

## SMB17 virtual meeting –Agenda, Approach and Materials

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Purpose: This slide deck sets out the approach and material for the SMB’s virtual engagement over 5-7 May 2020. For information on decisions taken, please see the Chair’s Summary (issued 18 May 2020).

Prepared by: CGIAR System Organization  
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# SMB17 meeting approach in a virtual context

*Acknowledging the dynamic context in which we are all operating, preparation for this meeting proposes a simplified and flexible preparation approach. It draws on some great learnings shared by Center Board Secretaries during the recent and ongoing rounds of virtual Center Board meetings.*

The framework:

**3 sessions, each of 3 hours (one per day over three consecutive days)**

The context:

**Seeking to find an optimal balance** between ensuring that important matters requiring SMB oversight are dealt with, but that the reduced available face time is spent on high-priority, rapidly-evolving topics.

**Material is thus coming in a streamlined presentation format**, rather than individual meeting papers



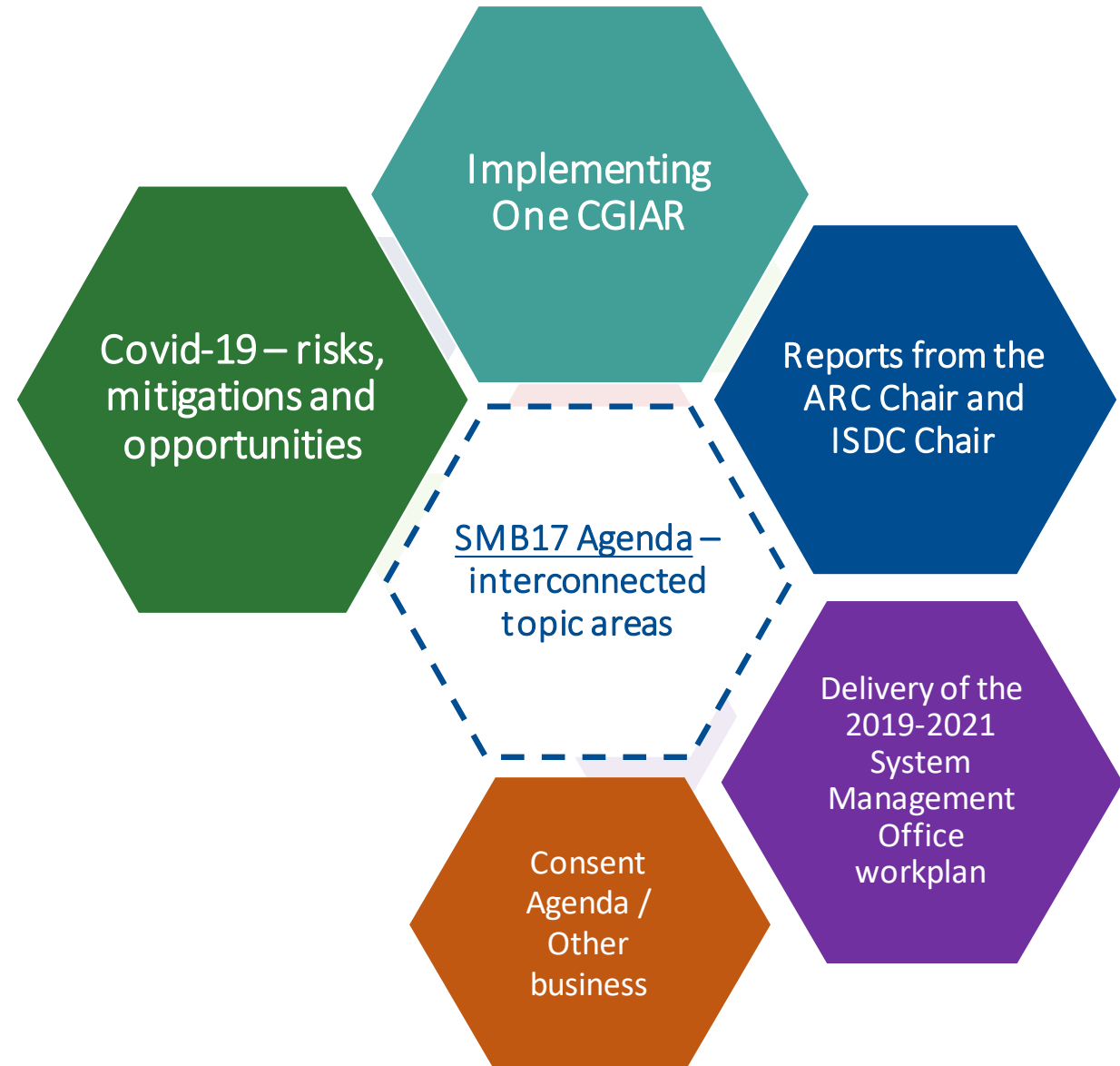
# SMB17 Agenda – Key topic areas



The agenda proposes  
5 interconnected key topic areas

**Most of the discussion time** will be dedicated to:

- Covid-19 risk mitigation measures from a system perspective
- Implementation of One CGIAR



## The approach to Topic Area 1: Covid-19

### A. Risk mitigations and opportunities

- Round-table of brief observations from SMB members on experiences across the System since 27 March ad hoc call
- Priority risks identified and status of mitigating activities

#### The ask:

Input on mitigating activities

#### Background materials:

Prioritized Covid-19 risk register

### B. Financial Impact Analysis

- Framing in context of views heard on 30 April System Council call
- Review of modelled Financial Impact Analysis
- Discussion on proposed request(s) to be made to Funders

#### The ask:

Agree next steps/recommendations to the System Council

#### Background materials:

System-wide scenario-based financial modelling of Covid-19 impact

### C. CGIAR's research and partnerships


- Framework for System-wide paper led by IFPRI, ILRI & System Organization on Covid-19 relevance of portfolio & adjustments

#### The ask:

Endorsement of approach

#### Background materials:

Outline of paper on CGIAR Research response



Covid-19 – risks,  
mitigations and  
opportunities



Session timing –  
Day 1

# Advance Read - Topic area 1A

## Covid-19 risks, mitigations and opportunities



### Session approach:

- Round-table of brief observations from SMB members on experiences across the System since 27 March ad hoc call
- Be clear on priority risks and status of mitigating activities

### The ask:

Input on mitigating activities

### Background materials:

Prioritized Covid-19 risk register

### ✓ **A system-wide risk management process for Covid-19 remains in place.**

Focus is gradually shifting to risks related to the re-opening of facilities, other Top-5 and longer-term risks / opportunities

Top 5 Covid-19 system-wide risks	Short-term up to 6 months	Medium-term 6 -18 months	Long-term Beyond 18 months
1. Loss of capacity due to staff not being available or unable to work and/or reduced productivity	○		
2. Potential mandatory time/personnel reductions may result in loss of key expertise		○	○
3. Lack of or inability to implement plans to maintain assets at an adequate level may result in delays in the re-start of CGIAR operations and activities after crisis is over	○		
4. Reduced ability to spend project funds and recover costs significantly affects Centers/Alliances' budgets, cash, liquidity and reserves, hence short/medium-term viability	○	○	
5. Short and/or longer-term reductions in funding threatens the capacity of CGIAR system to conduct critical research and the long-term viability of Centers/Alliances	○	○	○

### **But as with any crisis, there are opportunities:**

- An opportunity for CGIAR to be part of the global response
- A further incentive to get One CGIAR done
- A renewal of public recognition of the crucial role of science, 'experts', and scientific research
- A re-engagement on food systems as a result of a new form of food crisis
- A rapid adoption of new communication technologies and legacy of virtual working across geographical or institutional boundaries
- Strengthened social capital within and across the CGIAR
- Renewed recognition of the need for multilateralism as the limitations of national-only approaches become apparent

# Advance Read – 1A: Top 5 Covid-19 system-wide risks

## Mitigating instruments/ actions



No	Area	Risk	Mitigating instruments + actions (completed and planned)
1	People	<p><i>Loss of capacity due to staff not being available or unable to work and/or reduced productivity</i></p> <p><i>(burn-out risk/increased workload; country lockdown; tighter restrictions for certain age groups in some countries may be implemented; mental stress/panic due to affected family members or impacted services; illness/death; reliance on technology/internet)</i></p>	<ul style="list-style-type: none"> <li>• Explore and establish new ways of working (i.e. teleworking)</li> <li>• Use flexible contractual arrangement to hire required back-up capacity/expertise</li> <li>• Create the Covid-19 Focal Point network across Centers and System Organization ('SO')</li> <li>• Review contingency for key processes (i.e. payroll, payments, senior leadership succession)</li> <li>• Procure professional counselling (considering non-English speaking staff). Linking with AIARC ('Association of International Agricultural Research Centers') or UN for provision of services.</li> <li>• Keeping track of employees tested positive (a common approach may be challenging from a legal point of view, e.g. disclosure may not be allowed in certain countries or may be obligatory in others)</li> <li>• Establish succession and back-up plans for critical positions</li> <li>• Focal points with SO support create a MS Teams space to share ongoing guidance provided by Centers/SO to staff</li> <li>• Focal points with SO support develop a note to share best-practice examples across the system and with DGs/ED (shared library)</li> <li>• Actions to maintain contact with and support people who self-quarantine (i.e. buddy system or other guideline)</li> <li>• Actions to support staff working from home, e.g. IT equipment, ergonomic, and other resources</li> </ul>
2	People	<p><i>Potential mandatory time /personnel reductions may result in loss of key expertise</i></p>	<ul style="list-style-type: none"> <li>• Financial risk management actions undertaken</li> <li>• Test out more quantified scenario planning on Research Programs impact</li> <li>• Consider long term implications of scientists not returning and try to balance short-term implications with funders, to manage impact in the longer term</li> <li>• Explore alternatives before redundancies (annual leave, part-time, leave without pay with some benefits)</li> <li>• Retention plan based on competitive advantage</li> <li>• Understand complex legal environment and ensure that additional rules by government on treatment of employees during Covid-19 crisis) are understood/monitored</li> <li>• Ensure effective communication is happening</li> </ul>

# Advance Read – 1A: Top 5 Covid-19 system-wide risks

## Mitigating instruments/ actions continued



No	Area	Risk	Mitigating instruments + actions (completed and planned)
3	Operations	<i>Lack of or inability to implement plans to maintain assets at an adequate level may result in delays in the re-start of CGIAR operations and activities after crisis is over</i>	<ul style="list-style-type: none"> <li>• Implement Centers' Business Continuity Plans (BCPs)</li> <li>• Centers to prepare post-crisis operational plan and communicate with relevant audiences to ensure timely implementation</li> <li>• Capture lessons learned including around challenges faced i) between countries and ii) decision making processes to invoke or deactivate BCPs</li> <li>• Seek support from host countries in the application of P&amp;I under hosting agreements</li> <li>• Links with governments to protect critical technology scaling and delivery systems</li> <li>• Developing a guide document on re-starting operations</li> </ul>
4	Finance	<i>Reduced ability to spend project funds and recover costs significantly affects Centers/Alliances' budgets, cash, liquidity and reserves, hence short/medium-term viability</i>	<ul style="list-style-type: none"> <li>• Test out more quantified scenario planning on Research Programs' impact and set a coordinated Research response for the short and medium to long term</li> <li>• Active participation and collaboration of Finance teams across the System to track and share information on cash flows, liquidity, cost recoveries, projected results and other qualitative risks</li> </ul>
5	Strategy	<i>Short and/or longer-term reductions in funding threaten the capacity of CGIAR System to conduct critical research and the long-term viability of Centers/Alliances</i>	<ul style="list-style-type: none"> <li>• System-level financial impact scenario planning and communication with Funders</li> <li>• Developing risk assessment for long-term impacts to ODA funding</li> <li>• Funder calls on 2020-2021 FINPLAN commitments. Funder calls are scheduled to enable two-way communication, to collect data and information, and to try to secure commitments for 2020 and 2021</li> <li>• Funder update and risk assessment initiated by Funder and External Relations Unit, SO, on key risks and uncertainties by Covid-19 <ul style="list-style-type: none"> <li>- calls completed with i) Heads of RM and ii) key Funders, and 3) learnings from other crises</li> </ul> </li> <li>• Resource Mobilization Community of Practice serves as platform to share Funder directives, instructions and messages related to CGIAR operations, budgets and management of Covid-19 crisis</li> <li>• Business development team at entities reaches out to bilateral donors</li> </ul>

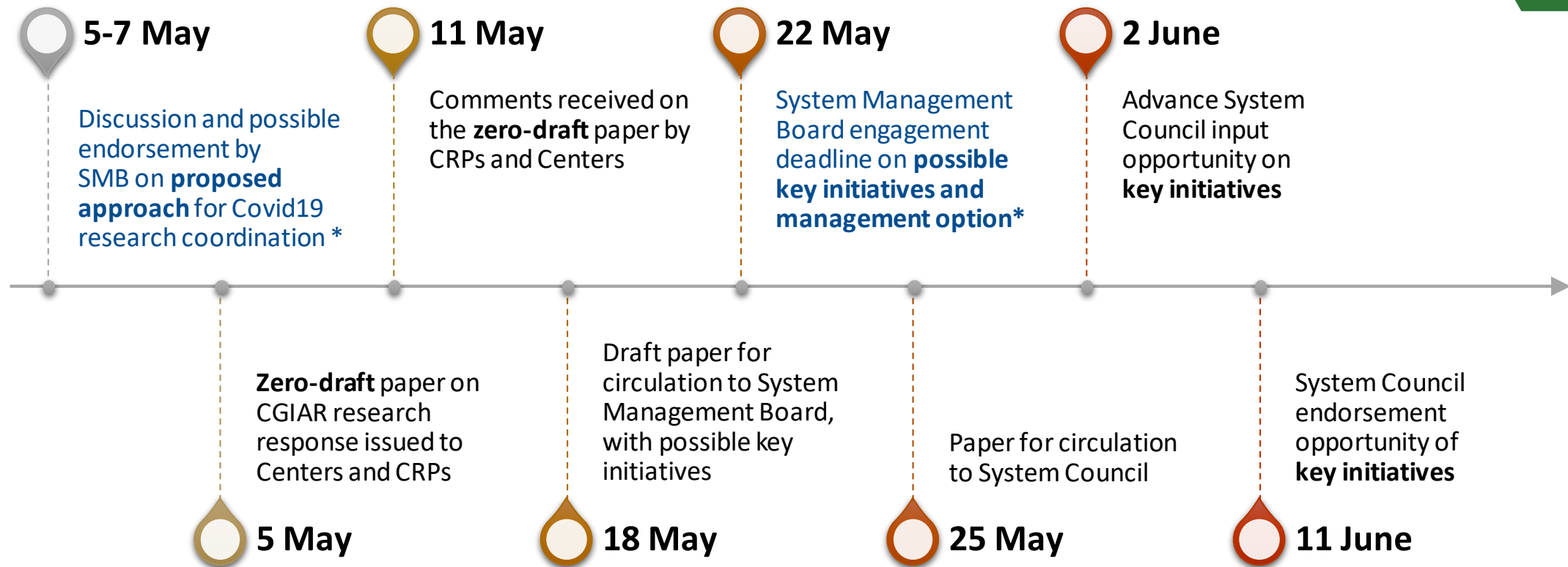
# Advance Read – 1C: Covid-19 Coordinated research response Roadmap to clarifying CGIAR's strategy and approach



Session approach

- Seeking shared clarity around the framework for System-wide paper led by IFPRI, ILRI & System Organization on Covid-19 relevance of portfolio & adjustments

The ask:  
**Endorsement of approach**



\* Indicates specific opportunities for System Management Board to engage with material and process



- The pandemic response presents complex challenges requiring solutions from across our health, economic, social, environmental, and business sectors.
- Research needs depend on the time horizon:

In the short-term, scientific evidence is urgently needed to help policymakers and decision implementers respond to the initial crisis in optimal ways.

In the medium to long term, decision makers will need evidenced-based knowledge for both medium-term recovery and long-term resilience and preparedness:

- Assessing infectious disease risks, anticipating disease outbreaks, and helping health systems improve surveillance and response.
- Raising the resilience of food systems to withstand disease-related, economic and other shocks

## Underlying principles

Alignment with larger Covid-19 plans

Measured, evidenced-based, timely, credible, and solutions-oriented

Well-synthesized knowledge on critically important Covid-19 issues in Lower-middle Income Countries

## Partnership for impact

Mapping CGIAR's roles relative to partners and their strategic responses to Covid-19

Partnership categorization done through identification, positioning and prioritization

## CGIAR capacities

Generating and sharing knowledge

Filling critical gaps

Rapidly informing policy and programmatic response

Conducting impact evaluation

Building capacity

Leveraging our networks

Forming strong strategic partnerships

Communicating consistent messages

One Health

To be updated based on inputs according to the roadmap at slide 7

# Advance Read – 1C: Covid-19 Coordinated research response

## CGIAR research offer: Four pillars



To be updated based on inputs according to the roadmap at slide 7

### Food systems

- Functioning supply chains and markets are critical.
- A food systems approach is useful as disruptions will be on both the supply and demand side.
- CGIAR research support will enhance food and nutrition security in the immediate response to Covid-19 and the subsequent recovery period.

### One Health

- The origins of Covid-19 and other recent epidemics link the research themes of human health, animal health, and environmental health (the three tenets of One Health).
- CGIAR will support immediate responses to the Covid-19 crisis and identify opportunities to better manage zoonoses in the future.

### Inclusive public programs

- The survival of poor people will depend on smart public programs encompassing food distribution, social safety nets, and inclusive responses supporting vulnerable groups.
- CGIAR responses will help to mitigate food and nutritional insecurity among vulnerable populations brought about by Covid-19.

### Policies and investments

- CGIAR will generate evidence-based policy and investment solutions under two research themes:
- pro-poor development strategies/investments and
  - support to regional and national responses.

# Advance Read – 1C: Covid-19 Coordinated research response

## CGIAR research offer: Preliminary themes



Research on health, economic, food, land, and water systems is needed across inter-related themes to address the impacts of Covid-19 in low- and middle-income countries

Covid-19 Pillars	Market and nutrition driven food systems				One Health			Inclusive public programs			Policies and investments	
Themes	Food production	Labor and industry	Markets and trade	Resilience	Human health	Animal and crop health	Ecosystem health	Food distribution	Social protection	Inclusive responses	Pro-poor development strategies/ investments	Support to regional and national responses

To be updated based on inputs according to the roadmap at slide 7

# Advance Read – 1C: Covid-19 Coordinated research response

## CGIAR research offer: Short term and medium/longer term focus

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- **Short-term research** in the next 12 months will support urgent responses to pandemic as it unfolds in different regions and countries.

Examples could include:

- Assessments of food supply and prices
- Performance of trade and markets
- Disease risks associated with markets
- Performance of public programs on incomes, nutrition, and health.

- **Medium- to longer-term research** over the next 12-24 months will support adaptation in food, health, and social systems (as economies recover after the urgent phase) and will then pivot to investigate the root causes of the pandemic for longer-term preparedness and resilience that will be included in the CGIAR research strategy to 2030 and 2022-24 business plan.

Examples could include:

- Testing innovations for alternative food supply chains to reduce disease spread
- One Health analysis of risk of disease emergence from different market and ecological sources
- Assessments of initial country policy responses to adjust programs and adapt priorities

To be updated based on inputs according to the roadmap at slide 7

# Advance Read – 1C: Covid-19 Coordinated research response CGIAR research offer – Examples of research outputs



To be updated based on inputs according to the roadmap at slide 7

	Current	Adaptable	New
Food systems	Mapping production/crop systems to identify potential shortfalls	Analyzing the impacts of travel bans, illness on the availability of agricultural labor	Refining and disseminating risk-based food safety approaches
	Food price tracking	Assessing the impacts Covid-19 on the supply of nutrient-rich food	Building resilience to shocks in vulnerable peoples and places
One Health	Mitigating risk in wet markets and wild food markets	Integration with other relevant research, e.g. antimicrobial resistance	Investigating ongoing transmission of Covid-19 between animals and humans
	Assessing the impacts of climate change on disease emergence	Testing samples in bio-repositories for coronaviruses	Emerging zoonoses – understanding risks and linking to systems change
Inclusive public programs	Determining the impacts of internal migration on food demand	Analyzing consumer behavior (e.g. in food choices) during the Covid-19 crisis	Analyzing Covid-19 impacts on extreme poverty
	Assessing the impacts of reduced incomes on food access and nutrition	Analyzing the role of social protection in mitigating the effects of Covid-19	Assessing the impacts of Covid-19 on intrahousehold issues
Policies and Investments	Economic modeling based on Social Accounting Matrices to inform decisions through cross-country comparisons	Analyzing the near-term impact of Covid-19 on economies and people	Assess the immediate impact of Covid-19 in regions and countries in terms of their emergency responses, food systems, disease transmission, and agricultural and economic development and publish cross-country comparison studies
	Implications of agricultural revenue loss on external financing needs	Developing a synthesis of lessons relative to Covid-19 from research on past shocks	

# Advance Read – 1C: Covid-19 Coordinated research response CGIAR Research Offer – Cross-cutting issues

Subject to  
roadmap set out  
on slide 7



Cross-cutting issues of **gender, nutrition, and poverty and equity** will be mainstreamed in each research area

## Gender considerations

- Short-term: Basic Covid-19 precautions will be out of reach for many people in developing countries may have very different consequences for women and men
- Medium- to long term: Whether social protection / gender-sensitive agriculture programs were protective against the ill-effects of Covid-19.

## Poverty and equity considerations

Short-term:

- Poor people will be adversely affected by unemployment; many live on a daily income or work in low-wage service industries and are currently unable to work.
- Elderly and people with co-morbidities are most affected.

Medium- to long-term:

- Global poverty could increase by up to 20%, with 80 million of these in sub-Saharan Africa.
- Poor countries have lower capacity to compensate for declining incomes.
- The large operating debts, particularly of developing countries, will exacerbate inequalities across and within countries.

## Nutrition considerations

Short-term:

- Malnourished individuals are more likely to have severe Covid-19 symptoms, possibly requiring hospitalization.
- Steps taken to reduce the spread of Covid-19 may adversely affect nutrition.

Medium- to long-term:

- The roles of state and private actors in buffering food and nutrition impacts on poor households, especially in urban areas.
- Governments will need to account for the broader impacts of Covid-19 on nutrition when developing both short- and long-term action plans in response.

- CGIAR Covid-19 research response will necessarily vary by geography
- In some countries, e.g. Bangladesh, coalitions of CGIAR Centers and partners working to support government response to Covid-19

# The approach to Topic Area 2 – Part 1

<p><b>A. Key risks, mitigation measures and opportunities (30 mins)</b></p> <ul style="list-style-type: none"> <li>• Progress update – highlighting areas where guidance/course correction might be needed</li> <li>• Transition risk management – where SMB input on mitigations is required (led by ARC Chair)</li> <li>• Update on engagement with Center Boards to date</li> <li>• Reviewing key deliverables and consultation moments in implementation</li> </ul>	<p><b>The ask:</b> Advice and guidance on priority areas and major risks</p> <p><b>Background materials:</b> Transition implementation progress update One CGIAR implementation risk register</p>
<p><b>D. Delivering a high-level research strategy</b></p> <ul style="list-style-type: none"> <li>• Visualizing the ‘end-product’ for delivery to the System Council</li> <li>• Exploring effective consultation modalities (noting timing of the appointment of the EMT)</li> <li>• Initial brainstorming on transitioning from existing CRP modality (for EMT to drive on appointment)</li> </ul>	<p><b>The ask:</b> Input on key questions articulated in materials</p> <p><b>Background materials:</b></p> <ul style="list-style-type: none"> <li>• Timeline for delivery by TAG-2</li> <li>• Table of contents for One CGIAR Research Strategy</li> <li>• Concept note on possible trajectories for existing research in CRPs</li> </ul>
<p><b>C. Appointing and integrating the TPMU (40 mins)</b></p> <ul style="list-style-type: none"> <li>• Identifying a Transition Program Management Unit (TPMU) provider</li> <li>• Modalities of interaction with TPMU</li> </ul>	<p><b>The ask:</b> Approval of recommended appointee</p> <p><b>Background materials:</b> Proposal from TPMU provider</p>





# The approach to Topic Area 2 – Part 2

**E. Funding during transition**

- Proposal on creation of a \$40M - \$70M W1 Special Initiative to Support Implementation of One CGIAR

*\*\*Note – includes conclusions from Day 1 session on COVID-19 Financial Impact Response Strategy*

**The ask:**  
Endorsement of approach on special initiative

**Background materials:**

- Proposal for W1 Special Initiative to support One CGIAR Transition

**B. Delivering Unified Governance**

- Agreeing a way forward on Executive Management Team appointment

**The ask:**  
**Endorse EMT Terms of Reference; Chair of EMT Search Committee; and next steps**

**Background materials:**

- [Summary findings of the legal opinion on delivering unified governance under one CGIAR](#)



# Advance Read - 2A: Key risks, mitigation measures and opportunities: Progress update



The ask:  
Advice and guidance on priority areas and major risks

Implementing  
One CGIAR

## **The transition to One CGIAR is on track if we keep the current momentum**

All target dates (as set out in February this year) remain within reach. Transition Advisory Groups (TAGs) bring multi-stakeholder input and advice in support of key 2020—2021 decision moments.

## **The institutional architecture to lead, advise, and support the transition is falling into place**

The Transition Consultation Forum (TCF) and Transition Advisory Groups (TAG) have been operational since February. All TAGs have co-stewards from Centers and the System Organization. At this meeting, the SMB is invited to consider next steps regarding the Transition Program Management Unit (TPMU) and the inaugural Executive Management Team (EMT).

## **Communications and outreach on the transition are being progressively enhanced**

Key tools, processes, and products include a dedicated web page, an internal MS Teams workspace for virtual collaboration across the TCF and TAGs, Newsletters from the TCF co-chairs, structured outreach to Center Boards, and broader involvement of CGIAR staff through Communities of Practice.

## **Transition risks and mitigation measures are continuously assessed and prioritized**

While the impacts of the Covid-19 pandemic call for some adaptations in the approach, key implementation steps in 2020 can be completed on time. Indeed, the joint actions across Centers/Alliance and the System Organization may have increased the momentum to deliver One CGIAR with urgency.

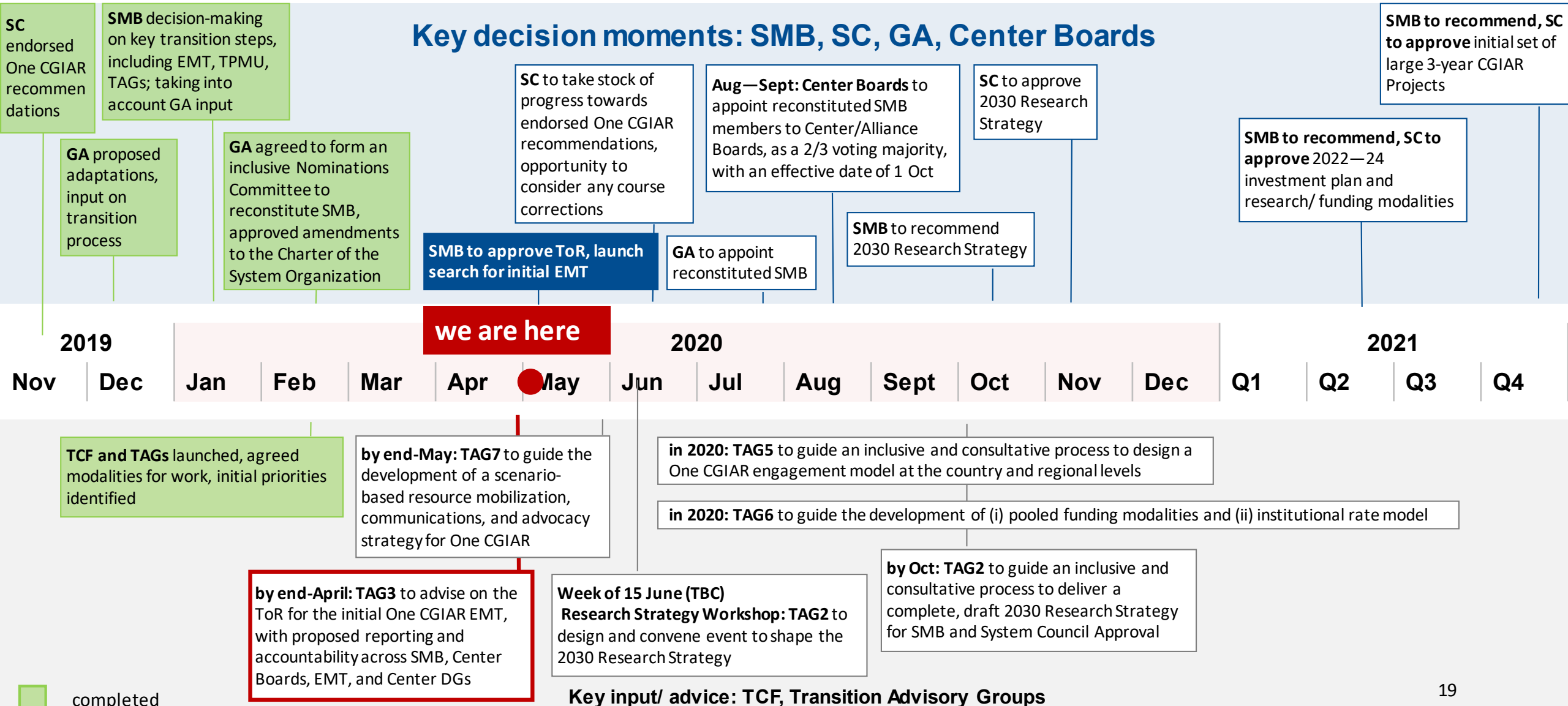
# Advance Read - 2A: Key risks, mitigation measures and opportunities: Endorsed target dates



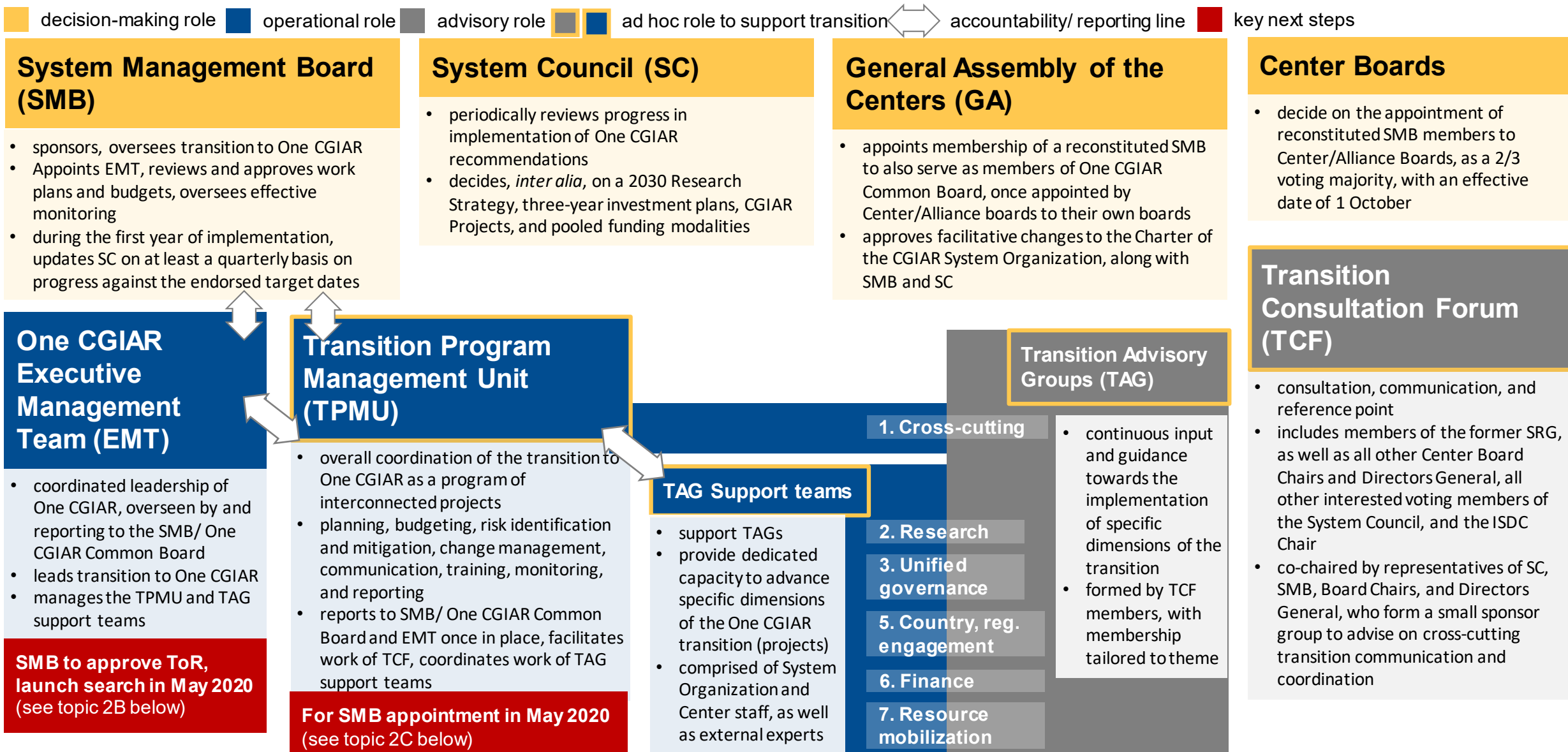
	2020				2021				2022	2023	2024
	Sept	Oct	Nov	Dec	Q1	Q2	Q3	Q4			
<b>Recommendation 1:</b> 2030 Research Strategy developed and approved	█	█	█								
<b>Recommendation 1:</b> 2022—24 Investment Plan developed and approved				█	█	█					
<b>Recommendation 1:</b> Initial set of CGIAR Projects developed and approved						█	█	█			
<b>Recommendation 2:</b> Center Board decision-making in Aug—Sept to appoint reconstituted SMB members to Center/Alliance Boards, as a 2/3 voting majority*	█										
<b>Recommendation 3.a:</b> Form One CGIAR Executive Management Team (EMT)*	SMB to agree ToR and launch search in May 2020										
<b>Recommendation 3.b:</b> Priority One CGIAR policies and services feasibility and business case development, services design	█	█	█	█							
<b>Recommendation 3.b:</b> Priority One CGIAR policies and services build and implementation					█	█	█	█			
<b>Recommendation 3.c:</b> Design and scoping of One CGIAR country and regional engagement model	█	█	█	█							
<b>Recommendation 3.c:</b> Prioritized roll-out of new engagement model with country strategies and coordination functions					█	█	█	█			
<b>Recommendation 4:</b> New modality developed and approved for implementation readiness from 2022				█	█	█	█	█			
<b>Recommendation 5:</b> 50% pooled funding achieved by end-2022	█	█	█	█	█	█	█	█	█		
<b>Recommendation 5:</b> 70% pooled funding by the end of the 2022-2024 business plan period										█	█

\*In line with a principle of adaptive management, detailed aspects of the destination were further defined and the target dates for 2 and 3.a adapted by the [SMB at its 16th meeting in January 2020](#), taking into account proposals made by the [December 2019 Extraordinary General Assembly of the Centers](#).

# Advance Read - 2A: Key risks, mitigation measures and opportunities: Upcoming decision moments and TAG contributions



# Advance Read - 2A: Key risks, mitigation measures and opportunities: Leading and stewarding the transition



# Advance Read - 2A: Key risks, mitigation measures and opportunities: Communications and outreach



Tool, platform, product, process	Status	Update as of SMB17
<b>Tools, platforms</b>		
TCF web page	Green	<b>Live</b> , updated with each Newsletter and as needed, and to be enhanced through below, core communication products
MS Teams work space for the TCF and TAGs	Green	<b>Live</b> , updated continuously as a document repository and collaboration platform for the TCF and TAGs
<b>Products</b>		
'Towards One CGIAR' Newsletter series	Green	4 editions issued
Q&A on One CGIAR	Green	<b>Live</b> : Evolving document based on input from TAG1 and HoC CoP
Standard One CGIAR PPT	Green	<b>Live</b> : Evolving document based on input from TAG1 and HoC CoP
One CGIAR brochure	Yellow	In progress
Video messages from TCF co-chairs, champions	Orange	Not started
<b>Processes</b>		
TCF	Green	Launched in January
TAGs	Green	Launched in February
TAG engagement with CoPs, HoC CoP and Center focal points for improved internal information flow	Yellow	In progress
Structured engagement with Center Boards, including through dialogues on the external legal opinion and with key Funders	Yellow	<b>In progress</b> : 5/13 Board—Funder dialogues held, legal opinion issued on 23 April
Structured engagement with host and partner countries	Yellow	In progress: Plan for TAG1 review in May
One CGIAR webinar series for staff and stakeholders	Yellow	In progress: Draft concept for TAG1 and HoC CoP input in May

## Advance Read - 2A: Key risks, mitigation measures and opportunities: Engagement with Center/ Alliance Boards



- ✓ As of 28 April, the following One CGIAR conversations have taken place or have been scheduled between Center/ Alliance Boards and their top-5 System Council Funders:

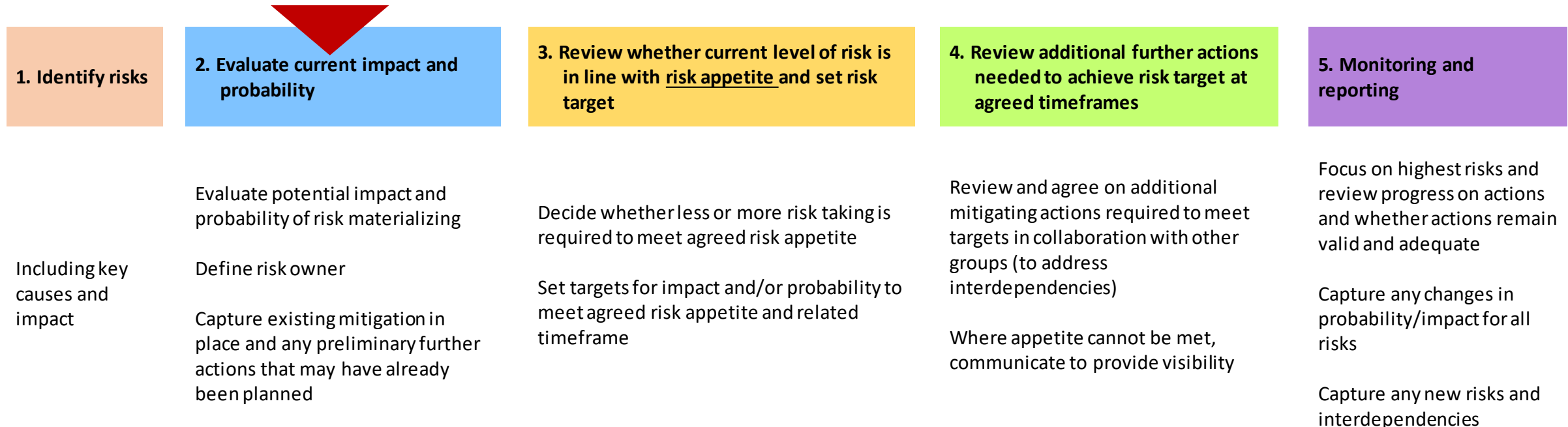
Date (CEST)	Board	Participating Funders
<b>Completed</b>		
21 April	IITA	AfDB, Belgium, BMGF, Norway, United States, United Kingdom
21 April	CIMMYT	Australia, BMGF, United States, United Kingdom
22 April	IRRI	BMGF, India, United Kingdom, United States, World Bank
23 April	WorldFish	Australia, Norway, Sweden, Switzerland, United States
27 April	Alliance of Bioversity and CIAT	Germany, Netherlands, United Kingdom, United States, World Bank
<b>Scheduled</b>		
7 May	ILRI (Executive Committee)	BMGF, Sweden, United Kingdom, United States, World Bank

- ✓ From 23 April 2020, Center legal focal points have been considering their Center-specific Annex to the final legal opinion, to provide any clarifications about that Annex, so that the complete set of final Annexes can be issued across all the Centers/Alliances to meet the request from the Extraordinary General Assembly in December 2019 of cross-Center legal due diligence.

# Advance Read - 2A: Key risks, mitigation measures and opportunities: Effective risk management



- ✓ **Transition risks and mitigation are assessed and prioritized.** TAG support teams are in the process of completing Step 2 below (risk evaluation), which will help prioritize risks and mitigating actions.
- ✓ **A draft common risk register for One CGIAR is being developed.** 53 risks have been raised and discussed, 51 already have preliminary mitigating actions in place. The common risk register will assist sharing of risks and interdependencies between TAGs and facilitate collaboration in planning mitigating actions to be taken.





# Advance Read - 2D: Delivering a high-level research strategy Visualizing the 'end-product' for delivery to the System Council

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The ask:  
Endorsement of proposed approach

## Draft Table of Contents for One CGIAR Strategy 2022-2030

- Foreword (1 page)
- Executive summary (1 page)
- A new paradigm (3 pages)
- Vision and mission (1 page)
- Research framework (1 page)
- Research portfolio (5 pages)
- Results framework (2 pages)
- Management of AR4D to maximize impact (3 pages)



# Advance Read - 2D: Delivering a high-level research strategy

## Exploring effective consultation modalities



The ask:  
Endorsement of proposed approach

### Timeline for delivering high level research strategy

Activity	Timeline
Stakeholder consultation	May
Investor consultation	May
Outline and test example integrated regional programs	May
Research strategy workshop	June
Results framework outline	July
First draft of research strategy	1 August
Validation of draft, editing, design etc.	Aug- Sept
Final draft strategy submitted to SMB	1 October
Final strategy submitted to the System Council	1 November

### Schedule of consultation from August to November, 2020

Activity	Timeline
First draft of research strategy	1 August
Validation of first draft by TAG2	10 Aug
Advanced draft to TCF	17 Aug
TCF feedback	24 Aug
Soliciting feedback from partners & donors	29 Aug- 15 Sept
Integration of feedback, editing, design & layout	15 Sept – 28 Sept
Final draft to the System Management Board	1 Oct
SMB feedback	15 Oct
Finalizing submission to the System Council	20 -30 Oct
Final strategy submitted to the System Council	1 November

# Advance Read - 2D: Delivering a high-level research strategy

## Initial brainstorming on transitioning from existing CRP modality

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The ask:  
For input

### Proposed process

- **5-7 May (this meeting):** System Management Board initiates a discussion of options
- June: System Council initial review of options
- October: Executive Management Team provides recommendation on options to SMB / OCB
- November: SMB / OCB recommendation put before System Council



# Advance Read - 2D: Delivering a high-level research strategy

## Initial brainstorming on transitioning from existing CRP modality

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The ask:  
For input

Implementing  
One CGIAR

### Background: SRG Recommendations on modalities for research (Document SC09-02)

A phased project cycle with hierarchy as follows:

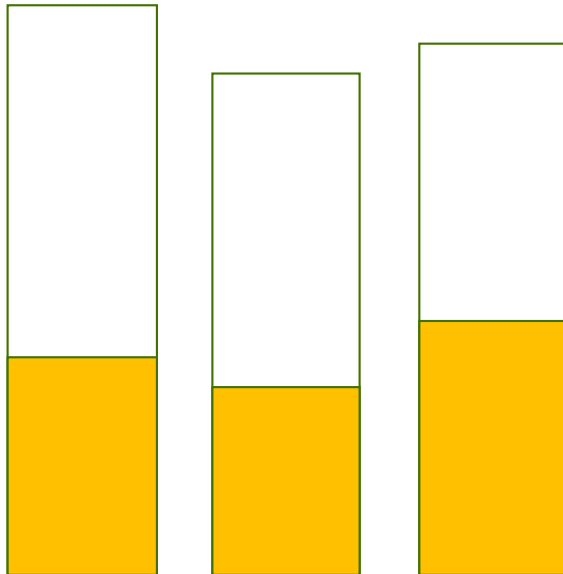
- **A 2030 Research Strategy:** due in November 2020, will describe a limited number (4-5) major research areas
- **3-year Investment Plans:** starting with the 2022-2024 business cycle, describing: i) a prioritized list of CGIAR Project concepts to be commissioned and awarded (subject to confirmed availability of funding) over the 3-year period – each describing how they the major research areas n the 2030 Research Strategy
- **CGIAR Projects:** co-created and approved sequentially over the business plan period, with i) 3-year measurable objectives (outputs and outcomes), ii) an end-to-end design for delivery from research to impact-at-scale by working in partnership, iii) target geographies and farming systems based on regional/country priority-setting, and iv) a common Performance & Results Management System that encompasses planning, monitoring, stage-gate decision points and reporting on impacts.

# Advance Read - 2D: Delivering a high-level research strategy

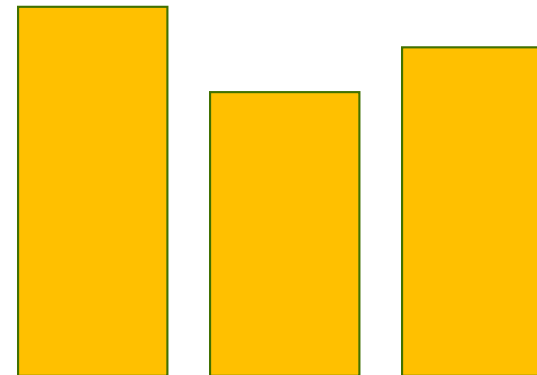
## Funding modality: current model vs future model



The ask:  
For input



- Program partially funded by pooled funding, remainder from bilateral/W3
- Variable annual supply of pooled funding
- Annual revisions to budget, with confirmation of available funding during the year (Q4)



- Project (or Program) fully funded by pooled funding
- 3-year grant, subject to stage-gate decision points
- Minimum USD 10 million per annum
- 3-year budget approved ahead of program implementation

# Advance Read - 2D: Delivering a high-level research strategy

## Initial brainstorming on transitioning from existing CRP modality

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The ask:  
For input

### Considerations in transition from current modality to One CGIAR modality

- Readiness of One CGIAR Research Strategy, including:
  - The One CGIAR research modality (TAG2 + TAG3 and TAG6), including an understanding of research vs service roles and how they are funded
  - First 3-year Investment Plan
  - Rate of elaboration and approval of fundable elements (CGIAR Projects)
- Sources and availability of funding, including:
  - Size of funding envelope (2022 and multi-year)
  - Options to utilize wider range of financing mechanisms
- Business continuity and deployment of assets, including:
  - Mechanisms to identify most valuable activities and assets



# Advance Read - Topic Area 4: System Management Office 2019-2021 Workplan update



## The ask:

For information/input on System Management Office workplan adjustments

- ✓ **We are approaching the mid-point of the 2019—21 System Business Plan and the associated System Management Office Work Plan.**
- ✓ **On both implementation of agreed actions is largely on track** (review of progress against KPIs, slides 57—62 below) – including operational strengthening of System Organization
- ✓ **The speed and scope of changes envisaged in the endorsed One CGIAR recommendations has exceeded the expectations of either plan, hence KPIs no longer fully reflect the extent of current objectives on either.**
- ✓ **Covid-19 represents a major source of uncertainty for the remainder of the three-year period.** It underscores the need for the System Organization to remain agile and responsive. 2020—21 budgets for the System Organization are maintained, but with continuous review in light of the funding risks identified (slides 7—8 above), realizing savings where possible.

Delivery of the  
2019-2021  
SMO  
Workplan

Session timing  
–  
Day 1

# Advance Read - 4: System Management Office 2019-2021 Workplan update

## Self-assessment of progress against System Org KPIs



2019—21 Business Plan Actions		Associated 2019—21 SMO Work Plan KPIs		Status
<b>ACTION 1:</b>	<b>Implement and enhance the portfolio of CRPs and Platforms</b>			
1.1	Successfully implement the CGIAR portfolio over the business plan period	1	Successful implementation of the CGIAR portfolio over the business plan period	fully on track/ achieved
1.2	Elevate new Gender Equality to a new CGIAR Research Platform	2	Creation/elevation of Gender Equality Platform	fully on track/ achieved
1.3	Deepen the portfolio through new thematic strategies and initiatives	3 4	Foundation established for CGIAR Digital Extension Services Deepen the portfolio through new thematic strategies and initiatives	mostly on track
<b>ACTION 2:</b>	<b>Create Financial Sustainability and Growth in CGIAR</b>			
2.1	Agree ambitious targets for funding volume and quality	5	Increased volume of pooled W1/W2 funding from new or lapsed funders (bilateral, multilateral, foundation and private sector)	fully on track/ achieved
2.2	Implement the 2019-2021 FINPLAN	6	Financial Guidelines on Indirect Costs and Financial Indicators Approved by SMB	fully on track/ achieved
2.3	Meet minimum overhead costs	7	Office support and services are delivered efficiently	fully on track/ achieved
2.4	Extend reconciliation of System Council Funder seating to end-2020	8, 9	8. Reconciliation of System Council seat extended to end of 2020 9. The agreement by CGIAR's Funders on how the allocation of System Council 'Funder' voting member seats is effectively coordinated	challenges encountered, needs review
<b>ACTION 3:</b>	<b>Strengthen program performance management</b>	10	CGIAR program results performance enabled	fully on track/ achieved
3.1	Implement a 12-Point Program Performance Management Framework	11	Successful implementation of a 12-Point Program Performance Management Framework	fully on track/ achieved
3.2	Implement Program Performance Management Standards for 2019	12	Successful implementation of Program Performance Standards	mostly on track



# Advance Read - 4: System Management Office 2019-2021 Workplan update

## Self-assessment of progress against System Org KPIs (2)



2019—21 Business Plan Actions		Associated 2019—21 SMO Work Plan KPIs		Status
<b>ACTION 4:</b>	<b>Improve people management</b>			
4.1	Develop a CGIAR People Management Strategy	13	Development of a CGIAR People Management Strategy	not started, needs review
4.2	Reinforce and strengthen our shared ethical frameworks and practices	14, 15	14. Common policies that deliver a stronger ethical framework for the CGIAR System are adopted based on broad support by the governing entities of the System 15. Common CGIAR safeguarding policies, guidelines, and tools are adopted System-wide	partially completed, delayed
4.3	Design and implement a 'Gender, Diversity and Inclusion Framework'	16	Development of a CGIAR Gender Equality, Diversity, and Inclusion Framework	completed, on track
<b>ACTION 5:</b>	<b>Pursue new cross-Center alliances</b>			
5.1	Attract additional funding in support of Center alliances			
5.2	Explore priority shared services opportunities between Centers	17	Design, development, and release of a System-wide Financial Reporting Dashboard	completed, on track
<b>ACTION 6:</b>	<b>Enhance collaboration with delivery partners</b>	18	System-wide collaboration capabilities are improved through improvement of tools	completed, on track
6.1	Implement a new country collaboration strategy			
6.2	Deepen private sector collaboration	19	Deepened collaboration with private sector	partially completed, delayed
6.3	Establish new Multilateral Development Bank cooperation platforms	20	Creation of new multilateral development bank (MDB) cooperation platform(s)	not started, needs review
6.4	Set up a CGIAR Rome-hub	21, 22	21. System Management Office presence as part of a Rome office is established 22. HR support provided to the establishment of the Rome office and CGIAR Advisory Services Shared Secretariat	completed, on track

# Advance Read - 4: System Management Office 2019-2021 Workplan update

## Self-assessment of progress against System Org KPIs (3)



2019—21 Business Plan Actions		Associated 2019—21 SMO Work Plan KPIs		Status
<b>ACTION 7:</b>	<b>Align and enhance assurance systems</b>			
7.1	Increase coordination and information sharing between assurance providers			
7.2	Evolve our risk management maturity	23, 24	23. CGIAR and SMO Information Security aligned with international standards and practices 24. Opportunity and risk management is embedded into System and System Organization operations	
7.3	Evolve capacity to increase the value of internal audit			
7.4	Harmonize cross-System internal controls frameworks for shared risks	25	Provide effective secretariat support to the Center Audit Committee Chairs be to effective stewards of activities to enhance cross-System internal controls	
<b>ACTION 8:</b>	<b>Align high-quality independent advisory services into System-level decision-making</b>	26	High-quality independent advisory services effectively aligned into System decision making	
8.1	Implement System Council decision on advisory services			
8.2	Implement Council-agreed workplan of the Advisory Services Shared Secretariat			
<b>ACTION 9:</b>	<b>Collaborate on shared resource mobilization and communication</b>			
9.1	Develop and implement a System-wide marketing and communications strategy			
9.2	Implement a System-wide resource mobilization action plan	27	Fully implemented 2018-2019 System-wide resource mobilization action plan	
<b>ACTION 10</b>	<b>Prepare a longer-term plan</b>			
10.1	Develop a 2030 Plan	28, 29, 30	28. CGIAR's Partnership Forum contributes meaningful input into the delivery of an agreed '2030 Plan' 29. Development and approval of 2030 Plan focused on programming, funding, and impact 30. Facilitate the development of a new portfolio as a contribution to the 2030 plan	

# Advance Read - 4: System Management Office 2019-2021 Workplan update

## Self-assessment of progress against System Org KPIs (4)



Cross-cutting KPIs in 2019—21 SMO Work Plan		Associated 2019—21 Business Plan Actions	Status
32	CGIAR's governing bodies and convening bodies have been effectively supported to strengthen and make more visible CGIAR's gender equality in its research and its workplaces	1.2, 4.3	Completed, on track
33	Proactively implemented combined assurance model for System risks/opportunities	7.1, 7.3	Completed, on track
34	Successful design and implementation of a 'Gender, Diversity, and Inclusion Framework' and gender equality CGIAR Research Platform	1.2, 4.3	Completed, on track
35	System-wide ethical and risk management frameworks and systems are successfully implemented	4.2, 7.2, 7.4	Partially completed, delayed
36	Increased volume of pooled W1/W2 funding from current funders (bilateral, multilateral and foundation)	2.1, 5.1	Completed, on track
37	Increased collaboration on System-wide communication initiatives to support resource mobilization resulting in increased W1/W2 funding and raising CGIAR brand profile	2.1, 6.2, 9.1	Completed, on track

# Advance Read - 4: System Management Office 2019-2021 Workplan update

## Self-assessment of progress against System Org KPIs (5)



Steady-state KPIs in 2019—21 SMO Work Plan		Status
38	The System Council, as one of the governing bodies of the CGIAR System, is managed effectively and transparently	Completed, on track
39	The System Management Board, as one of the governing bodies of the CGIAR System, is managed effectively and transparently	Completed, on track
40	The General Assembly of the Centers is effectively supported to be a forum for Centers to engage on matters related to the CGIAR System and CGIAR System organization	Completed, on track
41	Other units' capacity to deliver support to governing bodies is improved	Completed, on track
42	On time implementation of management accepted internal audit assurance and advisory engagements	Completed, on track
43	Robust management of external assessments and reviews (e.g.: MOPAN and BMGF)	Completed, on track
44	System and System Organization frameworks, policies, and other related documents are fit for purpose	Partially completed, delayed
45	System Management Office strategy and business planning is achieved efficiently, accurately, and in a timely way	Partially completed, delayed
46	Successful implementation the 2019-2021 FinPlan	Completed, on track
47	FINPLAN updated on a regular basis with accurate information	Completed, on track
48	Increased efficiency in end of quarter and end of year process for SMO Finances	Completed, on track
49	Value of CGIAR Core Services Infrastructure improved	Partially completed, delayed

## Advance Read - 4: System Management Office 2019-2021 Workplan update Self-assessment of progress against System Org KPIs (6)



Steady-state KPIs in 2019—21 SMO Work Plan		Status
50	OCS return on investment improved for the System Organization	partially completed, delayed
51	Deliver System Organization Data and BI initiatives as well as other software requirements as needed	completed, on track
52	Keep the lights on – System Organization IT operations	completed, on track
53	Ensure competition in procurement process	partially completed, delayed
54	Maintenance of a functional and safe work environment	completed, on track
55	System Organization’s actions are consistent with its headquarters’ agreement	completed, on track
56	Staff are provided safety and security support	completed, on track
57	System Organization HR operational capacity and efficiency is strengthened	completed, on track
58	System Organization HR is strengthened	completed, on track
59	System Organization decisions and actions have a sound legal basis	completed, on track
60	CGIAR Research Portfolio is monitored and adjusted as needed	completed, on track
61	Strong and collaborative Science Community	completed, on track

# Advance Read - 4: System Management Office 2019-2021 Workplan update

## System Org KPIs: Possible adjustments



The ask:  
Inputs on possible System Management Office workplan adjustments

2019—21 Business Plan Actions		Associated 2019—21 SMO Work Plan KPIs		Status update, possible adjustments
2.4	Extend reconciliation of System Council Funder seating to end-2020	8, 9	8. Reconciliation of System Council seat extended to end of 2020 9. The agreement by CGIAR's Funders on how the allocation of System Council 'Funder' voting member seats is effectively coordinated	<b>Postpone.</b> This action should be postponed pending definition of the funding modalities for One CGIAR, based on input from TAG6.
4.1	Develop a CGIAR People Management Strategy	13	Development of a CGIAR People Management Strategy	<b>Review.</b> This action should be reviewed in the context of the broader transition to One CGIAR policies and services once an empowered, initial Executive Management Team and TAG4 are in place.
4.2	Reinforce and strengthen our shared ethical frameworks and practices	14, 15	14. Common policies that deliver a stronger ethical framework for the CGIAR System are adopted based on broad support by the governing entities of the System 15. Common CGIAR safeguarding policies, guidelines, and tools are adopted System-wide	<b>Review.</b> These actions should be reviewed in the context of the broader transition to One CGIAR policies and services once a One CGIAR Common Board, an empowered, initial Executive Management Team, and TAG4 are in place.
6.3	Establish new Multilateral Development Bank cooperation platforms	20	Creation of new multilateral development bank (MDB) cooperation platform(s)	<b>Review.</b> This action should be reviewed in light of the upcoming resource mobilization, communications, and advocacy strategy for One CGIAR, currently under preparation guided by TAG7.
10.1	Develop a 2030 Plan	28, 29, 30	28. CGIAR's Partnership Forum contributes meaningful input into the delivery of an agreed '2030 Plan' 29. Development and approval of 2030 Plan focused on programming, funding, and impact 30. Facilitate the development of a new portfolio as a contribution to the 2030 plan	<b>Update.</b> 2030 Plan unpacked into five interconnected SRG recommendations, which include a 2030 Research Strategy and various other products. The associated One CGIAR implementation has introduced new demands on the office, which are not reflected in the 2019—21 Work Plan.

# The approach to Topic Area 3

## A. Report from the ARC Chair

- Ensuring an effective Internal Audit Function is in place (EQA)
- Strengthening System Organization risk management
- System Organization 2019 Audited Financial Statements (for approval under the consent agenda)
- Planned joint workshop with System Council’s Assurance Oversight Committee on risk management roles and assurance mapping
- ARC membership

### The ask:

For information on key oversight/assurance areas

### Background materials:

Presentation by the ARC Chair

(noting that two related items for approval are put forward under the consent agenda)

## B. Report from the ISDC Chair

- Report and discussion on outcomes of the ISDC’s Virtual Meeting (20-23 April 2020)

### The ask:

For information on key outcomes

### Background materials (in Diligent):

- ISDC Foresight Recommendation Memorandum
- ISDC Virtual Meeting Agenda
- CAS Secretariat Fact Sheet
- ISDC Fact Sheet



# Advance Read - 3A: Report from the ARC Chair



## Report from the ARC Chair

The ask:

For information on key oversight/assurance areas

(noting that two related items for approval are put forward under the consent agenda)

### Key focus areas (set out on following slides)

1. Risk Management, notably:
  - Covid-19
  - One CGIAR
2. Internal Audit
3. Financial performance
4. ARC effectiveness

### ARC interactions in 2020

- In-person – 13 January
- Virtual – 6 April

### Membership

Clarissa van Heerden, Chair  
Nancy Andrews  
Bob Semple  
Hilary Wild  
HK Yong

### A note on membership

The terms of two members conclude on 30 April 2020: Bob Semple (who is not eligible for re-appointment) and HK Yong (who is eligible for re-appointment)

The **consent agenda** sets out a proposed decision to re-appoint HK Yong until the end of the year, pending recommendations on future direction of assurance provision in context of One CGIAR



# Advance Read - 3A: Report from the ARC Chair



## ARC focus area 1 – Risk Management

### ARC Role

*Recommend for approval by the Board, a process by which the Board may continually obtain reasonable assurance from the management of Centers and the System Organization that all known and emerging risks have been identified and mitigated or managed (ARC ToR – Article 7j)*

*Provide advice to the Board on [...] escalation procedures for recommendation to, and approval by, the System Council (ARC ToR – Article 7i)*

*System organization risk-related matters (ARC ToR – Article 8j-k)*

### Activities and reflections

- Active engagement with System Organization management, Senior Adviser Risk Management and Center Audit Committee Chairs on Covid-19 risks, with focus on mitigation activities for highest priority risks as the situation evolves, namely: (a) safety and security of staff and related issues; (b) financial stability/modelling; and (c) funders.
- Involvement of members in One CGIAR deliberations, including via TAGs: Clarissa van Heerden = TAG-1; Nancy Andrews = TAG-1, TAG-6 (Convener); Hilary Wild = TAG-1, TAG-3 (Convener)
- Discussion on draft CGIAR System Risk Notification and Reporting Guidelines
- Input on CGIAR independent dispute resolution mechanisms, consideration of Chief Ethics Officer function and importance of ethics and safeguarding training for all roles in the System, including members of all boards.

### Key messages from that work

- ARC recommended more frequent reporting and management of risk mitigation activities, including through embedding that approach by ensuring that all materials considered by the SMB, Transition Consultation Forum, and Transition Advisory Groups include a section on risks and opportunities in the cover note
- Audit Committee Chairs were supportive of the proposed adjustments to the Risk Notification and Reporting Guidelines and a revised draft will come to the SMB shortly for approval.

# Advance Read - 3A: Report from the ARC Chair



## ARC focus area 2 – internal audit

### ARC Role

*Provide recommendations to the Board on the completeness and effectiveness of arrangements for the CGIAR Internal Audit Function taking into account the audit arrangements of the Centers and the risk management framework of the CGIAR System (ARC ToR – Article 7a)*

### Activities and reflections

- ARC review of System and System Organization internal audit plans and activities, together with related Covid-19 driven revisions to approach
- In October 2019, ARC approved the selection of PwC Switzerland to validate the self-assessment against the Standards of the International Professional Practice Framework of the Institute of Internal Auditors covering the CGIAR System Internal Audit Function and CGIAR System Organization internal audit activities. The PwC team carried out the external quality assessment (EQA) at end-January 2020.
- At its 6 April 2020 meeting, the ARC reviewed the report and discussed the proposed recommendations with PwC Switzerland and the Head, CGIAR System Internal Audit Function.

### Key messages from that work

- EQA indicated overall conformance to Institute of Internal Auditors' standards, while recognizing potential for further strengthening of alignment, notably through addressing current governance structure gaps in assurance levels, through greater access to/information sharing with Centers

# Advance Read - 3A: Report from the ARC Chair



## ARC focus area 3 – Financial performance

### ARC Role

*System Organization Audit and Assurance matters and financial matters (ARC ToR – Article 8c; 8e; 8n)*

### Activities and reflections

- Review of the CGIAR System Organization 2019 Annual Financial Statements including discussion with the audit partner in an in-camera session.
- Consideration of the impact of the Covid-19 pandemic on the 2019 annual financial statements, specifically ensuring that the System Organization will be in a position to meet its liabilities as they fall due over 2020. A revised declaration in the notes to the Financial Statements was prepared, validated by the audit partner and shared with the ARC for review.

### Key messages from that work

- The ARC recommends the CGIAR System Organization 2019 Annual Financial Statements for SMB approval (as part of the consent agenda)

# Advance Read - 3A: Report from the ARC Chair

## ARC focus area 4 – ARC effectiveness

### ARC Role

*Establish and maintain an effective consultation model with [...] the AOC to facilitate delivery on the respective mandates of the two Committees (ARC ToR – Article 7t)*

*The ARC will review its own performance on an annual basis having regard to the principles and the purpose of these Terms of Reference and report the outcome of such reviews to the Board. (ARC ToR – Article 31)*

*The ARC will review [its] Terms of Reference from time to time and recommend any proposed changes to the Board (ARC ToR – Article 32)*

### Activities and reflections

- Planning for a joint workshop with the System Council’s Assurance Oversight Committee (‘AOC’) – the primary goal will be to identify potential gaps and also duplication in the assurance activities over governance, internal controls, risk management between the ARC and AOC but also other governance bodies.
- Recognizing the need to review its own performance against mandate, the ARC undertook a self-assessment earlier this year and reflected during its 6 April meeting on the results – some recommendations can be taken forward promptly, including through the proposed joint workshop with the AOC, and some should be fed into relevant discussions in TAGs, as One CGIAR is implemented

### Key messages from that work

- Need for greater clarity on respective roles and responsibilities of - and interactions between - the ARC and, respectively, the SMB and AOC:
  - TAG-3 review of ARC mandate, membership and terms of reference
  - Proposed workshop with ARC/AOC members (15 May 2020) to identify gaps in the ARC and AOC committees’ ability to provide assurance and/or oversight, as the basis for focus on respective ARC/AOC focus areas consideration of the effectiveness and efficiency of the governance framework
- Benefits of consolidated reporting/consistency of reporting across Centers: for consideration by TAG-6
- Potential for ‘quick wins’, in terms of improving ARC procedural efficiencies

# Advance Read – 3B: Report from the ISDC Chair



Report and discussion on outcomes of the ISDC's Virtual Meeting (20-23 April 2020)

**The ask:**  
For information on key outcomes

**Background materials (in Diligent Boards):**

- ISDC Foresight Recommendation Memorandum
- ISDC Virtual Meeting Agenda
- CAS Secretariat Fact Sheet
- ISDC Fact Sheet

Report from  
the ISDC  
Chair



## SMB17 Meeting May 2020

ISDC Update on Foresight and Trade-offs

# Current Work: Foresight & Trade-offs

## Tasks of 2020 Workplan: January through June

- Commissioned two foresight reviews covering the five impact areas of One CGIAR
  - Climate Change & Environment (Monika Zurek et al.)
  - Gender, Poverty & Nutrition (Erin Lentz)
- Additional input from CGIAR Foresight CoP (Keith Wiebe & Steven Prager)
- A Trade-off report based on the findings from these Foresight reviews is under development (John Antle & Robert Valdivia)



Credit: 2016CIAT/Neil Palmer

# Current Work: Foresight & Trade-offs

## Tasks of 2020 Workplan: January through June

- The ISDC semi-annual meeting was held the week of 20<sup>th</sup> April virtually
- ISDC built a consensus of five draft recommendations delivered to TAG 2 using the Foresight findings and meeting discussions
- A factsheet & preliminary recommendations are available for use by TAG 2



Credit: H. Meinke

# Foresight Review

## Preliminary and Incomplete Findings

- Literature largely ignores nutrition & food security; poverty reduction, livelihoods, & jobs; and, gender dimensions, youth, & social inclusion.
- Current studies exhibited naivety around global governance modifying policies and institutional arrangements to resolve barriers to the adoption and equitable distribution. This is likely to impede the adoption of innovations and practice changes that are a major performance indicator for One CGIAR.
- Trends in population growth, urbanization, migration, climate change, & natural resource depletion will have adverse consequences for gender equality, poverty reduction, & nutrition.



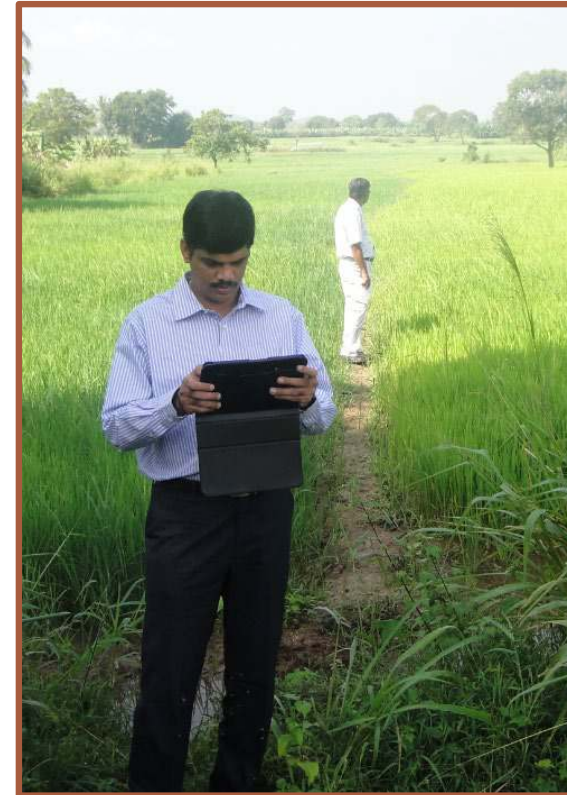
Credit: P. Casier/CGIAR



# Foresight Review

## Preliminary and Incomplete Findings

- Twin challenges arising from climate change & greenhouse gas reduction are building capacity and implementing adaptation & mitigation actions simultaneously within AFS.
- Pressures of agricultural land management & expansion will increase in the future, although scenarios showed varying degrees of expansion & impacts on biodiversity, nutrient cycling, & water resources.
- Technology & innovation play significant roles in future scenarios across all impact areas.



Credit: H. Meinke

# ISDC Draft Recommendations

1. Development of a continuous decision support mechanism wherein foresight, trade-offs analyses, & the QoR4D Framework are used in strategy formulation, investment decisions, and monitoring and evaluation in a closely coupled feedback system.
2. Ongoing foresight & trade-offs analyses must prioritize attention to key barriers (e.g., access, affordability, prevailing inequities, policy and contextual suitability) to adoption, adaptation, and diffusion of innovations.



Credit: N. Palmer (CIAT-CCAFS)

# ISDC Draft Recommendations

3. A comparative advantage of CGIAR is its credibility as a convenor & coordinator of dialogues across AFS research and policy organizations
4. Impact areas call for expanded attention and investment in activities for pulses & legumes and fruits and vegetables, either in-house or through partners
5. Maintain a shared general understanding of broader AFS that encompasses the entire value & supply chains through which farm products are transformed and reach consumers.



Credit: ICARDA

# Advisory Services Update

- Quality of Research for Development in the CGIAR Context published: [Technical Note](#) & [Brief](#)
- New fact sheets: ISDC & CAS Secretariat
- SC approved ISDC member recruitment for two members to begin
- New SPIA members:
  - Kyle Emerick & extension of J. V. Meenakshi
  - Special Initiative Members: Kelsey Jack, Rachid Laajaj & Travis Lybbert
- Evaluation Function: independent program reviews are underway (LDC, WHEAT & A4NH). Each review takes 10-11 weeks, looking at Quality of Science and Effectiveness criteria in 2017-2019. Twelve lean reviews will occur in 2020. The primary purpose is accountability to System Council. Yet, cross-programmatic & system-wide learning will also be gleaned, & fed into the transition process by the CAS Secretariat, which is commissioning/managing the reviews.



Credit: C. de Bode CGIAR

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Questions  
&  
Discussion

# Topic area 2B: Delivering Unified Governance

## Session approach

- I. Agreeing a way forward on Executive Management Team appointment
- II. Shared clarity around the timing of additional required changes to the Charter and Framework

## The ask:

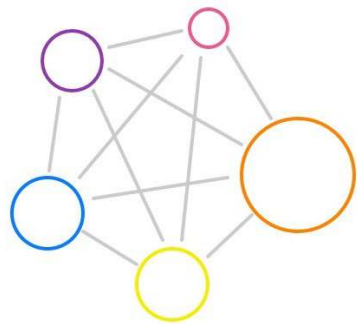
**Endorse EMT Terms of Reference; Chair of EMT Search Committee; and next steps**

### Background materials:

- [Summary findings of the legal opinion on delivering unified governance under one CGIAR](#)



A One CGIAR empowered Executive Management Team (EMT)



As a re-cap from the TCF 17 April TAG-3 call, everything for delivering One CGIAR is important and interconnected.....

And yet from the SMB endorsed [Initial Steps and Transition Support to One CGIAR, v3](#) document:

- A **critical early role** of an empowered EMT (with its 3 Managing Directors, ‘MDs’) is to **drive the change to implement One CGIAR** from Q2-2020
- EMT to be **supported by** the SMB until establishment of the **One CGIAR Common Board** from 1 October 2020

## In TAG-3's

### **30 April 2020 call**

Data points from TCF 17 April call + other key concepts were discussed.

Now bringing materials to SMB

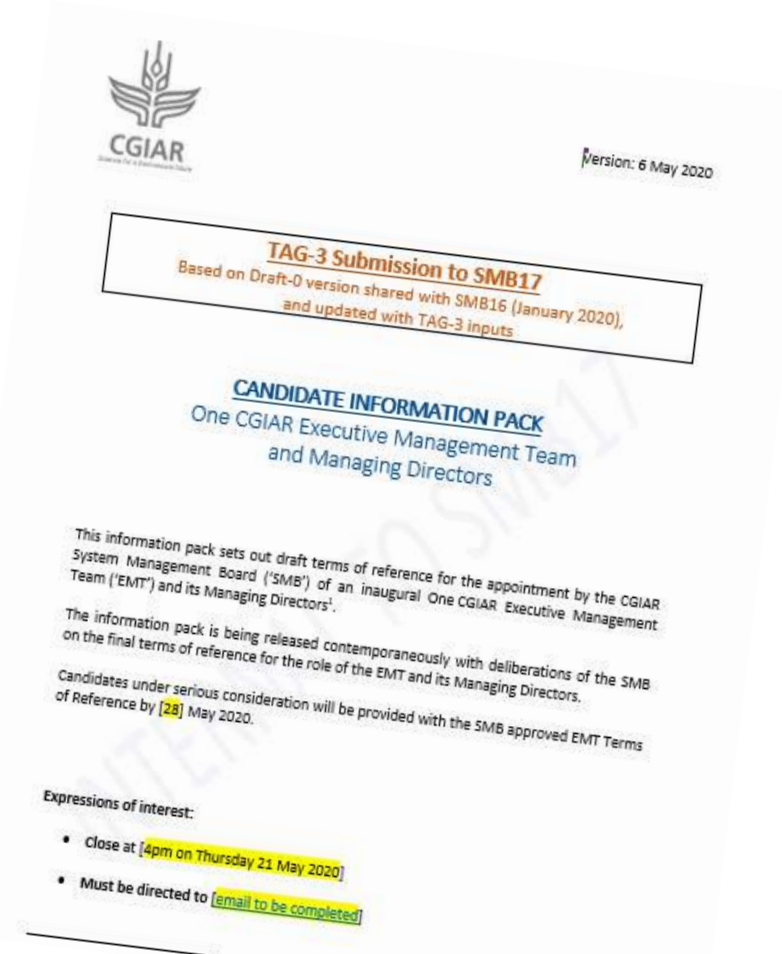
## 2B: Delivering Unified Governance: EMT Candidate Information Pack (NEW)



Introducing document now loaded onto Diligent Boards SMB17

### Key points:

1. Incorporates a ToR that **affords flexibility to the SMB** on what the **specific mandate of each MD is**. (*i.e. the specific 'job description' of each MD is determined after the three identities are known to best leverage their collective and specific skills*)
2. **Appointment Criteria that prioritize demonstrable passion and experience** in managing an international organization through a phase of significant change (*to be fully coherent with SC and SMB endorsed positions on EMT role as substantially and materially managing the Directors General when the One CGIAR Common Board is in place*)
3. **Recognizes not everything can or should be done by the inaugural EMT from 'Day 1'**. Role description seeks to find balance between knowing enough about the EMT role to make it interesting for talent, but also leaving enough open to be able to be flexible and adjust as there is more clarity – *permitting time to get the delegations of authority for One CGIAR Common Board/EMT/DGs and Center/Alliance Boards done*



## 2B: Delivering Unified Governance: EMT appointment next steps

In line with TAG-3 mandate, now handing this material over to the SMB

Note: please see the Chair's Summary for the approved decision on this item

SMB Chair's proposed approach to SMB17 discussion – in two parts:



ToR within Candidate Information Pack

1. Take any strategic observations that our DG members of the SMB wish to share
2. Thereafter  
Invite the non-DG voting members of the SMB to consider if ready to approve the ToR
  - If yes – move forward today
  - or if prefer a little more time to reflect on the material – propose that feedback be provided by end of day on Friday 8 May 2020, and agree today that SMB Chair has delegated authority to finalize based on inputs and start the process



Inclusive Search Committee to recommend EMT to SMB

Request the Board to approve the appointment of a 7-person Search Committee today as follows:

- **Chaired by SMB member, Namanga Ngongi**
- 6 other members **identified between the SMB Chair + Search Committee Chair** as follows:
  - i. One additional SMB voting member (non-DG)
  - ii. Two voting members of the System Council (including TCF co-chair)
  - iii. Three broader voices, from amongst CGIAR, with possibility of former personnel
- Responsible to appoint an Executive Appointment Firm to bring specialist candidate review skills (from among pre-qualified System Organization list)



## 2B: Delivering Unified Governance: Route for SMB to move forward EMT appointment decision

### Current Legal framework

- SMB requires no additional authority to **launch the EMT search process** (full support from One CGIAR TCF process)
- However, nature of SMB powers in *Charter of the CGIAR System Organization\** is specific rather than general
- SMB does therefore require **formal authority to appoint EMT**

### Route to formal authority by 1 July 2020

- **Recommended route:** Appointment decision acting under the provisions of Article 8.2 of the Charter \*
- Requires **General Assembly decision** confirming the SMB's authority to make the EMT appointment and initial delegations of authority to it
- **Further delegations of authority** to the EMT and Charter changes can take place as required going forward after authorities, accountabilities and responsibilities are determined via phased approach to rolling out One CGIAR Unified Governance



### Benefits

- Approach that is **transparent** and ensures **active engagement of the General Assembly** in relation to a critical step in the process of transition to One CGIAR, while at the same time offering the advantages of **flexibility, simplicity and speed**
- Draft wording of a General Assembly decision to this end can be presented to TAG-3 for consideration at its next meeting on **14 May 2020** and issued to General Assembly shortly thereafter
- The General Assembly decision-making process could be concluded within approximately two weeks – i.e. **by the end of May** - and **run concurrently with the EMT search process**

\* **Art 8.2 of the Charter:** *'The System Management Board shall exercise such other functions as decided by the General Assembly of the Centers to the extent that these are not conflicting with the foregoing.'*

## 2B: Delivering Unified Governance: Next steps after SMB17

### Amending CGIAR's governing instruments (including for Centers)

As a **re-cap from SMB16** (January 2020), at that time, the SMB considered that it may be prudent to take a staged-approach to amending CGIAR's governing instruments (including Center document). Refer: [Step-wise approach to Common Board](#)

### 4 key steps: Changes to instruments to enable:

- ✓
- Step 1:** Reconstitution of the System Management Board and establishment of One CGIAR Common Board
  - Step 2:** Role and responsibilities of the Executive Management Team, as they relate to the System Organization
  - Step 3: Center legal instruments (as required)
  - Step 4: Any outstanding issues for System-level governing instruments

Upcoming TAG-3 discussions

- All changes require approval of the SMB, System Council and General Assembly
- Optimally - coordinate requests for approval, rather than submit repeated requests

### Key TAG-3 next steps

- 1. Concurrent with the Search Committee formation** (under the SMB Chair) **during the 14 May 2020 TAG-3 call** review drafting of a General Assembly decision authorizing the SMB to appoint and make initial delegation of authority to the inaugural EMT
- 2. Across May and into June**, continue to take inputs on the intended future roles and responsibilities and accountabilities across the System (including audit committees, Center Boards etc.,) to assist with obtaining clarity
- 3. When the inaugural EMT is in place**, they help take forward further work to ensure by 1 October 2020 the relevant delegations of authority can be in place between the Center Boards/EMT/DG

# The approach to Topic Area 5

## Other Business

- Consent agenda items
  - i. 2019 System Organization Annual Financial Statements
  - ii. Response Plan to Pilot Assessment of Performance Management Standards
  - iii. Membership of the SMB's Audit & Risk Committee
- Any other business
- Recap of decision taken/actions agreed

### The ask:

**Consent agenda items for approval as a package without discussion**

Other business – as required

### Background materials:

- Consent agenda items provided separately in Diligent Boards

### **Special notice on 'Consent Agenda' items**

Materials under this item are presented to the SMB according to Article 7.1 of the SMB Rules of Procedure, permitting a 'consent agenda' of multiple items being presented for approval via a single vote of the SMB (not item by item).

As a consequence of the SMB's agreement to adjusted delivery times of 1 week prior to the meeting, **should a SMB member wish to remove an individual item from the Consent Agenda, that request should be communicated to the Secretary of the SMB by close of business Paris time on Thursday 30 April 2020.**



Consent Agenda  
/ Other business



Session timing –  
Day 3

## Advance Read - Topic area 5

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i. 2019 System Organization Annual Financial Statements

**The ask:**  
**For approval as part of the Consent  
Agenda without discussion**

*Material set out in document SMB17-05A*



# Advance Read – 5: Response Plan to Pilot Assessment of Performance Management Standards



## The ask:

**For approval as part of the Consent Agenda without discussion**

Consent  
Agenda

## Request of the SMB

- Consent to go ahead with the Response Plan (as set out in document SMB17-05B).

## Background to request

- The Pilot Assessment of CGIAR's Program Performance Management Standards was completed by CAS in November 2019. The results demonstrate strong fundamentals with some areas for improvement. The Lessons Learnt and Recommendations report from the Pilot Assessment is attached for background.
- SIMEC recommended not to move into a subsequent official assessment of Program Performance Management Standards, originally planned for Q3/4 2020, and thus CGIAR Advisory Services Shared Secretariat 2020 workplan does not include it (SC/M9/EDP6).
- SIMEC (January 2020) and SC (March 2020) noted initial framing of System 'Response Plan' requested by SMB14.
- The Response Plan (as set out in document SMB17-05B) will:
  - a. Optimize delivery against existing Performance Management Standards within the current Business Cycle
    - Building on Pilot Assessment results, optimization focus will be on Performance Standards 1 (Adding/Withdrawing projects), 4 (Prioritization of pooled funding) and 6 (Availability of Program/Project information)
  - b. Define the process to agree new Performance Management measures applicable to the period 2022-2024
  - c. 'Bake' the new Performance Management measures into One CGIAR's new research modality by end 2021

# Advance Read – 5: Membership of the SMB’s Audit & Risk Committee

## ARC membership appointment: Background



Consent  
Agenda

### The ask:

**For approval as part of the Consent Agenda without discussion**

- The current terms of two System Management Board Audit and Risk Committee (ARC) members - Bob Semple (former Chair, CIMMYT Audit Committee) and Hee Kong Yong (Chair, World Fish Audit Committee) - come to an end on 30 April 2020.
- This will bring down to three the number of members of the ARC. In accordance with article 9 of its terms of reference, the ARC must have not less than four and not more than five members, of which at least one must be an external independent, at least one a member of the SMB and at least two members of Center Audit Committees.
- As a current member of a Center Audit Committee, Hee Kong Yong is eligible for re-appointment. Having stepped down from the CIMMYT Audit Committee in 2019, Bob Semple is not.
- TAG-3’s workplan includes consideration of how to structure risk and assurance oversight activities in the One CGIAR context, including consideration of ARC terms of reference and membership.
- While new appointments to the ARC might therefore be deferred, pending outcome of TAG-3’s deliberations and related recommendations, the number of ARC members needs to be maintained at a minimum of four.

# Advance Read – 5: Membership of the SMB’s Audit & Risk Committee

## ARC membership as of May 2020



**The ask:**  
**For approval as part of the Consent Agenda without discussion**

### Proposed decision point

The System Management Board:

1. Expresses its appreciation to Bob Semple for his service on the System Management Board’s Audit and Risk Committee since July 2016.
2. Appoints Hee Kong Yong, Center Audit Committee member, to continue serving as a member of the System Management Board’s Audit and Risk Committee until 31 December 2020, or until such time as his successor is appointed.

### Proposed membership

#	Name	Member type (ARC ToR requirements)	SMB role / Audit arrangement	Term
1	Clarissa van Heerden (Chair)	✓ (9c - Independent)	N/A - Independent	Until 31 August 2021
2	Nancy Andrews	✓ (9b – 1st Center AC Member)	Trans Regional Audit Group	Until 30 April 2021
3	Hilary Wild	✓ (9a – SMB Member; also Center AC Member)	SMB Member Trans Regional Audit Group	Until 31 August 2021 <i>(concurrent to SMB term)</i>
4	Hee Kong Yong	✓ (9b – 2nd Center AC Member)	Audit Asia	Until 31 December 2020