u>2012</u>	<u>2013</u>
	<u>Approved</u>	<u>Proposed</u>
	\$ 000	\$ 000
Board and Committee Meetings	1,074	597
CEO		
Finalise Common Operational Framework	263	285
Core Business: Managing annual CRP cycle		630
Shared standard/system/services (development and service provision)		400
Communities of Practice/Institutional Relations (development and support)	262	300
Internal Consortium Business	262	282
	788	1,897
Science and Gender		
Finalise Common Operational Framework		85
Core Business: Managing annual CRP cycle	1,468	1,080
Shared standard/system/services (development and service provision)		-
Communities of Practice/Institutional Relations (development and support)	156	270
Internal Consortium Business		57
	1,624	1,492
KM & IT		
Finalise Common Operational Framework	595	607
Core Business: Managing annual CRP cycle		-
Shared standard/system/services (development and service provision)	238	343
Communities of Practice/Institutional Relations (development and support)	397	182
Internal Consortium Business		45
	1,230	1,177
CSE, Headquarters & OCS		
Finalise Common Operational Framework	305	220
Core Business: Managing annual CRP cycle	802	695
Shared standard/system/services (development and service provision)	416	366
Communities of Practice/Institutional Relations (development and support)	38	157
Internal Consortium Business		179
	1,561	1,617
Legal & IP		
Finalise Common Operational Framework	222	307
Core Business: Managing annual CRP cycle		20
Shared standard/system/services (development and service provision)		-
Communities of Practice/Institutional Relations (development and support)	244	114
Internal Consortium Business	120	140
	586	581
	6,863	7,361

Table 9: Reconciliation of Core to Total Budget

TOTAL BUDGET BY DIVISION
\$ 000

	Core	Other Sources	Total
Board	597		597
CEO	1,897		1,897
Science & Gender	992	500	1,492
KM & IT	1,177		1,177
CSE & OCS	1,070	76	1,146
Legal & IP	427	154	581
HQ	471		471
	6,631	730	7,361

Table 10: Reconciliation of Total Budget to amount requested 2013

	Core	Other Sources	Total
2012 Approved Budget	6,163	700	6,863
less forecast spend	(5,513)	(546)	(6,059)
B/f from 2012	650	154	804
Request for 2013 - new money	5,981	576	6,557
Total Requested Budget 2013	6,631	730	7,361