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# CGIAR Research Programs Second Call Guidance for Pre-Proposals

Companion to the 2016 – 2030 CGIAR  
Strategy and Results Framework

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15 June 2015  
CGIAR Consortium Office

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## 1 INTRODUCING THE 2<sup>nd</sup> CALL

CGIAR is a global research partnership that is a leading provider of research and development in agriculture (including crops, livestock, aquaculture and forestry).

**Our vision** is a world free of poverty, hunger and environmental degradation.

**Our mission** is to advance agri-food science and innovation to enable poor people, especially poor women, to increase agricultural productivity and resilience; share in economic growth and feed themselves and their families better; and manage natural resources in the face of climate change and other threats.

**CGIAR's 2016 – 2030 Strategy and Results Framework (SRF)**<sup>1</sup> defines CGIAR's aspirations and strategic actions to deliver on our mission.

**Our SRF is ambitious:** By 2030, the action of CGIAR and its partners will result in 150 million fewer hungry people, 100 million fewer poor people – at least 50% of whom are women, and 190 million ha less degraded land. CGIAR system entities plan to deliver on the SRF by focusing on three goals (System Level Outcomes or SLOs), and their respective underlying intermediate development outcomes (or IDOs), refer figure 1 below.

Figure 1: SRF system level and intermediate development outcomes



**Implementation of the 2016-2030 SRF is planned in phases, with 2017-2022 representing the initial 6-year operational period.** CGIAR plans to realize these shared outcomes through the creation of a comprehensive new portfolio of CGIAR Research Programs (CRPs) that build on successes to date, lessons learnt, and new science and technology that bring exciting opportunities.

<sup>1</sup> Approved by the CGIAR Consortium Board at its twentieth meeting (CB/B20/DP04). Find it here: [CGIAR 2016 - 2030 SRF](#).

**With the SRF providing the overall strategic direction, research priorities and Results Framework<sup>2</sup>, this Guidance document (Guidance) sets out:**

- a. The overarching framework for the 2<sup>nd</sup> Call for CRPs (CRP 2<sup>nd</sup> Call); including the timetable for final approval of the next generation CRPs; and
- b. The specific requirements and assessment criteria for the pre-proposal phase.

In a number of sections, preliminary information on the requirements for full proposals is also provided, as a guide. However, comprehensive details relevant to the full proposals will be made available prior to submission of the full proposals in 2016.

#### **Submission of pre-proposals**

- Pre-proposals must be submitted in Microsoft Word format by **not later than 15 August 2015** to [crp-proposals@cgiar.org](mailto:crp-proposals@cgiar.org). Late proposals will not be accepted.
- To facilitate on time review, and submission to the Consortium Board for approval post ISPC review, **pre-proposals must adhere to the maximum page limits** set out in this Guidance.

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<sup>2</sup> This Guidance is subsidiary to the SRF, so that in case of differences, the SRF prevails.

## 2 ANNOUNCING THE OPPORTUNITY AND THE ROADMAP TO APPROVAL

### 2.1 Launching the CRP 2<sup>nd</sup> call

The CGIAR Consortium invites the 15 CGIAR Centers and their partners to **submit by not later than 15 August 2015:**

- a. **A coherent set of interconnected 2017-2022 pre-proposals** to address the selected global challenges identified in CGIAR’s 2016 – 2030 SRF; and
- b. **Expressions of Interest** to coordinate a platform for one of four crosscutting issues (gender, capacity development, big data and ICT, and system wide policy on genetic resources).

**Specifically, the 13 interconnected CRPII Portfolio pre-proposals submitted in response to this call:**

- Should represent innovative programs of research that respond to the new CRP portfolio (CRPII Portfolio) described in Section 3 of this Guidance;
- Should follow the format (content and length) set out in Sections 4 and 7 of this Guidance; and
- Will be evaluated according to the criteria set out in Section 6 this Guidance, with Annex 3 providing early information on the proposed criteria<sup>3</sup> for the ISPC independent peer review of full proposals to be submitted in 2016.

### 2.2 The roadmap to final approval

To enhance the overall excellence and value for money of the CRPII Portfolio, the CRP 2<sup>nd</sup> Call will proceed according to three key phases: (i) pre-proposals; (ii) full proposals; and (iii) getting down to work as set out in table 1 below.

**Table 1: Timeline for issuing CRP 2<sup>nd</sup> Call**

Date/range	2 <sup>nd</sup> call stage
<b>June - Dec 2015</b> <sup>4</sup>	<b>(i) Pre-proposal stage and review</b>
15 June	Targeted call: Consortium Board invites Centers to submit pre-proposals for the agreed portfolio of 13 CRPs for the 2017-2022 6-year period.

<sup>3</sup> It is noted that the criteria for review of full proposals may be revised following the Fund Council’s review of the pre-proposals and ISPC and/or Consortium Board recommendations arising therefrom.

<sup>4</sup> In 2015 there will be a number of activities as part of GCARD3- 5-6 pilot national consultations and three regional consultations will provide opportunities for engagement with stakeholders and partners for the further development of the portfolio.

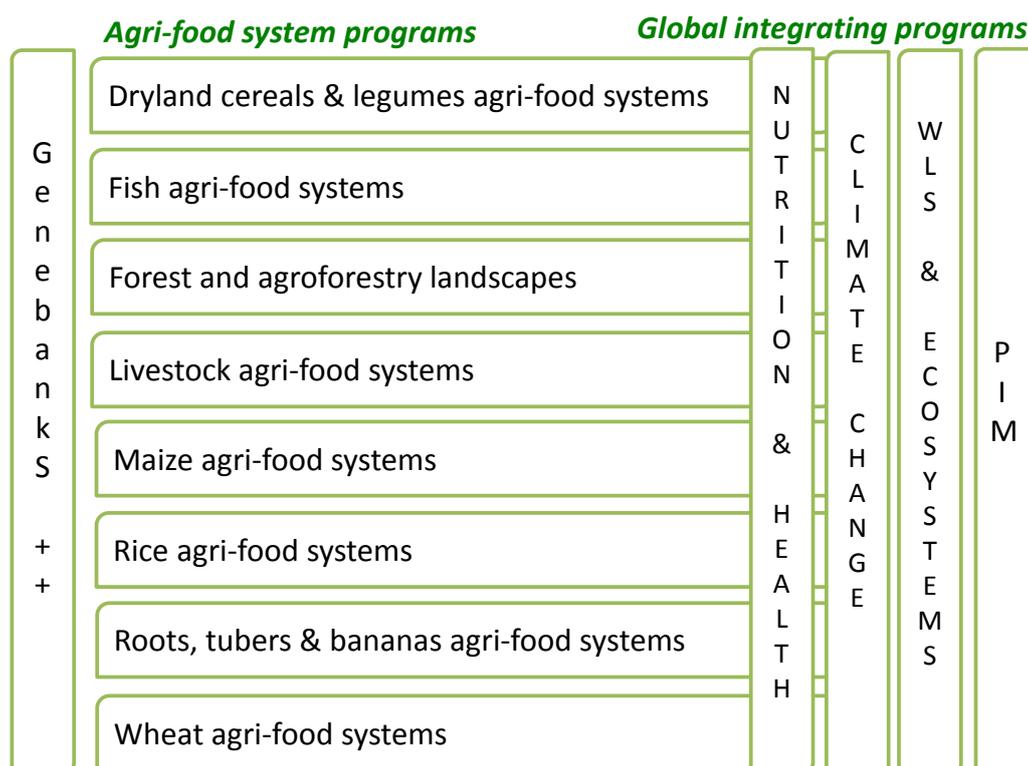
Date/range	2 <sup>nd</sup> call stage
15 August	CRP pre-proposals deadline and shared with the Consortium Board, ISPC and the Fund Council.
16 August – 27 September	ISPC independent peer review period; Consortium Office/Fund Office pre-approval preparations
28 September	ISPC finalizes their independent peer review and subsequent submission of outcome from that review to the Fund Council by end September 2015
29 September	ISPC-Fund Council-CGIAR Consortium-Center meeting to discuss the portfolio post-ISPC review in Paris
2 – 3 October	Consortium Board meeting to determine package of pre-proposals and other recommendations to be made to the Fund Council to address the full scope of the ISPC recommendations (ratings A. through D.)
6 October	CGIAR Consortium submits pre-proposals to the Fund Council
7 November	Fund Council approval of CRP pre-proposals and related follow-up actions
<b>Nov 2015 - Nov 2016</b>	<b>(ii) Full proposal stage and review for proposals rated A or B</b>
16 November	Consortium Board invites approved proposals to submit full proposals and initiates other follow-up actions.
19-20 November	ISPC-Consortium-Center meeting to discuss ISPC pre-proposal review and ISPC/Fund Council guidance for full proposals
16 November 2015 – 31 March 2016	Centers prepare and submit full CRP proposals
Jan-Feb 2016 (date TBC)	GCARD3 in Africa (and national consultations during Q1 of 2016)
1 April – 16 June 2016	ISPC pre-review of CRP full proposals
17 June 2016	ISPC-Consortium –Centers-donors meeting to discuss ISPC review
17 June – 31 July 2016	Centers revise proposals (and shared with new CGIAR System Council)
1 August – 30 September 2016	ISPC (Re-) Review of CRP full proposals
10 November 2016	CGIAR Council decisions on CRP proposals
10 November – 10 December 2016	Center revisions of CGIAR System Council must-haves, if any
10 - 20 December 2016	ISPC final check of CGIAR System Council must haves
10 November - 31 December 2016	New CRP legal agreements put in place between CGIAR System Council and lead Centers
<b>From Jan 2017</b>	<b>(iii) CRP II implementation</b>
Starts 1 January 2017	A rolling 6-year program of research with committed funding for the initial 3 years, renewable depending on progress.

### 3 “RAISING THE BAR” – DEFINING THE NEW CRPII PORTFOLIO

#### 3.1 Introducing the CRPII Portfolio

To address the selected global challenges identified in CGIAR’s 2016-2030 SRF, the CGIAR Consortium invites the submission of 13 interconnected pre-proposals as described in this Section and visualized in figure 2 below, comprising a comprehensive portfolio of eight agri-food systems programs and five integrating global programs.

Figure 2: Visual representation of the CRPII portfolio



This Section 3 describes the 13 proposed CRPs (3.2), and explains what is new in the CRPII Portfolio (3.3). It also describes the four coordinating platforms (3.4) for which Expressions of Interest (EOI) are being sought concurrently with the CRPII pre-proposals.<sup>5</sup>

Section 4 identifies what to include in the CRP pre-proposals. Section 5 of this Guidance provides more information on the pre-proposal review process and section 6 sets out criteria for assessing CRPII pre-proposals.

<sup>5</sup> Whilst the preferred manner of addressing the important research questions arising from these cross-cutting topics is within the cross-cutting CRPs themselves, it is recognized that there may be compelling reasons why a cross-cutting platform can offer additional strengths beyond what is possible under an individual CRP. For this reason, the EOI category has been introduced. If the 4 topics are adequately addressed in the CRP proposals, a cross-cutting platform approach may not also be required.

### 3.2 The Proposed CRPII Portfolio

The CRPII Portfolio has been developed and informed by the Fund Council, ISPC, Centers and other stakeholders. The portfolio builds on aspects of the existing CRPs to maintain momentum in selected areas, but puts more emphasis on the following research areas and domains:

- **Integrated agri-food systems based approaches:** Recognizing the complexity of food systems, their interconnections with environmental factors and the consequences of globalization. Advancing productivity through sustainable intensification and value adding along agri-food value chains will have greater emphasis. Thus delivering a host of national and global benefits, including economic growth and employment growth in rural and regional economies and more sustainable natural resource management.
- **Nutrition and health:** Ensuring that all crop, livestock and fish research programs include nutritional improvement as an embedded objective, recognizing the importance of diet diversity and the critical role of fruit and vegetables in low-income countries. In-depth knowledge is also required on all the biological and socioeconomic determinants and consequences of dietary behaviors, and on the relationships between food, nutrition, prevention and health.
- **Climate change:** Driving an urgent shift towards more sustainable, diverse, adaptive and climate smart agriculture. Hence research on improving crop and livestock tolerance to higher temperatures and resilience to variable weather; engendering efficient use of natural resources; exploring varied crops and farming practices that exploit system dynamics. In addition, a better understanding of the consequences of climate change along the value chain from farmers' fields to consumers, including the effect of climate change on the nutritional characteristics of food. Reducing enteric fermentation emissions from livestock and increasing efficiency and targeted use of nutrients in crops are also high priorities to mitigate the effects of climate change.
- **Soils and degraded land:** Soil organic matter and carbon comprise the largest terrestrial pool of organic carbon with a significant impact on greenhouse gas, microbial ecology, soil stability and a reservoir of nutrients. Soils are therefore critical for agricultural production and environmental protection. More focus is needed on the ecology and sustainable management of soils (including technologies for the restoration of soils that have become unfit for cultivation and the potential to mitigate climate change through soil carbon sequestration). This includes designing farming systems to maximize soil carbon sequestration in soils.
- **Reducing food systems waste.** An estimated one-third of all food produced globally is wasted. More research is required into crop varieties that have better storage properties, together with better logistics and infrastructure in food supply networks in low income countries. Opportunities also exist along the food value chain to use waste

for other co-benefits related to sustainability and profitability – enhancing soil condition, energy generation and bio-products. Innovation and partnership with the private sector could significantly help this challenge.

- **Food safety:** Is an often neglected but essential component at the nexus between nutrition and agriculture that requires additional research. For example, aflatoxin contamination is one of the most pressing food safety challenges in the developing world.
- **Global stewardship of genetic resources:** Identifying and nurturing new sources of genetic variation is a critical component of a long-term strategy to enhance the productivity, sustainability and resilience of nutritious global food systems. As such, the genetic diversity present in CGIAR genebanks is pivotal to the delivery of the system wide goals and outcomes described in the SRF. Genetic resources are the ‘common denominator’ for all CRPs. The emerging deluge of omics data along with mathematical models and systems biology approaches is providing new opportunities to unleash the true value and potential of genebanks. This includes providing new insights into the domestication of crop genomes, new opportunities to accelerate plant breeding and improve the efficiency and effectiveness of maintaining and collecting genetic diversity. Strategic positioning CGIAR genebanks in this new research landscape is a priority and we envisage a more coordinated approach to the use of genetic resources, strengthening policy research, exploiting data driven exploration of diversity and accelerated deployment in breeding programs. This will require more emphasis on partnerships within and outside CGIAR.
- **Big data & ICT:** Enormous amounts of data are being rapidly generated in agri-food systems, from the lab to the field to the retailer. Ensuring that these are easily discoverable, accessible, interoperable, and repurposed is a critical need to drive innovation throughout the value chain. Using high throughput methodologies, decision support tools, mapping and visualization tools, and systems-based approaches, these data can be expertly pooled, structured, mined, and mapped to tackle complex research questions and identify new areas for research, development and innovation. Better models and data are crucial for developing solutions that will help increase productivity, enhance nutrition, increase resilience to the effects of climate change, and preserve/enhance natural capital. These capabilities can be made available in a coherent, user-friendly platform similar to those already fueling transformative changes and innovation in the medical and ecological informatics communities.

**The new CRPII portfolio, which is expected to have greater prominence on these research areas and domains, is structured around two interlinked clusters of challenge-led research as follows:**

**Innovation in agri-food systems: that adopts an integrated approach to advancing productivity, sustainability and resilience in agri-food systems**

To respond effectively to this cluster of challenge led research, CRPs should focus on integrated genetic and management improvement practices to increase resilience to biotic and abiotic stresses, climate change, resource efficiency and nutritional outcomes. Each CRP should be underpinned by modern scientific approaches, with the potential to generate 'step changes', adopt a systems-based approach and deliver outcomes at scale.

**There are 8 proposed agri-food system CRPs**, representing major agri-food and agro-ecological farming systems as entry points to integrate commodity-based research with place-based research to focus on the livelihoods challenges facing farming households. These are briefly described below:

- 1. Dryland Cereals and Legumes Agri-food Systems:** The goal of research should be to improve inclusive income, food and nutrition security, and environmental sustainability farming practices in small-holder agricultural systems that involve legumes globally and dryland cereals in Africa and Asia. Research should focus on the transition from underperforming to functional value chains in these regions by breeding reliable and marketable commodities (sorghum, millets, barley, grain legumes, forages), that offers diversified land-use (crop-livestock-tree integration) options for small farmers,
- 2. Fish Agri-food Systems:** Research should be focusing on the technological innovation, skills and accompanying institutional change required to achieve: (i) sustainable, inclusive intensification of aquatic farming systems, in particular of fisheries and aquaculture; (ii) development of value chains providing improved supply of fish and other nutrient rich products for poor rural and urban consumers; and (iii) socio-ecological resilience of aquatic ecosystems and the livelihoods and food systems that depend on them.
- 3. Forest and Agroforestry Landscapes:** Research should be focusing on food and non-food (high value bio-products), wood, and energy value chains from forests and trees; associated livelihoods systems with particular reference to land tenure, rights, marginalized communities, gender and equity; as well as issues related to land use change, deforestation, biodiversity conservation and use, landscape restoration, trade, investments, benefit-sharing and foresight studies at landscape levels.
- 4. Livestock Agri-food Systems:** This CRP should focus on increasing the productivity and resilience of small-scale livestock for men and women producers so as to increase availability and affordability of meat, milk for consumers. It should examine the interface between livestock and climate, both mitigation and adaptation and the role of forages in ruminants. Major opportunities exist for the application of genomics in

conjunction with modern husbandry practices in livestock to address such issues as adaptation to extreme environments.

5. **Maize Agri-food Systems:** Research should be seeking to ensure increasing demands for food are met and food prices are less volatile and are maintained at levels that are affordable for poor consumers, whilst at the same time creating farming systems that are more sustainable and resilient, despite the impacts of climate, and their dependence on irrigation and increasingly expensive fertilizers is reduced. Crucial to success of the CRP is that disadvantaged male and female farmers and countries gain better access to improved seed and cutting-edge proprietary technologies through innovative partnerships, in particular with advanced research institutes and the private sector.
6. **Rice Agri-food Systems:** Research will adopt a systems based approach to substantially increase the productivity, nutritious quality, and resource efficiency of rice-based farming systems. Nutritious and healthy rice should be affordable to the increasing number of poor net rural and urban consumers. The research should be demand driven and based on development needs identified along the value chain, spanning male and female producers (farmers), input suppliers (seed, agrochemicals, etc.), post-harvest and processing industry, and other agents all the way to consumers.
7. **Roots, Tubers and Bananas Agri-food Systems:** Research should be focusing on vegetatively propagated staple crops that are linked by common management aspects. Most notably, the linkage between seed and postharvest issues and by the frequency with which women are involved in their production and postharvest use. They often complement cereals in cropping systems to reduce risk and make more efficient use of resources, for example, by providing food earlier in the farming calendar or entering into a fallow period between grain crops. They offer excellent prospects for bio-fortification and play a key role in helping to build stronger, more diversified and more inclusive crop and farming systems to reduce the risk of food shortages and nutritional shortfalls. The research should cover six crops: bananas (and plantains), cassava, potato, sweet potato, yams, and other roots and tubers and span the full value chain from upstream discovery to research and delivery.
8. **Wheat Agri-food Systems:** Research should be focusing on: (a) utilizing genetic diversity for allele and gene discovery to address stagnating yield potential, heat and drought tolerance, durable disease resistance; (b) breeding methods and seed systems, which will shorten the time from discovery to improved, climate resilient varieties grown in farmers' fields; (c) wheat quality research essential for better nutrition and food safety, gender equality and smallholder market potential; (d) innovative agronomic practices involving integration of genetics with natural resource management and (e) innovation systems based on a more comprehensive understanding of farmer adoption, making greater use of inter-CRP and development partner collaboration.

Although each of the 8 agri-food research programs are designed to tackle different challenges, where appropriate, joint genomics and informatics research should be undertaken to bring critical mass and expertise to bear on common problems together with selected field/phenotyping platforms. For example, breakthrough breeding technologies such as genomic selection and genome editing should be seen as an opportunity to drive collaboration across CRPs, and at the interface of crop, livestock and fish where common approaches can be tested and developed. These technologically driven opportunities will need to be integrated with holistic farming systems based approaches to generate the added value needed to generate innovative solutions to global challenges.

The genetic resources that underpin crop, livestock and fish improvement need to be closely integrated and connected to these CRPs to maximize opportunities for rapid trait integration and deliver 'step changes' through the use of novel forms of diversity. The agri-food system CRPs are also expected to develop integrated approaches to food and farming systems at different scales from field to landscapes. As described in more detail hereafter, the CRP pre-proposals are expected to identify the countries targeted for impact at scale and in those geographies CRPs are expected to collaborate to achieve impact. That enables crops that are part of different CRPs but that are grown in rotation, such as wheat and potatoes, to be part of joined-up research in shared sites to examine the whole agricultural system throughout the seasonal cycle.

The positioning of each CRP in relation to the role of the private sector needs also to be explicitly described together with opportunities to reduce food waste, enhance food safety, soil health and nutritional composition.

**Global integrating programs: Genebanks ++; Nutrition and Health; Water Land and Ecosystems (including soils); Climate Change; and Policies, Institutions and Markets** research and development

To respond effectively to this cluster of challenge led research, CRPs should be framed in a way that ensures close work with the eight agri-food systems CRPs within relevant agro-ecological systems. Proposals should consider the influence of rapid urbanization and other drivers of change to ensure that research results deliver solutions at the national level that can be scaled up and out to other countries and regions. As cross-cutting research programs, they will need to continue to work on thematic and place-based initiatives with partner research institutions to ensure that the best science is levered to address these grand challenges.

**The five proposed global programs** are briefly described below:

9. **Genebanks ++**<sup>6</sup>: New developments provided by big data and high-throughput technologies have increased the opportunities to improve the operational efficiency of genebanks and to utilize genetic diversity in a more efficient and coordinated manner. These advances have also created new opportunities and needs for global strategic alliances and standardization of methodologies across all crops. These global initiatives have the potential to trigger an explosion in our scientific knowledge and understanding of genetic diversity that could enable true step changes in the breeding of many species. Genebanks ++ should be designed to increase the international profile of CGIAR genebanks, attract additional investment and accelerate the use of genetic diversity in breeding programs. It is recognized that many elements of the program will continue to be conducted within the agri-food system programs whereas other elements will have their primary focus within Genebanks ++.

- a. A Genebanks ++ CRP will, at a minimum, ensure that the CGIAR in-trust plant genetic resources collections are maintained, and genetically and phenotypically characterized to maximize their exploitation.
- b. The proposed program should: (i) establish an international network that connects CGIAR's gene-banks to global communities of researchers interested in connecting physical seed stocks to digital genomes; (ii) develop a network of multi-user, coordinated field phenotyping locations across a range of agro-ecological zones with the capacity to reproducibly phenotype a range of organisms and populations; (iii) develop novel populations and Genome wide association studies to better understand the functional basis of traits that contribute to productivity and resilience including pest and diseases resistance and response to abiotic stresses; (iv) explore how emerging technologies in conjunction with genetic diversity can accelerate domestication and identify genes involved in perennation of annual crops, redesigning above and below ground plant architecture; (v) ensure that all data emerging from this research is deposited in public databases in accordance with CGIAR Open Access Policy; (vi) expand the traditional focus on genetic diversity and improvement of major food crops to include a broader range of species to include "orphan" breeds and

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<sup>6</sup> At the request of the Fund Council, the Consortium Office presented a Genebanks Options paper to the 13<sup>th</sup> Fund Council meeting (FC13) in April 2015 (available here: [Genebanks Options Paper April 2015](#)). Options 1 and 2 from that paper were approved, with a funding commitment from the CGIAR Fund of \$93M. In essence, the elements of Options 1 and 2 of that paper make up the core components of the Genebanks++ CRP, with a strong emphasis on improving the value of the genebanks beyond their current use for breeding of mandate crops. Therefore Options 1 and 2 of the Genebanks Paper, with the designated core funding, are at the center of a Genebanks++ CRP pre-proposal, but need not be the limit. In line with the FC13 decision, at a minimum a pre-proposal is invited on how key new pieces (policy, phytosanitary, data management, collecting, outreach and partnerships, etc.) can be integrated within the new CRPII Portfolio, building on the current Genebank CRP, and how this work should be managed.

species that may be very important for poor producers but which so far have received comparatively little attention from formal breeding efforts.

10. **Nutrition and Health:** This program should emphasize nutritional composition and diet diversity, together with enhancing the benefits of agriculture at scale by improving nutrition through bio-fortification and value chains and mitigating health risks from agriculture including food safety, diseases associated with agricultural intensification, as well as diseases associated with agriculture in vulnerable groups. Improved nutritional outcomes through agricultural interventions will require both socially inclusive access to affordable nutritious food and a willingness to consume it. Improved outcomes will also require plant and animal breeding to improve food fortification, together with interventions that increase the diversity of affordable and nutritious food types (especially fruit and vegetables). Further, food safety to protect the health of local consumers and allow produce to enter the international food supply chain, and designing agricultural systems to reduce risks to human health associated with climate change.
11. **Climate Change:** This program should deliver a diagnosis of the directions and potential impacts of climate change for agriculture, and identification of adaptation and mitigation options for agricultural, food, and environmental systems. This CRP should work from household to global levels enabling climate-smart agriculture (CSA). The proposed research should involve identifying with key stakeholder the context-specific technologies, practices, and institutional/financial arrangements that should be targeted; action research with implementation partners to understand the effective pathways to the CSA outcomes (productivity, resilience and mitigation); and policy analysis and engagement to scale up CSA. The research may involve: working with the climate science community to downscale climate models; linking the meteorological and agricultural communities to improve seasonal forecasting and climate-informed advisories for farmers, fishers and livestock-keepers; improving safety-nets in the face of variability and extreme events, with a focus on partnerships in the insurance industry and on food system decision-making; technical methods for greenhouse gas measurements and accounting; and analysis of the synergies and trade-offs amongst the three dimensions of CSA through a gender and social inclusion lens. Proactive management of forests and trees is an effective response to many of the challenges of climate change. These include contributions to carbon sequestration and mitigation of emissions (e.g. REDD+).
12. **Water, Land, Soils and Ecosystems:** This CRP should address the significant challenge of sustainably increasing agricultural productivity within the context of increasing risks associated with water security, biodiversity loss, soil degradation and degenerating natural capital. It should respond to the SRF's emphasis on natural resources and ecosystems services by building on its first phase, including land and water productivity

and resource management, and adding an increasing emphasis on land regeneration, soil health and the multiple issues of rapid urbanization. The CRP should combine a global thematic focus, integrate key geographic regions and coordinate with agri-food systems CRPs on innovations in natural resources management.

- 13. Policies, Institutions and Markets.** This CRP should focus on the policy and institutional foundations supporting attainment of the system level objectives. The CRP should have increased focus thematically and geographically, with greater selectivity to support the CGIAR portfolio as a whole. For example, the work on value chains will examine value chains for CGIAR mandate products in countries of concentration to allow national counterparts to identify where the largest value subtraction takes place, and to seek lessons in remediation.

### 3.3 New features of the CRPII Portfolio

The CRPII portfolio differs from the 2010-2016 CRP portfolio in the following ways:

***A designed Portfolio that adds value:*** The first round of CRPs were designed individually and at different time points resulting in free-standing programs of research, with few linkages to each other and with their own individual approach and terminology. The coordinated and managed process for the second call will allow strategic allocation of funding, ensure that proposals demonstrate synergy and contribute to an overall system wide portfolio that delivers impact that is greater than the sum of their parts. A designed portfolio will also reduce transaction costs.

***Greater focus on excellence and scientific leadership:*** CCGIAR's reputation is built on its research excellence and rigor. Global scientific leadership in selected areas is of critical importance to attract and retain talent and deliver on the ambitious goals described in the SRF. More attention will be applied to this area at various levels: review and selection of proposals, monitoring of programmatic outputs, and mentoring.

***Explicitly supporting innovation in agri food systems*** and integrated approaches that “steer” these systems to achieve development outcomes at various scales. This approach requires dynamic, integration of traditional agricultural outputs and socio-ecological outcomes. Balancing break-through discovery science, product development, and integrated, socially inclusive delivery at scale, to add value throughout the value chain linking smallholder producers to poor rural and urban consumers.

***Developing and investing in Big data and ICT:*** Insights gained from the study of large integrated data sets is already delivering benefits in agriculture across genetics, economics, agronomy, and hydrology, soil, and social science. Properly pooled, structured and mined, large datasets can identify new areas for research, development and innovation. For example, data generated from different areas such as agriculture, finance, diet and the environment can provide deeper insights into complex problems when interrogated with appropriate analytical and visualization tools. A global agri-informatics platform will be established to advance this area with collaborators from outside the CGIAR.

***Outcome focus:*** All programs are expected to be based on a clearly defined theory of change, well defined impact pathways, and identified outputs, as well as research outcomes, and specify targets towards (sub-) intermediate development outcomes as defined in CGIAR's 2016 - 2030 SRF.

***Collaboration among the agri-food system CRPs in defined geographies:*** Centers are requested to indicate in their pre-proposals in which focus countries they intend to contribute to impact at scale, and to be prepared to develop Site Integration Plans during the full proposal stage, in close consultation with national partners and each other, and with well-defined coordination mechanisms, led by a specified center or CRP in each country or site. The Site

Integration Plans are expected to demonstrate that the CRPs will jointly contribute to improved community livelihoods and resilience through locally appropriate farming and food systems.

**Five cross cutting global integrating programs:** While the current portfolio has programs in the same areas, the linkages between them and the current commodity CRPs are limited; the new pre-proposals are expected to demonstrate how these cross-cutting CRPs work closely with the 8 agri-food CRPs and integrate across them to leverage best practice across the portfolio.

**Co-investment Incentives:** For this purpose each CRP pre-proposal is expected to allocate at least 10% of its funds for co-investment between a given Agri-food systems program and a Global Integrating Program to stimulate interdisciplinary research at the interface between the two categories of CRPs. It is expected that such research will meet the following criteria: (i) scientific excellence, (ii) tackling significant questions at the intersection of disciplines, and (iii) involving at least two (preferably more) CRPs representing the Agri-food and Global Integrating CRPs.

**Cross-cutting coordination platforms:** While the cross-cutting CRPs are the preferred method of integration and coordination across the agri-food system CRPs, an alternative option is to have a specific Center coordinate a platform across the portfolio for a specific cross-cutting issue. For example, gender research could either be coordinated through a Flagship Project<sup>7</sup> (Flagship) as part of the PIM CRP, or through a platform coordinated by one of the Centers.

**In addition to pre-proposals for the 13 CRPs the Consortium therefore also invites Centers to express interest to coordinate a platform for a specific cross-cutting issue through submission of a detailed 'Expression of Interest' (EOI), as further elaborated under section 3.4 below.**

Following review of the CRP pre-proposals and the platform EOIs, the stronger of the two alternatives will be selected for further development during the full proposal stage. Thus, whilst EOIs for the 4 proposed cross-cutting platforms are sought, the final number of platforms that are part of the new CRPII Portfolio will be determined by the Fund Council.

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<sup>7</sup> Flagships are expected to be research entities of between US\$ 20-100 million dollars over the 6-year CRPII Portfolio period, be defined on geographical or thematic basis with articulation of how they contribute to IDOs, and to be the unit of evaluation of pre-proposals in 2015.

### 3.4 Proposed Coordinating Platforms

The objective of the coordinating platforms is to step up the cooperation and coordination of research activities carried out across the CRPII Portfolio, including through significantly enhanced exchange of information and best practice, and implementation of joint research activities. Up to four coordinating platforms (depending on the quality and coherence of the CRP pre-proposals and platform EOIs received) will support the CRPII Portfolio and provide a focal point for both internal and external engagement.

**The four coordinating platforms aim to coordinate research embedded in all CRPs across the CRPII Portfolio to strengthen research as briefly described below:**

- **Gender:** Generate new knowledge on how gender inequalities affect food production, availability and nutrition outcomes across programs. Deepen understanding of how to design and operate rural extension and business development services, value chains, innovation platforms and similar institutions to include women equally with men. Use these findings to set research priorities and targets and to plan strategically when and how innovation design and delivery will address gender differences in agriculture.
- **Partnerships and Capacity Development:** Capacity development will seek to enhance innovation throughout the agri-food system, including farmers and other groups along the value chain. The main objective(s) of the platform on CapDev will be to work with the CRP portfolio, other CGIAR entities as well as external partners to coordinate the CGIAR offer on capacity development, encompassing both efforts geared at individuals through fellowships and short term training as well as institutional capacities of partner research organizations and those of poor and vulnerable communities, including the capacity to innovate. It will aim to generate new knowledge on what types of capacity development are likely to yield the best return on investment in different research to development pathways, paying special attention to advances in technologies and their potential for scaling research outputs and innovation through strategic partnerships.
- **Big data and ICT:** A number of scientific organizations have developed high performance computing facilities and big data analytical capabilities. A major opportunity exists for the CGIAR to leverage this investment in capability and infrastructure to advance the global public good mission of the CGIAR. It is anticipated that the successful Lead Center will have established strong credible partnerships across the Consortium and beyond it, conducted a robust landscape analysis, and work with existing and promising efforts to support the creation of a global-agri-informatics platform and network that ensures compliance with Linked Open Data and other standard interoperability protocols.
- **System Wide Genetic Resources Policy:** The topic of genetic resources is one component of a complex system, in which biological, political, legal and economic

factors are at play. The many facets and their interactions are affected by global, regional, and national events far outside CGIAR's ability to control them directly. In order to respond efficiently and effectively to the global demands on genetic resources, CGIAR must leap from its paradigm of individual voices to a fully coordinated policy on genetic resources management across the system. There is also an urgent need for greater visibility and 'a single voice' for the system's effort in genetic resources, particularly in the policy arena.

The Terms of Reference for the EOIs for coordinating platforms are set out in Annex 1.

### **3.5 Mainstreaming youth and private sector engagement**

The areas of youth and private sector engagement were highlighted in the SRF as topics that require further development and co-ordination.

The rising demand for food (including more nutritious and varied foods), feed, fiber and fuel by a growing and more prosperous global population brings the opportunity to undertake research to support the optimal configuration of agribusiness value chains that deliver greater value and opportunities for young people.

There is also the critical importance of forging dynamic partnerships at each stage of the R&D or policymaking process, including stronger links with business partners to reflect the increasing role of private sector research and innovation in global agriculture. Working in partnership with the private sector can unlock new investment, technology and "know how" to accelerate the translation of science along the R&D pipeline for delivery and impact at scale. New opportunities exist for co-investment and the establishment of Public-Private Partnerships, but more importantly the formation of new networks that can stimulate innovation to tackle global challenges more urgently.

To maximize CGIAR's contributions in these areas, we recognize the importance of coming together to identify the most effective way to achieve impact in line with the SRF targets. We propose that workshops on youth and private sector engagement are convened in Q3 2015 to identify these opportunities, and to then integrate these essential thematic areas into the full proposal phase.

## 4 PRE-PROPOSALS: KEY ELEMENTS TO BE ADDRESSED

As an introduction to the pre-proposal template set out at section 7, this section 4 provides a high-level summary of the major areas of focus expected in pre-proposals.

**At the highest level, pre-proposals should:**

- Demonstrate a meaningful contribution to the targets identified in the SRF;
- Focus on tractable research questions;
- Identify and describe the scientific and strategic rationale, key, gender and partnership strategy for maximizing impact, and overall theory of change and impact pathway for the program as a whole; and
- Lay out embedded concept notes for a number of Flagships<sup>8</sup> through which the program aims to contribute to development outcomes in specific geographies or thematic areas.

**To facilitate a preliminary assessment of demonstrated contribution towards CGIAR's 2016 – 2030 SRF generally, and aspirational CGIAR development targets for 2022 specifically, either directly or indirectly, and overall value for money and added value of the proposed research, all CRP pre-proposals must contain, amongst the other items set out in section 7:**

- **A summary of a CRP's expected results in the form of a CRP 'Performance Indicator Matrix', which makes explicit the CRP's proposed contribution to the CGIAR targets at IDO and/or sub-IDO levels for each Flagship; and**
- **High-level indicative estimates of the budget associated with the achievement of each result or outcome specified in the Performance Indicator Matrix.**

For those pre-proposals (and Flagships) that are to be taken forward, the full proposal must then set out the research plans in sufficient detail to assess:

- The scientific quality, originality, excellence and relevance of the proposed research program;
- The track record of the proposed teams, the strength of the partnerships and partner strategy for maximizing impact, and the potential impact and 'reach' of the proposed outcomes; and
- The appropriateness of the proposed detailed budget in relation to the scale of the challenge being addressed and the potential promise of the research.

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<sup>8</sup> Flagship projects may be defined thematically or geographically to articulate the scientific/system issues they are addressing, identifying routes towards the IDOs and the IPGs that will result from this investment.

In the sub-sections that follow, **with a clear focus on CRP pre-proposal requirements**, this Guidance does also provide preliminary information on the increased level of detail that will be required in full proposals.

#### **4.1 Flagship projects and clusters of activities**

Each CRP pre-proposal will specify how it is broken down into up to 7 structured **Flagship Projects** (Flagships). Each Flagship will have specific objectives that address sub-IDOs and may produce several outputs and research outcomes to achieve 2 to 3 of the CGIAR targets specified in the SRF.

Full proposals will need to set out, for internal CRP management purposes, clearly articulated **Clusters of Activities** (Cluster) that are sub-projects of each Flagship (in general 5 to 8). Each Cluster should result in products, services or attributes linked to the objectives, or research outputs.

#### **4.2 Site integration plans**

Pre-proposals should indicate the focus countries for which the CRP intends to work together with other CRPs on the preparation of site integration plans, including carrying out necessary consultations with national partners and stakeholders. Focus countries are those in which a CRP expects to achieve research outcomes at scale.

Full proposals will need to set out detailed CRP Site Integration Plans to show how CRPs will work together in focus countries and in alignment with national priorities and activities. CRP leaders will develop sample Site Integration Plans at their meeting in June 2015, ground-truthing, which will be provided by national consultations (through the GCARD3 consultation process) to enable alignment with national priorities and activities. These plans will involve multiple CRPs working towards the same outcome with shared staff, measurements, equipment, facilities etc. whenever possible, giving CRPs more flexibility in allocating resources. Site integration plans will identify high priority or focus sites where multiple CRPs are active and that jointly:

- Represent a reasonable selection of agro-eco and farming systems, and target populations.
- Are reasonably aligned with CAADP and similar national government development priorities.
- Represent a common problem with solution elements delivered by multiple CRPs.
- Offer an opportunity to go to scale.

The national consultations in the framework of GCARD3 will be piloted during the pre-proposal stage in 5-6 focus countries, complemented by three regional workshops, and will continue during the full proposal stage for the remaining focus countries.

### 4.3 Partnership Strategy

CRP pre-proposals will indicate who the key strategic partners are and briefly describe their roles and added value. It is expected that in the pre-proposal, the initial or outline of a partnership strategy will describe a plan of how the CRP will deliver from discovery science to integrated delivery at scale.

CRP full proposals will then need to include a detailed partnership strategy that includes the following elements:

1. **Partnerships at the discovery, proof of concept, and pilot level (if relevant) and scaling-up phase.**
  - a. **Partnership at the discovery research level:** This can range from joint calls for proposals with national research organizations and funding agencies, or research programs with researchers from national research agencies and universities, to joint research with NARS, ARIs, private sector and other appropriate research entities in focus countries.
  - b. **Partnership at the proof of concept and pilot level:** Include local or regional organizations such as AGRA, local universities, private sector and other NGOs.
  - c. **Partnership for scaling-up:** Engage local business communities, policy makers, and farmers' organizations in the planning to ensure that technology and knowledge transfer is self-sustaining.
2. **Engagement and dialogue with stakeholders (starting with the GCARD3 process).** The pre-proposal should document whether and what (national) consultations have taken place; how the results have been incorporated in the proposal and what additional consultations are planned during the Full proposal stage. The pre-proposal will indicate how the CRP has interacted, or will engage during the full proposal development, with the GCARD3 consultation process.
3. **Alignment with regional initiatives [such as the Comprehensive Africa Agriculture Development Program (CAADP)].** For Africa, for example, evidence should be provided at full proposal stage that CRP activities: (i) enhance the capacity of mandated African institutions in articulating and advancing an Africa Science and Technology agenda for agriculture; and (ii) strengthen synergies between CGIAR planning processes for its Africa-oriented initiatives and CAADP-based priorities in research, policy analysis, training and effective knowledge management and sharing. For other regions CRPs are expected to engage with regional and national organizations e.g. SEARCA (Southeast Asian Regional Center for Graduate Study and Research in Agriculture) in a similar manner.

4. **Engagement with the private sector.** CRP theories of change should explicitly acknowledge the role of the private sector in CGIAR's mission, with avenues for their involvement (e.g., multi-stakeholder platforms and alliances) made explicit.
5. **Development of partnerships based on key factors that can contribute to their success.** These include: a common agenda, shared measurement (e.g. data collection and analysis), activities coordinated through a mutually reinforcing plan of action, consistent and open communication lines, and backbone and coordination support.
6. **Identify and demonstrate the role of partners in research and management/governance.** A typology of partners should be developed, indicating how partners provide leadership on components, and specifying partner membership of steering or management committees.
7. **Appropriate resourcing of partnerships.** CRP full proposals should indicate how partners and partnerships would be resourced and indicate transparently the share of the CRP budget allocated to strategic partners. This may be through the allocation of a credible percentage (e.g. 20-30%) of total project funding to the different partnerships, justifying (i) those that are self-funded, (ii) those co-funded between the CRP and the partners, and (iii) those entirely funded by the CRP.

#### 4.4 Gender Strategy

Ensuring gender-responsive outcomes is an integral component of a CRP's strategy for maximizing impact.

CRP pre-proposals should present an outline of the CRP gender strategy for integrating gender equality into the CRP's research and development activities and address gender issues in its theory of change, impact pathways, work plans, monitoring and evaluation approach, and reporting, at CRP and Flagship level. Table 2 below sets out an exemplar of outcomes with a gender dimension. A fully detailed gender research strategy will be a requirement for the full proposal.

**Table 2. Exemplar of outputs and outcomes that have an explicit gender dimension**

Source: Compiled by the authors from the CRP 2013 Programs of Work and Budget; and CRP Gender Strategies

Portfolio IDO	CRP IDO	CRPII outcome	CRP output
<b>Improved productivity in pro-poor food systems</b>	Improved productivity of women's livestock.	Women adopt improved technologies.	Pro-poor technical and institutional innovations increase productivity of women's livestock.
<b>Increased control by women and other marginalized groups of assets, inputs, decision-making and benefits</b>	Women are better empowered and gender equality in decision-making and control over [forest, tree and agroforestry] resource use, management and benefits is improved.	Decision makers at the local, national and international levels adopt effective portfolios of strategies and gender-sensitive guidelines for conservation and sustainable use of genetic resources of priority tree species to meet the needs of men and women stakeholders.	Methods and approaches for incorporating and/or recognizing local-level institutions (including rights and access) that are sensitive to gender- differentiated needs and priorities.
<b>Increased and more equitable income from agricultural and natural resource management and environmental services earned by low income men and women</b>	Increased and more equitable income earned by low-income roots, tubers and bananas value chain actors, with an increased share captured by women.	Research aligned with farmers' and end-users' priorities: Breeders incorporate gendered information on end-users needs and preferences in decision making and varietal choice.	High-yielding hybrids with multiple resistant and desirable agronomic traits developed and deployed (2015). Initial evaluation trial planted, at least 5 hybrids selected based on sex disaggregated user preferences.

#### **4.5 Capacity Development Strategy**

Capacity development should seek to enhance innovation throughout the agri-food system, including farmers and other groups along the value chain. To achieve this each CRP will use the CGIAR CapDev Framework for outlining and planning its capacity development activities. CRPs are required to demonstrate which of the nine elements of the CapDev Framework it will implementing and how.

CRPs should allocate sufficient resources to achieve the implementation of the key elements it will work on. Capacity development activities may be combined with relevant partnership programs to better equip local and regional institutions for research, development, manufacturing, marketing and delivery of food and agriculture related products. In the full proposal, a fully detailed capacity development strategy will be a requirement and budgets allocated for capacity development should be a credible share of the total project budget.

#### **4.6 Intellectual Asset Management, Open Access/Open Data**

CRP pre-proposals are not required to specify the CRP's intellectual asset management and open access / open data strategies.

These strategies will need to be specified in the CRP full proposals which will need to show, inter alia, how intellectual property tools and dissemination strategies and pathways will be used by the CRP to maximize global accessibility and impact of the CRP's outputs, in line with the [CGIAR Principles on the Management of Intellectual Assets](#) (IA Principles) and the [CGIAR Open Access and Data Management Policy](#) (OA Policy).

#### **4.7 Governance and Management**

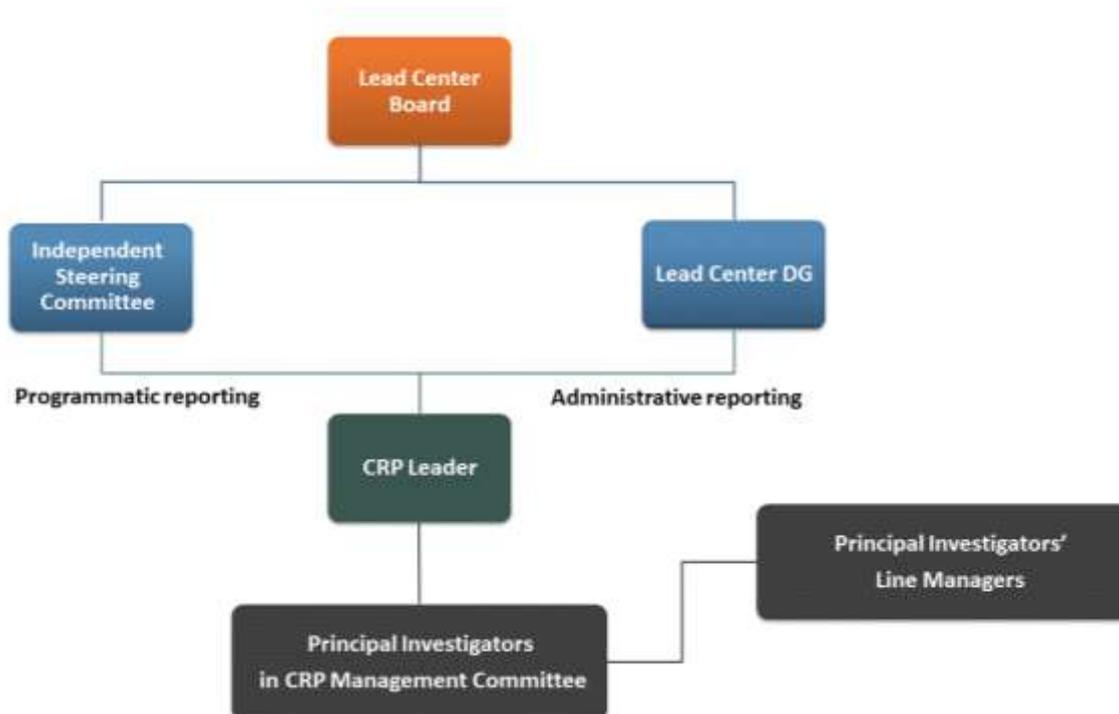
A critical learning opportunity from the first round of CRPs is to ensure that all strategic partners have access to an equitable share of the budget based on their agreed contribution and ability to deliver outcomes cost-effectively. Selection of a Lead Center (to be agreed by the CGIAR Centers) should be based on science leadership, expertise and managerial capacity.

Lead Centers should be members of the CGIAR Consortium in order to continue to draw on and build the strengths of the system, in line with the original design of the reforms: to make sure the 'whole efforts of the Centers are greater than the sum of their parts'. To fulfill this role Lead Centers should have a high degree of coherence and alignment with the CRP; strong engagement with the CRP; established scientific expertise and reputation; and high recognition and convening power. Most importantly the Lead Center should have the capacity to deliver against the 2016 – 2030 SRF and its planned outcomes. In addition to the science leadership and expertise of the Lead Center, science and development partnerships and networks will also play an important role in the success of the CRPs.

Pre-proposals are required to outline the proposed CRP governance and management arrangements in a manner consistent with the Consortium’s Response to the IEA Review of CRP Governance and management, as set out in Annex 2.

CRP full proposals will then need to identify an Independent Steering Committee (see Annex 2 for its responsibilities and composition), a CRP Leader and a CRP Management Committee as described in this Section. Figure 2 (below) illustrates the overall reporting structure that each CRP should implement.

**Figure 2. CRP governance and reporting structure**



While CRPs should be led by CGIAR Centers, non-CGIAR institutions may lead Flagships within CRPs, depending on their comparative advantages and track record. A Lead Center should not lead most of the Flagships within a given CRP.

Flagship leading partners, whether CGIAR or non-CGIAR, should appoint a senior researcher as Flagship Leader (and Principal Investigator) and have dedicated senior research staff with strong publications and/or development impact track record; ability to deliver against relevant development outcomes; a commitment to raise bilateral or W3 funds to complement W1 and W2 funds; and ability to lead complex multi-partner projects including ability to attract strong partners.

All Lead Centers and Flagship leaders should comply with the Consortium's reporting, financial and legal guidelines, including information systems for open data and information exchange; and mechanism for evaluating research quality and ethical reviews.

An important role for Lead Centers is the role of a convener with an open and horizontal culture, which readily enables partnerships to flourish. Ensuring even-handedness, transparency and accountability should be of top consideration.

Participating Centers should have:

- Dedicated senior research staff charged with leading the Center's activities with the CRP.
- Critical mass of senior research staff with strong track record.
- Proven leadership of multi-partner projects and ability to attract strong partners.
- Proven ability to deliver high-quality reports – linked to CRP outcomes.
- Information systems for open data and information exchange.
- Mechanism for research quality, gender mainstreaming and ethical reviews, particularly with respect to personal data, animal research and genetic and biological risks.

Lead Centers and their strategic partners in a CRP should agree on a joint resource mobilization strategy, with practical guidelines for CRP and Center led fundraising, for the CRP prior to submitting the full proposal.

Pre-proposals are expected to indicate which CGIAR Center and other partners are strategic partners (tier 1 partners). Not all CGIAR Centers participating in a CRP need to be strategic partners; particularly for those CRPs in which many or most centers participate. Selectively identifying Centers as strategic partners will reduce transaction costs. Strategic partners should include at least the Lead Center and all partners who lead a Flagship. Strategic partners should have institutional representation in the CRP's governance (either a seat on the Independent Steering Committee, or representation through another partner if a CRP has too many strategic partners). Strategic partners will also be represented on the CRP management team through their CRP director, a Flagship leader, or a Principal Investigator (for strategic partners that do not lead a Flagship). Each CRP is likely to have a very large number of other partners (tier 2 partners) that need not be involved in governance and management as are the strategic partners.

Tier 2 partners may also have more simplified contracting and reporting requirements.

## 4.8 Monitoring and Evaluation: Results Based Management

Each CRP full proposal will need to include details on a robust monitoring and evaluation system which provides necessary information to the CRP leadership, as well as to the Consortium and donors, on the rate of progress and ability of the CRP to adapt, and enables CRP management to implement results based management (RBM).

This system will be used to track how the CRP is progressing toward the delivery of its results as specified in the Performance Indicator Matrix, in order to make necessary adjustments when progress is different from expectations. The adjustments, be they in terms of research directions, research methods, partnerships, including with development stakeholders, reflect possible amendments in the CRP's theory of change. This tracking is applied at different levels of the CGIAR system: for the whole CRP portfolio, at the CRP (level n), at the Flagship (level n-1), and the Cluster of Activities (level n-2), for purposes of reporting to donors and for RBM, and of course at more detailed levels, for purposes internal to the CRP, including managing risks.

The 2016 - 2030 SRF describes CGIAR's approach to RBM to be implemented in the CRPs, and articulated in the pre-proposals (and full proposals more fully). Where relevant, it will be useful to detail ability to manage the CRP adaptively, responding to new information and insights on how its theories of change are evolving by revising its implementation strategies.

In that respect, foresight analysis will be important instrument to monitor and enhance understanding of the evolving context in which the CRPs operate.

As evidence of commitment to RBM, full proposals will then need to include:

- Demonstration of visible senior-level leadership and commitment in results-based management at both the Consortium and CRP levels.
- Promotion and support of a culture of results based on self-reflection and self-evaluation, evidence-based learning and encouragement of experimentation and change.
- A realistic results strategy framework with ownership at all levels.
- Sensible assessment of results and activities needed to achieve them, reflected in a plan that, to the extent possible, involves actors along the impact pathway.
- Documentation and reporting of longer-term results.
- Use of near term results information for learning, managing, and accountability.
- Implementation of results-based management over time, regularly reviewing and adapting practices as experience is gained.

CRP reporting, monitoring and evaluation requirements will be further specified in the Guidance for full proposals and are expected to be more fully elaborated in the full proposals.

## 5 PROPOSAL REVIEW AND APPROVAL PROCESS

### 5.1 Key actors in the pre-proposal review process

In accordance with the process and timetable set out in table 1 before (refer Section 2), table 3 sets out the key actors in the pre-proposal review and approval process.

**Table 3: Key actors in the pre-proposal review and approval process**

Actor	Role
Centers <sup>9</sup>	<ul style="list-style-type: none"> <li>Submission of CRP pre-proposals (Lead Centers), together with any Expressions of Interest (any Center) to take on coordination of one or more of the four cross-cutting platforms. Deadline of 15 August 2015.</li> </ul>
ISPC	<ul style="list-style-type: none"> <li>External independent technical review of the pre-proposals against the criteria set out in section 6 (and, as may be amended after pre-proposal review, Annex 3 for full proposals).</li> <li>Will rate the pre-proposal A to D, (with A being the higher rating) and provide review comments.</li> <li>Rating and review comments provided to the Fund Council, which immediately on-forwards the information to the Consortium Board to inform its deliberations.</li> </ul>
Consortium Office in consultation with the Fund Office	<ul style="list-style-type: none"> <li>Concurrent with the ISPC independent peer review, consideration of management/operational aspects of the pre-proposals as a contribution to decision making at the Consortium Board/ Fund Council level.</li> <li>Preparation of deliberative papers for the Science, Programs and Partnerships Committee (SPPC) of the Consortium Board.</li> </ul>
SPPC	<ul style="list-style-type: none"> <li>Consideration of collated data from the ISPC review and Consortium Office/Fund Office consideration of management/ operational aspects, to inform the SPPC's governance-level recommendation to the Consortium Board on the package to take forward to the Fund Council.</li> </ul>
Consortium Board	<ul style="list-style-type: none"> <li>Review SPPC recommendations on the package of pre-proposals recommended (A and B), and recommended actions (as relevant) for pre-proposals rated C and D., together with the recommended financial allocation for supported CRPs (as an indicative budget envelope but not the final approved budget allocation).</li> </ul>
Fund Council	<ul style="list-style-type: none"> <li>Consideration of data from both the ISPC external independent technical peer review, and the Consortium Board recommendation, to make a final decision on the pre-proposals.</li> <li>Sets the overall budget ceiling for approved pre-proposals (but not the detailed budget that will be approved as part of the full proposal approval process).</li> </ul>

<sup>9</sup> Lead Centers may elect to submit an individual pre-proposal to respond to a proposed CRP. Alternatively, the Centers may come together and submit a single joint proposal for the portfolio (section 3.3), which would have a "portfolio chapter" / cover note, and 13 annexes for the 13 CRP proposals. The same approach is possible for the Expressions of Interests for the cross-cutting coordinating platforms (section 3.4)

## 5.2 ISPC categorization of pre-proposals

Pre-proposals and EOIs submitted for ISPC external independent peer review may be rated by the ISPC in one of the following 4 categories:

- A. **Satisfactory:** Invited to submit a full proposal taking into account the recommendations of the ISPC/Consortium Board adopted by the Fund Council during its deliberations.
- B. **Satisfactory with adjustment:** Invited to submit a full proposal, taking into account more substantial adjustments of the ISPC/Consortium Board as adopted by the Fund Council.
- C. **Major concerns:** Significant issues arising from the review phase will need to be addressed before the full proposal stage, with a full proposal only being approved if the issues are fully addressed satisfactorily.
- D. **Unsatisfactory:** Material issues in the conceptualization of the response, and not invited to submit a full proposal.

In the event that the submitted CRP pre-proposals and EOIs for cross-cutting coordinating platforms generates alternatives, for example, Flagships that demonstrate significant overlap, or cross-cutting issues that could be coordinated through a platform or through a flagship inside one of the integrating CRPs, the ISPC and Consortium Board will recommend what it considers the best option for advancing the pre-proposal/EOI and make recommendations accordingly to the Fund Council for decision.

## 5.3 Moving towards full proposals

### Category A or B rated submissions

Subject to Fund Council approval, full proposals will be invited in 2016 for all pre-proposals and EOIs rated A. and B., with specific guidance on budgets reflecting the priorities, timeliness, potential and value for money of each proposal, in the context of the CRPII Portfolio as a whole.

Full proposals in these two categories will also be subject to further external independent peer review, although with the intention and likelihood of being approved and receiving financial support. In some cases, the overall ranking of A and B may include proposals that have flagships that require more work. These elements will receive additional iterative support, as explained below for pre-proposals rated C.

### Category C rated submissions

A category C rating may mean, for example, that 3 of 5 Flagships are individually rated A or B, but that from an overall coherence perspective, the CRP pre-proposal (or EOI) is rated C after ISPC external independent review and Consortium Board consideration. In such circumstances, the CGIAR Consortium will recommend follow-up actions to the Fund Council that may include:

guided re-submission with the support of the CGIAR Consortium Science Team; and/or request for a new proposal from an alternative Lead Center or provider. A subsequent external independent re-review by the ISPC will be required in all cases, although the extent of that review will depend on the level of revision/adjustment that is required will depend on the specifics of the CRP pre-proposal itself and the review comments resulting from the first review by the ISPC and thereafter the Consortium Board. These proposals would need to follow an alternate timeline for re-submission as compared to the standardized process for proposals rated A and B (as set out in table 1 before).

### **Category D rated submissions**

If the ISPC rates a CRP pre-proposal D (or substantially all of it), and this rating is endorsed at all levels of review and decision-making, the submission will not be included in the new CRP II Portfolio, and a full proposal will not be requested. There may be circumstances however where a specific Flagship within an otherwise D rated pre-proposal, presents an important and compelling research proposal. If possible without undermining the coherence of an otherwise strong pre-proposal (A or B rated), the ISPC and/or Consortium Board may recommend to the Fund Council that the residual strong element be added to another CRP during the full proposal stage.

### **Gaps in the Portfolio**

ISPC's external independent peer review of the portfolio submitted may conclude that there are gaps in the coverage of the research agenda laid out in the SRF. In that case, ISPC and the Consortium may recommend, and the Fund Council may decide, to call for the development of additional proposals from CGIAR Centers and their partners, or alternative providers.

### **Priority Setting, Value for Money and Budget Allocation**

ISPC has been requested by the Fund Council to assess research priorities and the Consortium Office will analyze value for money of the proposals submitted to implement the SRF generally and reach the CGIAR targets specifically. Both will be based on the submitted pre-proposals and Expressions of Interest, plus all additional material available such as CRP annual reports, evaluations and audits.

The ISPC review and recommendations, together with the Consortium Office's analysis, will inform the Consortium Board's recommendations for financial allocations to each approved CRP as indicative budgets during the full proposal stage. The Fund Council will set the overall budget ceiling for approved pre-proposals.

In the pre-proposals, all CRPs are requested to make the case for their contribution to implementation of the SRF in terms of the results they propose to deliver and the budgeted costs of each of those results at Flagship level for all CGIAR Fund windows and bilateral sources combined. Budgeted costs must be total costs, inclusive of overheads, management costs, partnership costs and all costs with a special designation such as for gender research, capacity development or co-investment.

There is no guidance for the maximum budget each CRP can submit at pre-proposal stage and the total submitted at pre-proposal stage may therefore exceed likely available resources. Scenarios for available resources are developed in parallel through the Resource Mobilization Strategy. Based on the submitted pre-proposals, research priorities and value-for-money analysis, the Consortium Board will recommend and the Fund Council will decide budget ceilings that ensure that the total of submitted Full Proposals will be within the scenarios of available resources. The Consortium Board may also recommend, and the Fund Council may decide, on further guidance on CGIAR Fund window shares in line with the CGIAR Resource Mobilization Strategy to be approved at the Fund Council's November 2015 meeting.

## 6 CRITERIA FOR ASSESSING CRP PRE-PROPOSALS

The following criteria will be used to review proposals. There is no formal weighting applicable to the criteria, and each criterion must be adequately addressed.

### 6.1 Criteria at CRP level

#### 6.1.1 Cross-cutting themes (also to be applied to each Flagship)

- The plausibility of the **Theory of Change** and its alignment with the SRF sub-IDOs and IDOs and the feasibility of the **Impact Pathways**.
- The rigor and credibility of the scientific arguments underpinning the rationale for the pre-proposal, including the cohesion of the FPs.
- Have the 'grand challenges', in particular **climate change**, been recognized in planning the research?
- Evidence that **gender** issues have been considered within the proposed research framework and appropriate questions/hypotheses are being posed.
- Evidence that **youth** issues have been considered within the proposed research framework and appropriate questions/hypotheses are being posed.
- Recognition of the importance of the enabling environment.
- Commitment to capacity development through adoption of some of the nine elements of the CapDev Framework.

#### 6.1.2 Budget

- The extent to which the **resources requested**, relative to the expected outcomes, represent an attractive and appropriate investment for donors, that is, is the proposal good value for money.

#### 6.1.3 Cohesion

- Do the individual flagships add up to a CRP that is bigger than the sum of the individual parts?
- Is there evidence that the CRP as a whole will make a significant contribution to delivery at the CGIAR system level?
- Has the CRP indicated focus countries for which the CRP intends to work together with other CRPs on the preparation of site integration plans, including carrying out necessary consultations with national partners and stakeholders to align with national priorities and activities?

#### 6.1.4 Governance and management

- Evidence of **leadership and management** commitment with an appropriate governance structure that is assessed as having the potential to successfully implement the proposed program.
- Are the governance arrangements proposed in line with the CRP Governance and Management responsibilities?
- The track record of the Leadership Team (recruitment criteria if leaders not in place), that is, the leaders of the Flagships plus the CRP leader.
- Application of a convincing strategy to select **partners** (e.g. through GCARD3 and other mechanisms). What is the CRP strategy for selecting partners and for interacting with other CRPs?

#### 6.2 Criteria at Flagship level

- **Strategic relevance**, assessed via degree of alignment of question or problem to be addressed and expected outputs with sub-IDOs in the SRF and with national and regional priorities and initiatives (identified through GCARD3)
- Recognition of the need for the research to account for **potential unintended consequences** on SLOS that are not the primary focus of the research.
- Assessment of **scientific quality**, the novelty of what is being proposed, the track record of the proposal leadership team on the basis of delivery in current CRP (with respect to publications and demonstration of commitment to quality within the CRP) and through use of peer review mechanisms at the project proposal level.
- **Comparative advantage** of the CGIAR and Host Centre, together with proposed partners in the specified research area, to be assessed based on whether the research being proposed is particularly appropriate at this time, the topics to be covered offer long term benefit over and above what others are doing and if appropriate resources are being requested.
- The plausibility of the **Theory of Change** and its alignment with the SRF sub-IDOs and IDOs and the feasibility of the **Impact Pathways**.
- **Significance of expected contribution to SRF gender IDOs**
- Strategic fit and relevance of **named partners**: Do the partners included add value in terms of scientific contribution and enhance the probability of impact been identified?
- **Lessons learned** from previous research, in particular the first round of CRPs – is there evidence of building on earlier work, e.g. how things have changed or even been dropped on the basis of past learning?

## 7 PRE-PROPOSAL TEMPLATE

Pre-proposals must contain the following sections, each of which will be crafted in accordance with the foregoing section on background, the SRF, and the Common Operational Framework<sup>10</sup>. **Page lengths set out in this Section are maximum numbers.**

### Part 1 - CRP level

**A complete pre-proposal will have the following three (4) elements:**

**(i) Summary narrative – maximum 10 pages (Word file)**

- Overview to describe strategic relevance and question/problem to be addressed which includes: (a) alignment with the SRF including the significance of gender for successfully addressing the strategic problem; (b) the added value of being a program, i.e. degree of cohesion across flagships; and (c) strategy for ensuring that international public goods are delivered, Theory of Change and Impact Pathways (maximum 3 pages)
- Evidence of demand (Up to 1 page)
- Comparative advantage of the CGIAR together with proposed partners in delivering in specified research areas (including lessons learnt from earlier research) (1 page)
- Strategic fit and relevance of partnerships (1 page)
- Stakeholder commitment e.g. include reference to the SDGs (1 page)
- Leadership, management and governance structure and proposed activities (1 page)
- Management budget at Flagship and total CRP levels to demonstrate appropriateness of the funding and value for money (2 pages)

**(ii) Performance Management/Budget Summary (Excel file)**

As a consolidated file that provides:

- **A Performance Indicator Matrix**, specifying all results/outcomes for the contract period by year (2017 – 2022) with direct reference to the CRPs proposed contribution to the CGIAR Targets as expressed in the SRF; and

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<sup>10</sup> <http://www.cgiar.org/resources/overarching-documents/>

- **A high-level summary budget for the 6-year CRP period, by Flagship, and then overall for the CRP**, to demonstrate the overall cost of achieving the planned outcomes over the implementation period. The budget must also include disaggregated information of the amount of management/ administrative expenses within each Flagship, and for the CRP overall, and (again, by Flagship and then overall per CRP) the estimated amount that will be dedicated to gender research needed to deliver gender responsible outcomes.

**The recommended template for this consolidated file is provided as Attachment 1 (Excel file) to this Guidance.**

The indicative budget for the pre-proposal requests a single (total) estimate for the cost of all activities required to generate each result or outcome for each Flagship (all sources of funds combined). When activities contribute to multiple outcomes, their cost would be allocated to multiple results.

Pre-proposal budgets will be reviewed to establish value for money, potential and overall contribution to the system wide goals as described in the SRF. This evaluation will help inform budget allocation at the full proposal stage which will be discussed with the Lead Center and partners prior to submission of full proposals in 2016.

Recognizing the importance of budgetary matters for the development of full proposals, Annex 4 sets out a summary of the various budget levels and preliminary information on the format of budgeting for full proposals (as may be amended after the Fund Council's final review of the full complement of CRPII pre-proposals and associated EOIs).

**(iii) Gender summary of up to 4 pages (Word file)**

Pre-proposals are required to be submitted with an annex of, respectively, up to two pages each, that:

- **Summarizes** the gender analysis that was done before the research priorities and questions were set, and how that informed the priority setting; and
- Provides **an overview** of how gender will be operationalized in the research agenda, and how progress will be tracked and ultimately evaluated.

**(iv) Table of target beneficiaries and target countries at CRP level and aggregated (Excel file)**

Results or outcomes	Target IDOs and sub-IDOs	Total number of poor smallholders	Total number of other beneficiaries	Target countries	Key assumptions

**Part 2 – Flagship level**

**(Up to 8 pages narrative per-Flagship, plus directly related annexes)**

**Taking note that Performance Indicator Matrix and Budget elements of Flagships will be provided as part of the information that response to Part 1 above, the following additional information is require at the Flagship level:**

**(i). Narrative (Word file)**

- Science quality and problem/question to be addressed. I.e. novelty of ideas potential for innovation in practice.
- Geography and beneficiaries. I.e. detail on regions and how the poor, gender equality and inclusion of youth are proposed (the Table of target beneficiaries from Part 1 above at Flagship level).
- Strategic relevance (including recognition of how unintended consequences will be dealt with), significance of gender for successful delivery and comparative advantage including lessons learnt from previous research.
- List of up to 5 relevant previous projects or activities, connected to the subject of the Flagship
- Added value of partners – outline strategy for selecting partners.
- Illustrate how climate change and other grand challenges will be taken into account.
- Describe key aspects of the relevant enabling environment.
- Outline plans and commitment for capacity development.

**(ii) Annex – technical competency**

- A Summary of the skills, experience and capacity of each proposed Flagship leader to deliver in this research area, as well as the names of other senior scientists that are part of the principal investigator team of the Flagship, including recent publications and evidence of delivery (provided as an annex, **1 page max per person**)
  - a. Curriculum vitae or description of the profile of the person; and
  - b. List of up to 5 relevant publications, and/or products, services (including widely-used datasets or software), or other achievements relevant to the Flagship.

## 8 ANNEX 1. CALL FOR EXPRESSIONS OF INTEREST-COORDINATING PLATFORMS

### 1. Background

CGIAR is a global research partnership that is a leading provider of research and development in agriculture (including crops, livestock, aquaculture and forestry).

**Our vision** is a world free of poverty, hunger and environmental degradation.

**Our mission** is to advance agri-food science and innovation to enable poor people, especially poor women, to increase agricultural productivity and resilience; share in economic growth and feed themselves and their families better; and manage natural resources in the face of climate change and other threats.

**CGIAR's 2016 – 2030 Strategy and Results Framework (SRF)** defines CGIAR's aspirations and strategic actions to deliver on our mission.

**Our SRF is ambitious:** By 2030, the action of CGIAR and its partners will result in 150 million fewer hungry people, 100 million fewer poor people – at least 50% of whom are women, and 190 million ha less degraded land. CGIAR system entities plan to deliver on the SRF by focusing on the following three goals (System Level Outcomes or SLOs), and their respective underlying intermediate development outcomes (or IDOs):

Figure 1: SRF system level and intermediate development outcomes



**Implementation of the 2016 – 2030 SRF is planned in phases, with 2017 – 2022 representing the initial 6-year operational period.** CGIAR plans to realize these shared outcomes through the creation of a comprehensive new portfolio of CGIAR Research Programs (CRPs) that build on successes to date, lessons learnt, new science and technology that bring exciting opportunities.

The CGIAR Consortium invites the 15 CGIAR Centers and their partners to submit **by not later than 15 August 2015**, a coherent set of 2017-2022 pre-proposals to address the selected global challenges identified in CGIAR's 2016 – 2030 SRF, and to submit expressions of interest (EOI) to coordinate a platform for one of four proposed crosscutting issues (gender, capacity development, big data and ICT, and system wide policy on genetic resources). This document provides guidance on the EOI process for the coordinating platforms.

## 2. Purpose of the coordinating platforms

The objective of the coordinating platforms is to step up the cooperation and coordination of research activities carried out across the CRP Portfolio, including exchange of information and best practice and implementation of joint research activities. Up to four coordinating platforms (depending on the quality and coherence of the CRP and platform proposals received) will support the CRP portfolio and provide a focal point for both internal and external engagement. The final number of platforms to be invited to submit full proposals as part of the CRPII proposal will be based on the pre-proposals and EOIs submitted. Section 3 below described the proposed coordinating platforms by topic.

## 3. The coordinating platforms

**Gender:** Generate new knowledge on how gender inequalities affect food production, availability and nutrition outcomes across programs. Deepen understanding of how to design and operate rural extension and business development services, value chains, innovation platforms and similar institutions to include women equally with men. Use these findings to set research priorities and targets and to plan strategically when and how innovation design and delivery will address gender differences in agriculture.

Key objectives support a cross-program community of practice or network to:

1. Assess priorities for gender research across the system.
2. Support knowledge-sharing to promote joint approaches and methods for:  
(a) the integration of gender into technical research areas such as crop and livestock improvement, climate science, etc. and (b) scaling out gender-responsive or transformative innovations.
3. Foster adherence to minimum standards for sex-disaggregated data collection including access to and exchange of expertise and materials across programs.
4. Establish common approaches to gender-responsive M&E and measurement of gender dimensions of development outcomes.

**Capacity Development:** Capacity development will seek to enhance innovation throughout the agri-food system, including farmers and other groups along the value chain. The main objective(s) of the platform on CapDev will be to work with the CRP portfolio, other CGIAR entities as well as external partners to coordinate the CGIAR offer on capacity development, encompassing both efforts geared at individuals through fellowships and short term training as well as institutional capacities of partner research organizations and those of poor and vulnerable communities, including the capacity to innovate. It will aim to generate new knowledge on what types of capacity development are likely to yield the best return on investment in different research to development pathways, paying special attention to

advances in technologies and their potential for scaling research outputs and innovation through strategic partnerships.

Key objectives support a cross-program community of practice or network to:

1. Provide ongoing guidance and support for CRPs undertaking Capacity development activities in line with the CapDev Framework and its nine key elements.
2. Conduct ongoing capacity needs assessment across the system.
3. Collect and share experiences, lessons, approaches and materials on CapDev developed across CGIAR Consortium.
4. Provide support and coordination for system-wide design and delivery of innovative learning materials and approaches across Centers and CRPs.
5. Facilitate links between CapDev personnel and networks across CGIAR with Gender specialists, Gender network and gender platform of CGIAR to better understand, develop and promote gender-sensitive approaches throughout capacity development.
6. Coordinate system wide monitoring and evaluation of capacity development activities within CRPs and across the whole system, making use of CapDev IDOs, sub-IDOs, and additional indicators and metrics.

**Big data and ICT:** A number of scientific organizations have developed high performance computing facilities and big data analytical capabilities. A major opportunity exists for the CGIAR to leverage this investment in capability and infrastructure to advance the global public good mission of the CGIAR. It is anticipated that the successful Lead Centre will have established strong credible partnerships to support the creation of a global-agri-informatics network.

Key objectives support a cross-program community of practice or network with strong involvement and presence of the private sector to:

1. Ensure discoverability of, access to, and inter-linkages—where relevant (e.g. by geography)—among the variety of data types, disciplines, and outputs typical in agricultural research.
2. Link models from different domains such as crop modeling, hydrology and climate with advanced informatics for data mining and inference.
3. Conduct a thorough landscape analysis to assess needs, gaps, promising platforms and technologies to include, harvest, and develop (rather than reinvent) solutions.

4. Identify interoperability standards and protocols to promote Linked Open Data (e.g., to enable meaningful linkages among data types, geographies etc.).
5. Ensure that the metadata standards for the proposed platform align with those of existing Center and CRP repositories.
6. Employ robust case studies to build on and develop a global agri-informatics platform to include analytical and decision support tools, mapping and visualization capabilities, and other relevant services.
7. Develop system-wide learning activities to inform the design and implementation of capacity development interventions.

**System Wide Genetic Resources Policy:** The topic of genetic resources is one component of a complex system, in which biological, political, legal and economic factors are at play. The many facets and their interactions are affected by global, regional, and national events far outside the CGIAR's ability to control them directly. In order to respond efficiently and effectively to the global demands on genetic resources, the CGIAR must leap from its paradigm of individual voices to a fully coordinated policy on genetic resources management across the system. There is also an urgent need for greater visibility of the System's effort in genetic resources particularly the policy environment.

Key objectives support a cross-program community of practice or network to:

1. Create single system wide program, within which genetic resources policies will be developed and coordinated.
2. Implement CGIAR policies and clearly convey them to international fora, interacting countries and gatherings requiring such information.
3. Produce annual reports on progress and make available to appropriate entities.
4. Supporting the development and management of a coherent and acceptable policy on intellectual property with regard to genetic resources.

#### 4. Submission of Expression of Interest

**One Expression of Interest is required for each platform.**

1. Completed Expressions of Interest must be submitted via email to [crp-proposals@cgiar.org](mailto:crp-proposals@cgiar.org) by **15 August 2015**. Applications received after this time will not be accepted.
2. Applications must be submitted following the page limits as instructed and following all instructions. Applications that fail to comply with any of the guidance supplied will be rejected.
3. Applicants must fill in all sections of the **separate Expressions of Interest Form set out at Attachment 2 of this Guidance**.
4. Applications must be submitted as a Word document.

#### 5. General Eligibility Criteria

Expressions of Interest (EOI) are invited from CGIAR Centers wishing to submit a proposal to lead, with other CGIAR Centers and academic and non-academic partners, private sector the development of cross-cutting platforms for:

- Gender
- Capacity Development
- Big Data & ICT
- System Wide Policy for Genetic Resources

#### 6. Selection Criteria

- The excellence and quality of the proposed coordination of Lead Center and partners
- The level of ambition described in the collaboration/network and the commitment of the participants/partners
- Strategy for system wide networking
- Quality and efficiency of the implementation including strategy for strengthening expertise across the system
- Potential impact
- Contribution to establishing and strengthening a durable cooperation between the partners that will contribute to the CRP II Portfolio and the SRF.

## 9 ANNEX 2. CRP GOVERNANCE AND MANAGEMENT<sup>11</sup>

The following is an outline of responsibilities and composition of the entities and individuals involved in CRP governance and management.

### ***Independent Steering Committee (ISC)***

Each CRP should have a single Independent Steering Committee (ISC) that reports directly to the Lead Center board on the performance of the CRP.

Responsibilities: The ISC is the central decision-making body of the CRP. As such, its responsibilities include:

- Providing strategic direction to, and oversight of, the CRP, including priority setting and the evaluation of results;
- Approving the Program of Work and Budget (POWB) developed by the CRP's management committee;
- Overseeing external evaluations of CRP programs and activities;
- Maintaining awareness of stakeholder perspectives and needs;
- Serving as a programmatic report for the CRP leader;
- Reporting at least annually to the Lead Center Board (through the Board Chair or the Program Committee Chair of the Lead Center); and
- Serving as an expert resource to the CRP and the senior management team.

Composition: The ISC should be a balanced body with a high level of expertise, inclusiveness and independence in order to avoid conflicts of interest and to assure donors, partners and stakeholders that no interests but the best interests of the CRP will shape deliberations.

Its composition should include:

- A majority of independent members (external to the CRP), including the Chair;
- Individuals known and respected for their professional expertise;
- A balance in gender representation as well as expertise in gender;
- A geographic balance with representation from CRP target regions;
- Partner and stakeholder representation, including:
  - i. The Lead Center Director General as an *ex officio* member;
  - ii. The CRP Leader as an *ex officio* member;
  - iii. 2 or 3 participating Center Directors General (who cannot represent a majority on the ISC) whose role should be to represent all participating Centers.

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<sup>11</sup> Endorsed by Centers and approved by the Consortium Board on 19 March 2014, and submitted to the Fund Council ahead of its 11<sup>th</sup> meeting in May 2014, and formally approved by the Fund Council in October 2014.

A representative of the CGIAR Consortium should have the right to attend meetings as an observer. The size of the ISC should be functional, enabling participation and making management and support of the ISC reasonable for CRP management.

Appointment of members: ISC members should be appointed by the Lead Center board for a fixed term, renewable once at the recommendation of the ISC. The ISC Chair should be appointed by the ISC members for a fixed term. The basis for including partners or stakeholder representatives should be clearly articulated with the expectation that representative members will participate in their individual capacity and minimize both conflicts of interest and the appearance of conflicts of interest.

### ***CRP Leader***

Responsibilities: Each CRP should have a CRP Leader who provides strong intellectual leadership with regard to the CRP and is responsible for managing the CRP.

Hiring: The CRP Leader should be hired by the Lead Center upon the recommendation of a hiring committee established by the ISC in which the Lead Center DG participates. Targets agreed by the CGIAR with the Fund Council for CGIAR Gender and Diversity in the Workplace should be taken into account.

Reporting: The CRP Leader reports programmatically to the ISC and administratively to the Lead Center Director General. This dual reporting should allow the CRP Leader to work on a day-to-day basis with the Lead Center Director General while benefiting from the ISC's overall guidance. The CRP Leader's annual performance review should be conducted jointly by the ISC and the Lead Center Director General.

Authority to Manage for Results: The CRP Leader should have the authority to manage for results. The CRP Leader should have the flexibility to put management and program advisory structures in place that are responsive to program and partnership needs. Additionally, the CRP Leader should chair the CRP Management Committee and play a role in the evaluation of the CRP Management Committee members (as described under 3 below).

### ***CRP Management Committee***

Each CRP should have a CRP Management Committee, chaired by the CRP Leader and made up of Flagship Leaders and other Principal Investigators (PIs) of each of the strategic partners. These PIs should report both to the CRP Leader and to their line manager in their employing entity. The Management Committee should include the gender research coordinator or other senior research PI with expertise in gender research. The annual performance evaluation of PIs should be conducted by their employing entity, with significant input from the CRP Leader.

## 10 ANNEX 3. DRAFT CRITERIA FOR ASSESSING CRP FULL PROPOSALS

### Note

This annex comprises an indicative list of criteria for ISPC's external, independent peer review of full proposals, which may change after review of the pre-proposals, and Fund Council deliberations on ISPC and Consortium Board recommendations.

### 10.1 Criteria at CRP level

#### 10.1.1 Cross-cutting issues (also to be applied to each flagship)

- **Gender:** Are the gender sub-IDOs in the SRF being addressed? Do the research questions posed in the proposal reflect an awareness of the constraints on women and the objective of addressing them?
- **Climate change:** Are the relevant climate change sub-IDOs in the SRF being addressed? Does the strategy reflect sufficient awareness of the potential impact of climate change on agriculture in developing countries?
- **Enabling environment:** Are the relevant enabling environment sub-IDOs in the SRF being addressed? Does the proposal include the appropriate expertise to address the constraints of the enabling environment?
- **Capacity development:** Are the capacity development sub-IDOs in the SRF addressed? Are the proposed activities in capacity development adequate and appropriate (in relation to the CGIAR CapDev Framework)? Is there evidence that these have been discussed with stakeholders?
- **Intellectual asset management, Open Access/Open Data:** Evidence that intellectual assets and Open Access and Open Data will be managed according to best practices, with sufficient resource allocation to enable best practices. Are a convincing intellectual asset management strategy and OA-OD implementation plans in place? Have sufficient resources been budgeted for this? Are there CRP and/or Center staff identified with the appropriate skills to deliver on this issue?
- **Youth:** are the relevant outcomes in the SRF being addressed?

#### 11.1.2 Budget and staff time

- **Staff time:** Does the amount of staff time included seem appropriate to the degree of priority for this area of work? Does the time allowed for management seem appropriate? Is the mix of senior and junior staff time appropriate?
- **Budget:** Is there evidence from the budget that opportunities have been taken to gain efficiency savings through work with other CRPs and partners? Are all large budget items sufficiently justified?

### 11.1.3 Cohesion

- Is the CRP narrative convincing as a comprehensive program of research rather than simply a collection of FPs?
- Is there sufficient evidence that there has been interaction with other CRPs during development of this one in order to capture efficiency savings, particularly transaction costs of partners?
- Does this CRP make a convincing case as to how it will make a contribution at the CGIAR-system level?
- Has the CRP worked together with other CRPs in the development of Site Integration Plans in a set of key geographies, supported by national consultations with partners and stakeholders to align with national priorities and activities?

### 11.1.4 Governance and management

- **Leadership:** Does the proposed CRP leadership team show evidence of the right mix of scientific excellence and proven ability to plan and deliver research programs? Do members have a track record in publications? Have they selected the most appropriate partners?
- **Management:** Is there evidence that sufficient rigor will be applied to reviewing proposals for specific projects within the program? Is there evidence of a strong communication plan to ensure that all participants in the program can access knowledge of what else is being done?
- **Work Plan:** Is the work plan convincing?
- **Partnership:** Are the number of partners realistic? Is there sufficient justification for the selection of: (a) partnerships intended to contribute science and (b) partnerships to facilitate delivery through to development outcomes? Are modalities for partnerships clearly outlined including various roles and responsibilities of partners (including in governance/ management)?

## 10.2 Criteria at Flagship level

- **Scientific quality:** Is the proposed research novel? Does the proposal show recognition of the potential of recent scientific advances to contribute to addressing the research hypotheses being proposed? Is there a convincing plan for developing the research questions over the lifetime of the CRP? Are mechanisms for peer review of proposals and seeking scientific advice on strategy as the program evolves convincing? Where partners have been chosen for the scientific value they would add, are they the most appropriate partners?
- **Strategic relevance:** Is the Theory of Change well developed with respect to the SRF? Does the proposal consider potential unintended consequences on the 2 non-primary SLOs? Are the contributions to specified sub-IDOs clear? Does the

proposal align with key regional and national priorities and initiatives? Are there numerical targets for beneficiaries to be reached? Is the geographical priority appropriate in terms of need and commitment of the intended beneficiary governments to the main objective? Is the contribution to the CGIAR System level clear? Are strategic considerations of effects on social inclusiveness, in particular gender, appropriately integrated?

- **Comparative advantage:** Is a logical case made as to why the CGIAR should be leading in this area of research and are the named partners appropriate in the context of the Theory of Change? Does the proposal include a sufficient summary of the state of knowledge in the area? Does it build on lessons learnt from earlier research?

## 11 ANNEX 4 – EXPLANATORY NOTE ON BUDGETS FOR FULL PROPOSALS

### Note

This annex comprises an indicative list of budget levels and associated information required for full proposals, which may change after review of the pre-proposals, and Fund Council deliberations on ISPC and Consortium Board recommendations.

### Budget Levels

- CRP (Level n): Macro level of the budget at the CRP level.
- Flagship Projects (Flagships): These are the next tier, showing the drill-down information to level n-1. Best estimates should be provided for the 6-year period from 2017-2022. Each project is estimated to require between \$20m and \$100m of financial resources through its term. Each Flagship is expected to deliver one or more results as specified in the Performance Indicator Matrix. Budget estimates are expected for each result at the pre-proposal stage, regardless of the source of funds: that is total costs, including W1-2 as well as W3-bilateral. Estimates by source of funds will be requested at the full proposal stage.
- For the full proposal: Cluster of Activities - This tier comprises of sub-projects at level n-2. Budget allocation per team or partner should be shown for each activity. These should be in tandem with the Flagship cycle and thus the forecast should be for 2017-2021 in the full proposal.

### Budget indications

- Partnerships: In the pre-proposals, the estimated budget for partnerships, should include allocation by types of partners (e.g. partners at the discovery research level; partners at the proof of concept and pilot level; and partners for scaling up). Clear delineation should exist between partner budgets that are self-funded; those that are co-funded by the CRP and the partner; and those that are entirely funded by the CRP. Full proposals are expected to detail budgets for each strategic partner.
- The funding budgeted and reported as the partner share may also be included in the share of the budget allocated to gender research and capacity development. For example, a capacity development program focused on gender in research and implemented through a university, could be counted in each of these categories (i.e. that is not “double counting”)
- The expected share of the W1-2 budget that will go to non-CGIAR partners will have to be specified in both the CRP pre-proposals (in outline) and in the full proposal (in detail)

together with the roles and responsibilities partners will have in governance and management, (co-)leadership of Flagship Projects, and generation of results.

- **Capacity Development:** At the Flagship Project level, there should be a credible allocation of the total budget to capacity development.
- **Gender in Research:** adequate resources should be earmarked for implementing CRP gender strategies.
- **Intellectual Asset Management, Open Access and Data Management:** In the full proposal the budget should include resources required to implement an Intellectual Asset Management and an Open Access and Data Management strategy to order to maximize accessibility and impact of research outputs. It is recommended that this budget be developed in consultation with key Center and CRP legal/IP, knowledge management, and data management staff.

## 12 Glossary

TERMS	EXPLANATION
<b>AGRA</b>	Alliance for a Green Revolution in Africa
<b>ARIS</b>	Advanced research institutions
<b>BBSRC</b>	Biotechnology and Biological Sciences Research Council - UK
<b>CLUSTER OF ACTIVITIES</b>	Subprojects within a Flagship Project
<b>CAADP</b>	Comprehensive African Agricultural Development Program
<b>CRPs</b>	CGIAR Research Programs
<b>EVALUATION</b>	The systematic and objective assessment of an on-going or completed project, program or policy, its design, implementation and results. In the CGIAR evaluation refers to an external, completely (IEA commissioned) or largely (CRP commissioned) independent and systematic study of an in-depth nature that uses clear evaluation criteria. In addition to research, it applies also to central CGIAR institutions, support programs and themes, and the System as a whole. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making processes of major stakeholders.
<b>FLAGSHIP PROJECTS</b>	Flagship Projects are large research components that add up to make a complete CRP. Flagship projects have specific objectives and each FP may produce several outputs and research outcomes in order to achieve, in due course, specific IDOs.
<b>IA</b>	Intellectual Assets
<b>IDO</b>	Intermediate Development Outcome: At CGIAR’s research program level targets representing CRP-specific thrusts and target domains that are generated as a result of multiple activities by diverse actors outside the CGIAR. Their scales reflect CRP target domain and estimated volume of benefits. At System level IDOs represent accumulation of CRP outcome results with the scale corresponding to the CGIAR’s target domains.

TERMS	EXPLANATION
<b>IEA</b>	CGIAR'S Independent Evaluation Arrangement is an independent unit that manages and supports external evaluations which aim to provide accountability, support to decision-making, and lessons for improving quality and effectiveness of agricultural research for development outcomes. IEA evaluations cover all parts of the CGIAR system, including CRPs and other institutions such as the Consortium. A 'system-wide evaluation' is commissioned every seven-ten years.
<b>IP</b>	Intellectual Property
<b>ISPC</b>	Independent Science and Partnership Council
<b>IMPACT</b>	Positive and negative, primary and secondary long-term effects resulting from a chain of events to which research has contributed, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types.
<b>IMPACT ASSESSMENT</b>	In the CGIAR this term is generally used for an ex post study which uses specialized methods to estimate the changes in selected development parameters and the extent to which these are attributable to defined research activities or programs of the CGIAR. The Standing Panel on Impact Assessment (SPIA) has an oversight and capacity building function for impact assessment in the CGIAR.
<b>IMPACT PATHWAY</b>	Impact Pathway; the causal pathway for a research project or program that outlines the expected sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes and impacts. Assumptions underpinning the causal chain and feedback loops are usually included.
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MONITORING</b>	A process of continuous or periodic collection and analysis of data to compare how well a project, program, or policy is being implemented against expected progress and results, in order to track performance against plans and targets, to identify reasons for under or over achievement, and to take necessary actions to improve performance. Monitoring is usually the responsibility of program management and operational staff, while evaluation (as

TERMS	EXPLANATION
	defined in the CGIAR Policy and Standards) is carried out by external evaluators. Monitoring is also used for research purposes to guide decisions on research design and adjustment.
<b>NARS</b>	National agricultural research systems
<b>NGOS</b>	Non-Government Organizations
<b>NSF</b>	National Science Foundation - USA
<b>PIM</b>	Performance Indicator Matrix
<b>POWB</b>	Program of Work of Budget (annual)
<b>SLOS</b>	System level outcomes
<b>SRF</b>	Strategy and Results Framework
<b>THEORY OF CHANGE</b>	Theory of Change (TOC): Presents a hypothetical identification of the ways by which change is expected to occur from output to outcome and impact along an impact pathway. The TOC questions the assumptions about causality underlying the relationships between outputs, outcomes and impact. In TOC the assumptions present the mechanisms of change. There is no single method or presentational form agreed for TOCs. In research it is often used as a framework for testing hypotheses and incrementally building up the evidence base for the assumptions
<b>SUSTAINABLE DEVELOPMENT GOALS</b>	One of the main outcomes of the Rio+20 Conference was the agreement by member States to launch a process to develop a set of Sustainable Development Goals (SDGs), which will build upon the Millennium Development Goals and converge with the post 2015 development agenda. SDGs must be based on Agenda 21 and the Johannesburg Plan of Implementation; Fully respect all the Rio Principles; Be consistent with international law; Build upon commitments already made; Contribute to the full implementation of the outcomes of all major summits in the economic, social and environmental fields; Focus on priority areas for the achievement of sustainable development, being guided by the outcome document; Address and incorporate in a balanced way all three dimensions of sustainable development and their inter-linkages; Be coherent with and integrated into the United Nations development agenda beyond 2015; Not divert focus or effort from the achievement of the

TERMS	EXPLANATION
	<p>Millennium Development Goals; Include active involvement of all relevant stakeholders, as appropriate, in the process; Be action-oriented; Concise; Easy to communicate; Limited in number; Aspirational; Global in nature; Universally applicable to all countries while taking into account different national realities, capacities and levels of development and respecting national policies and priorities.</p>
<b>W1-W2-W3</b>	<p>CGIAR Fund Donors may designate their contribution to one or more of three funding “Windows”: W1, W2 or W3.</p>
<b>W1</b>	<p>Window 1 - Contributions represent the least restricted type of funding. The Fund Council allocates Window 1 Funds to CGIAR Research Programs (CRPs), based upon a request from the Consortium Board for specific allocations to each CRP. It also decides upon appropriate payment of System Costs and any other use required to achieve the CGIAR mission.</p>
<b>W2</b>	<p>Window 2 – Contributions are designated by Fund Donors to one or more specific CRPs. For each approved CRP, a sub-account is created to which donors may allocate funds. Once Window 2 funds are allocated to a given CRP, they flow to the Lead Center implementing the CRP, based upon the specific requests from the Consortium Board.</p>
<b>W3</b>	<p>Window 3 – Contributions are the most restricted type of funding, consisting of funds that Fund Donors wish to allocate to specific Centers. Neither the Consortium nor the Fund Council makes decisions about the use of Window 3 funds.</p>