Independent Science and Partnership Council

CGIAR

SMB1-06A
Agenda Item 3
For discussion

7 July 2016

ISPC Portfolio-level Commentary on CRP-II Full Proposals 2017-2022

The Full Proposals are due to be resubmitted on 31 July. The ISPC would like to ask the SMB to include the following in the resubmissions, to facilitate the ISPC recommendations to the donors and avoid the confusion over budgets which followed the 31 March submissions:

i) **A portfolio commentary which includes a financial summary identifying requested budgets for W1 and 2 separately from W3 and bilateral (identified as already secured vs targets for fund raising). A description of what is included in the management budget for each CRP.**

ii) **At CRP level, agreement across all CRPs as to what is included in the management budgets.**

iii) **At Flagship level, in a summary section, details of the funding as specified above, supplemented by any further requests from the SC to be agreed on 12 July.**

Background

The process of commissioning a portfolio of the 2nd Phase of CGIAR Research Programs (CRPs) was 'launched' with the endorsement of the CGIAR Strategy and Results Framework 2016-2030 and the issue of the Guidance for the 2nd Call for CRPs in June/July 2015. The Call laid out a 2-stage process, involving submission of pre-proposals in mid-August 2015 and full proposals on 31 March 2016. This was a targeted Call for '*A coherent set of interconnected 2017-2022 pre-proposals to address the selected global challenges identified in CGIAR's 2016 – 2030 SRF*'. The Call initially asked for single bids for eight agri-food system programs and five integrating global programs and competitive Expressions of Interest (EoIs) were invited for four Co-ordinating Platforms.

The ISPC reviewed the proposals for each of the thirteen programs and the nine EoIs for the platforms in August and September 2015. An unsolicited proposal for a Genetic Gains platform was not assessed by the ISPC since it was not aligned with the Call. Eight pre-proposals received overall ratings of "Satisfactory with adjustments needed" (B), four were considered to have "Major concerns" (C) and one was considered not to have met the basic criteria for a CRP and therefore did not receive a rating. It was recommended that this proposal (Genebanks) be submitted at the second stage as a proposal for a Platform.

The Call for full proposals was issued in December 2015 asking for the original eight agri-food system programs and four integrating programs, together with calls for three co-ordinating platforms (Genebanks, Genetic Gains and Big Data). The proposals were submitted via an on-line tool by 31 March 2016 and reviewed by the ISPC and ~50 external reviewers commissioned by the ISPC. Commentaries on the individual CRP and Platform submissions are being shared with all parts of the System on 16 June 2016, with responses due to be submitted by 31 July 2016.

This commentary starts by providing an overview of the portfolio as a whole, with respect to the aim of achieving a '*coherent set of interconnected 2017-2022 proposals to address the selected global challenges identified in CGIAR's 2016 – 2030 SRF*'. This is structured around the main criteria used by the ISPC to review the CRPs and Platforms, which are included as Annexes A&B. After the overview, the commentary presents a high-level analysis of the budgets to help donors understand how W1 and 2 budgets have been distributed across CRPs and FPs. Some of these budgets have been corrected since the 16 June version of this portfolio, following input by the CRP Directors

Overview of progress

In a little under a year, a group of 15 CRPs have made significant progress in showing how they plan to work collectively to deliver the kind of integrated research outputs which are essential for making progress towards providing the evidence required for delivery of all three System Level Outcomes (SLOs) in the Strategy and Results Framework (SRF). The ISPC would like to congratulate all those involved in the preparation of the full proposals on the progress made in such a short time. We recognize the huge effort involved. Without integration there is a serious risk that progress towards one SLO could have unintended negative consequences on progress towards another SLO, which might not be detected. This principle underpins the SRF. Of course the CGIAR on its own cannot deliver the desired outcomes but recent moves towards more collective interaction with partners involved in delivery also increases the probability that more sustainable production of nutritious and healthy food can be achieved in the target countries, while also reducing poverty and protecting the environment.

A key aspect of this progress is the concept of eight Agri-food system (AFS) CRPs working collaboratively with four Integrating (i-) CRPs, supported by three Platforms. All of these proposals

taken together are described as a portfolio, but expectations of the portfolio (by both donors and Centers) need to be clearly defined. The ISPC offers the following:

- **Even if fully funded, the research described in the proposals will not provide all the research required to generate the evidence required for delivery of the SLOs.**
- **Targets are specified based on methodologies with varying degrees of robustness and not all are realistic**;
- **The portfolio as presented is not a single 'take it or leave it' option – choices can (and should) be made within the portfolio and given that funding is likely to be less than requested, decisions can also be made around the level of funding for individual Flagships and Modules**;
- **In making choices, however, care needs to be taken since unintended consequences are likely to result if the interconnections between Flagships across the portfolio are ignored**.

Aims of the meeting held on 16 June in Montpellier

The primary aim of the meeting was for the ISPC Chair to provide face to face feedback to the proponents of the proposals on the findings at the portfolio level. Useful discussion took place and some financial numbers have subsequently been corrected. All CRP Directors were invited to write to the ISPC if they identified factual errors in the commentaries or wanted to seek further clarification. Four CRPs took up that opportunity and two commentaries have been reissued as a result.

The secondary aim was to try to reach a better understanding across all three communities represented (Implementers, Funders and Advisers) of how funding should be prioritized to maximize progress towards the SLOs. CRPs have been designed to provide integrated evidence in support of effective decision-making that can help the CGIAR contribute to solving the grand societal challenges articulated in the SRF and hence the Sustainable Development Goals. CRPs are therefore, by their nature, complex vehicles which should facilitate integration across disciplines and accelerate the flow of knowledge between institutions along the continuum from research to development. The research outputs will be essential for the effective delivery of complex development outcomes by development organizations, but success will only be achieved if the interface between research and development is perceived as operating for mutual benefit. The complexity of the CRP and Platform mechanisms which is necessary to foster integration makes it difficult for those not directly involved in managing CRPs to understand how funding should be prioritized.

PART I Overview of CRP and Platform proposals

The review of the fifteen submissions (twelve CRPs and three Platforms) were undertaken by the ISPC and external reviewers commissioned by the ISPC. Some of the reviewers were asked to focus on individual CRPs or Platforms and some were asked to focus on specific criteria (e.g. ToCs or Partnerships) across all CRPs. The ISPC also held four days of discussions in closed session in Lima to moderate the reviews and agree on the main points for the commentaries. After review, ISPC agreed that CRPs fell into three categories:

- four (A4NH, CCAFS, Rice and RTB) were considered to be at an advanced stage, and had strong proposals across all criteria;
- seven require attention (to differing degrees) in at least one criteria and two of these CRPs have been asked to provide further evidence in support of their very high target outcomes, or to reconsider them;

- one (DCL) was not recommended to start rewriting in its current form and was asked to develop a strategy for how to address a set of concerns with the System Council.

DCL has (7 July) submitted that Strategy and is requesting agreement to resubmit by 31 July. The ISPC will advise the System Council verbally on whether to acceded to this at SC1 on 12 July.

At this point in the process CRPs were not ranked within the first or second categories, nor were Flagships rated since these are still proposals in development and there was no clear feedback from the last FC meeting as to exactly what donors were looking for. Strengths and weaknesses of individual Flagships (against a range of criteria including science quality and comparative advantage) are, however, described within the commentaries.

Given the amount of time and effort invested in the writing and reviewing of the proposals to date, the ISPC wanted to minimize the amount of time spent on rewriting and re-reviewing, taking into account the short timescales. The ISPC therefore suggested, and the meeting agreed, that as far as possible, the responses to the commentaries should be in the form of addenda, but where text was rewritten the relevant pages would be identified, for the benefit of the ISPC.

With respect to the platform proposals all three were considered to be of high quality, although all were asked to make some revisions. The ISPC considers, however, that the Big Data Platform could make a big difference to the delivery of outcomes, if sufficient funding was made available sooner rather than waiting for an uplift scenario. The commentary therefore asks the proponents to prepare a revised proposal with two budget scenarios.

ISPC portfolio overview comments against agreed criteria (ISPC assessment framework in Annex A)

The ISPC has a wealth of analysis from its many reviewers and additional information provided by the Consortium Office. It has not been possible to do it all justice within 15 commentaries and one short portfolio overview. Once this intense period of review is over, the ISPC will take stock to decide on what further analysis to undertake and how to pass on helpful messages to the proponents.

Overall analysis at CRP level including: inter-CRP synergies, whether the whole is greater than the sum of the parts and site integration

Inter-CRP synergies: on a peripheral analysis, there appears to have been considerable progress in developing collaborations between CRPs. The CO has, however, done an in-depth analysis to cross-check interactions between CRPs. They found that in some cases, when CRPs identified an interaction with another CRP, reference to that interaction was not reciprocated by the second CRP. This analysis could be useful to the System Management Board. The ISPC recognize how much has been expected of CRPs over the last 12 months and consider that CRPs need to prioritize progress in this respect moving forwards.

In its analysis of the preproposal portfolio, the ISPC acknowledged that the “integration concept” will take time to be developed and it emphasised that it is unrealistic in the short-term for the ‘new’ integrating programs to link with all eight AFS CRPs from the start. It was also noted that a balance needs to be struck between integration and transaction costs. It suggested that in the full proposals the CRPs might wish to elaborate a phased process for integration with the AFS CRPs. However it seems that in their desire to embrace the “integration concept” none of the CRPs have attempted to prioritize the planned collaborations or elaborate a phased process. The potential transaction costs encompassed in the full portfolio integration plans can be huge. They may also reduce the convincing

arguments for what is planned. In addition, most CRPs do not distinguish on-going from new collaborative activities, which reduces the ability to gauge progress from Phase I and hence to assess the potential for achievement of the planned integration. A more convincing case could be made through prioritization and clear distinction of what is being enhanced from Phase I to demonstrate that progress has been made.

Whether the whole is greater than the sum of the parts: There has certainly been progress with respect to cohesion within CRPs, although the lack of explicit reference to one FP learning from another is disappointing for some CRPs. This is particularly (but not only) the case where prioritization of traits is considered in one FP and breeding in another, for example, and there is insufficient evidence that the prioritization is informing the selection of traits. There are also excellent examples of the knowledge generated in one FP influencing the research agenda in another. Inter-dependence between FPs could lead to negative consequences if donors don't wish W1 and 2 funding to be used for specific FPs, so that needs further analysis before September.

Site integration: Presently 14 Site Integration plans, out of the 20 countries identified, can be found at the GCARD website: 5 from the 6 ++ countries and 9 of the 14 + countries. The available plans show that, thus far, for most countries, considerable effort has been deployed: steering committees have been established, and multi-stakeholders consultations and planning meetings have been held. SI plans are also often reflected in the CRPs, although with different emphasis. Most CRPs will work in 5-10 focus countries. Some CRPs in particular demonstrate serious commitment to SI, e.g. WHEAT, Rice, Livestock, Fish, FTA, A4NH and CCAFS. Governmental partners and national donor community have often expressed interest in participating in the process and, in some cases, are members of the Steering Committee. Overall, the review of the available information in plans and CRPs suggests that this process is still in an early phase. Some progress have been made although many challenges remain. Developing cross-CRP collaboration is integral to site integration.

Theory of Change and Impact Pathways including alignment with the SRF:

Both the ISPC and an external reviewer who reviewed the TOCs in 2012 and again at this full proposal stage, consider that the sophistication of the Theories of Change and Impact Pathways is improving across the portfolio, to quote from the reviewer:

"*In most cases the Theory of Change now includes some elements of complexity, acknowledges the role of stakeholders to the process and states many of the assumptions associated with the ToC. Having a ToC for the overall CRP and for each FP is a good step forward*"

Of course considerable variability between CRPs still remains and the ISPC has asked for further clarification on ToCs to be provided for a number of CRPs and comments have been made on all ToCs both at CRP and FP level.

As presented at the FC meeting in Rome, analysis (Fig. 1) shows that the portfolio is well aligned with the SRF with every sub-IDO in the SRF being addressed. There are large variations in the amounts requested for different sub-IDOs, which is to be expected. The highest requests are aligned with the 2 sub-IDOs which the donors marked as their highest priorities in the survey conducted by the ISPC last year (i.e. sub-IDO 4.2 "Closed yield gaps through improved agronomic and animal husbandry practice" and sub-IDO 4.3 "Enhanced genetic gain").

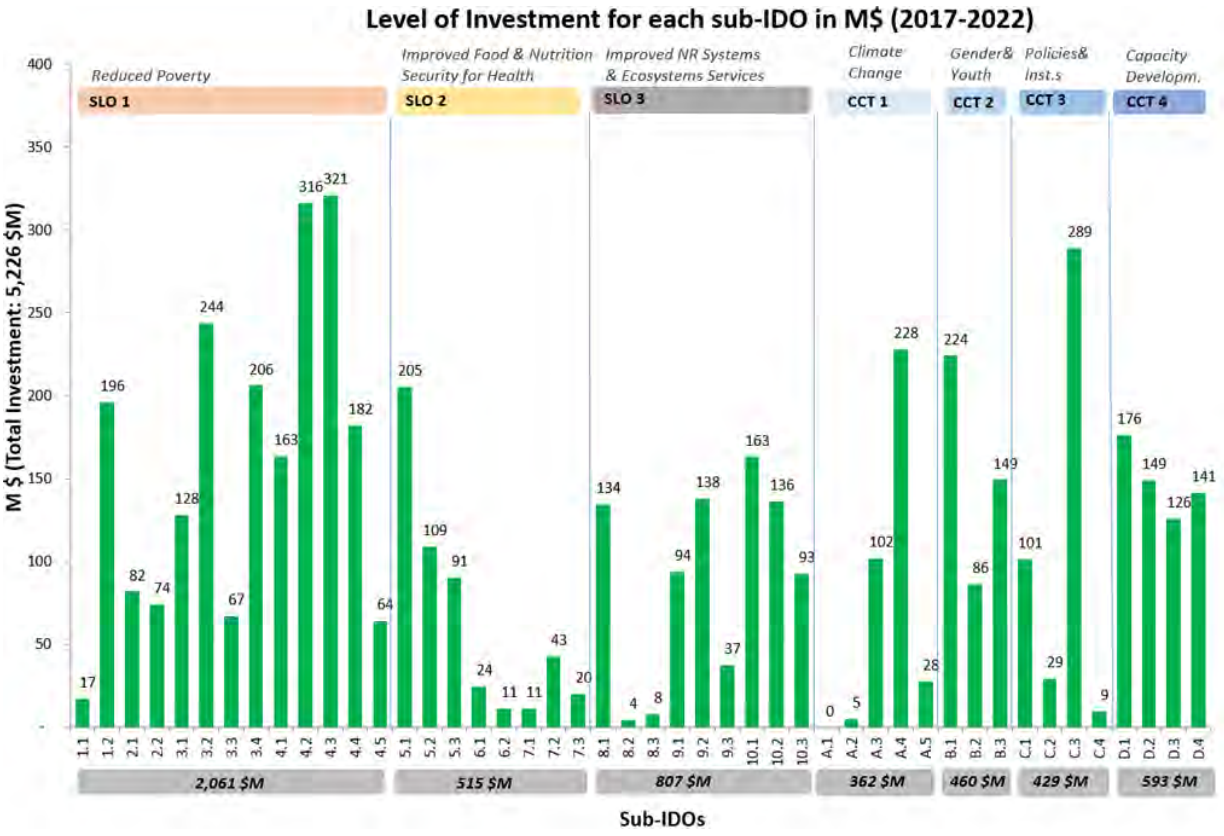

Figure 1. Level of investment in CRP budgets (2017-22) attributed to the sub-IDOs which they state they are addressing

The SRF also has quantified targets and the CO has done a detailed analysis of the contribution which each CRP claims it will provide to the targets in the SRF and have taken this as far as an investment plan. On the other hand, the ISPC was asked to consider the validity of the justification for these targets and commissioned external reviews of the performance indicator matrices and the methodologies used by the CRPs to develop them. These experts concluded that while this was an excellent initiative on the part of the Consortium, it had some way to go before the targets could be considered robust at a System-level. Two CRPs in particular (FTA and Livestock for their targets on the number of people likely to be lifted out of poverty and DCL and Livestock for the rate of yield increase). FTA and Livestock have been requested to reconsider the realism of these targets.

Cross-cutting themes including gender, youth, the enabling environment and capacity building:

On gender and youth strategies an external reviewer commented:

"*There is wide heterogeneity in the quality of research on gender being conducted across the portfolio of projects. It is apparent that despite the heterogeneity of quality, that each CRP that was reviewed has completed at least the minimum of considering gender and youth in their proposals*"

It is interesting to note that all gender teams or their representatives had participated in the GENNOVATE research, and that 'customary', 'traditional' or simply 'gender norms' are widely accepted.

Unsurprisingly, the strategies on gender are much better developed than those on youth, while there are some interesting thoughts emerging on youth. PIM has included the cross-CRP gender platform as

one of its FPs as suggested by the ISPC and it is hoped that this will contribute to bringing all CRPs up to a high standard in terms of gender strategies.

In terms of Capacity Development, the external reviewer also recognized the heterogeneity between CRPS and noted that :

"…*the different elements of capacity development are well integrated into most programmes and necessary to achieve programme objectives. It is less clear if sufficient human resources have been allocated to enable the CGIAR as a system to continue to develop and monitor capacity development approaches as a means to achieving the objectives of the programmes and portfolio generally, or to play a significant role in the broader agricultural research for development community*."

The budgets for Capacity Development ranged from US$ 3.0 million per year for FISH to US$ 17.8 million for PIM. RTB was next highest at US$ 13.2 million per year.

It could be argued that recognition of the importance of the enabling environment is perhaps even more heterogeneous between CRPs. Concerns that seed systems are not being well addressed have been made with respect to a number of CRPs, although there are also examples of strong linkages with the seed sector. In relation to policy, commentaries for both PIM and A4NH indicate that they have a key role to play in helping FPs in other CRPs understand the issues, but this depends on the opportunity to make connections with colleagues with relevant skills. It is recognized that there are areas of weakness in some disciplines across the System and this may be an issue which should be addressed as a priority once donor priorities for funding are clearer.

Leadership and partnership strategy:

The ISPC has commented before on the importance of strong and stable CRP leadership in the successful evolution of CRPs. The four CRPs in the 'advanced' category (A4NH, CCAFS, RICE and RTB) all have very strong leadership teams and have had the same CRP Director in charge since the start of Phase 1. Some CRPs still have no CRP Director appointed and this causes concern to the ISPC with respect to providing advice to the SC in September.

There are undoubtedly many successful partnerships at various levels throughout the CGIAR. What is still missing, however, is (according to the external reviewer and indeed the ISPC) a Strategic Partnership Framework for the CGIAR, although the five guiding principles in the SRF are welcomed. The ISPC has had a poorly defined role in relation to partnerships in its remit to date, but this may be strengthened under the new governance arrangements. Further development of thinking about partnerships at the System-level should therefore be viewed as a 'work in progress'.

***Flagship level*:**

The criteria at the Flagship level are similar to those at the CRP level to some extent, but focus more on science quality and comparative advantage. There are examples of excellent science quality in many FPs and the individual commentaries draw attention to examples of both good and bad quality of science at the Flagship level. External reviewers recognized the international standing of a number of Centers and CRPs in their reviews. The ISPC is tasked (as agreed during recent discussions on governance) with leading a cross-System initiative on defining science quality and this process will start on 17 June.

With respect to comparative advantage, the ISPC was disappointed in the lack of recognition more or less across the System on the need to be much clearer on how CGIAR comparative advantage is changing as the skills and focus of other organizations change. The System as a whole has a unique

position globally in terms of the opportunity to integrate across disciplines and the strengthen the R4D continuum both at national and global levels at a time when this is critical for delivery of the SDGs. Seizing this opportunity, however, starts at FP level with the teams recognizing where they can add most value and prioritizing the research questions they seek to address accordingly.

***Impact assessment**:*

The ISPC had not included a criterion on Impact Assessment in its list of criteria, but the majority of the proposals included a budget for Impact Assessment. There remain significant disparities across CRPs in both the level of effort and the clarity with which impact assessment is embraced, however. Some CRPs appear to be allocating as much as 6-7 percent of the total budget to IA (Maize and Wheat), while others are allocating far less (DCL, CCAFS and A4NH less than 1 percent). It is seldom clear, however, what is being included in IA budgets and for this reason CRPs have not been identified. For some CRPs, it appears that this is where the salary costs of social scientists have been allocated. In others, impact assessment will be linked to project budgets, and many donors do not fund IA separately. The ISPC notes that the new CGIAR portfolio will need to establish clear baselines in 2016-17 against which progress can be assessed over the subsequent six-year period. The current patchwork arrangement does not provide convincing evidence that the CGIAR is poised to carry out these baselines or to undertake systematic analysis of technology adoption, diffusion, and impact over the next six years. Donor feedback on whether (and if so to what extent) ex-post Impact Assessment is an appropriate use of W1 and 2 funding would be useful.

Platforms

The budgets for the Platforms are much lower than for the CRPs. Table 1 compares the funding requests for each Platform at the Platform and module level.

Table 1. Budgets proposed (million US$) for the three Platforms for 2017

Big Data	**Mgt&support**	**M1**	**M2**	**M3**			**TOTAL**
W1&2	0.3	4.5	1.3	0.6			6.7
W3&bilateral		0.4					0.4
TOTAL	0.3	4.9	1.3	0.6			**7.1**
Genebanks	**Mgt&support**	**M1**	**M2**	**M3**			
W1&2	0.7	22.1	1.3	0.8			24.9
W3&bilateral		6.8					6.8
TOTAL	0.7	28.9	1.3	0.8			**31.7**
Genetic Gains	**Mgt&support**	**M1**	**M2**	**M3**	**M4**	**M5**	
W1&2	1.0	0.2	0.3	0.2	0.4	0.8	2.9
W3&bilateral		0.6	1.2	0.6	1.6	3.2	7.2
TOTAL	1.0	0.8	1.5	0.8	2.0	4.0	**10.1**

Each Platform has a very different funding profile, with Genebanks assigned most W1 and 2 and Genetic Gains the least. The Genetic Gain Platform has a relatively high allocation to management. Against the criteria used to review the Platforms, all were considered to have high strategic relevance within the CGIAR having a recognized strong comparative advantage in Genebanks and a potentially strong comparative advantage in Big Data, which was considered to be currently underplayed. Each

had a strong leadership team and good partnerships. Some questions have been asked by the ISPC about governance and other aspects.

Part II Understanding the complexity of CRPs

During its review of the CRPs the ISPC had considerable difficulty in identifying which of multiple budget figures provided to us were the final ones. In the analysis below, the ISPC used the figures provided to the ISPC by the Consortium Office on 24 April 2016.

The nature of CRPs has changed during the first Phase, through to the current proposals for Phase II. All of the research now lies within Flagships, with only Management and Support budgets lying at the CRP level. Given restrictions on a number of W3 and bilateral funders, the majority of the 'management' costs have to be supported by W1 and 2 funds. The Consortium has provided clarity on what activities can be charged to a Management and Support budget and these are itemised in Annex C. Apart from administration costs, much of this funding is paying for the costs of the leadership and advisory team which facilitate integration both within the CRP (i.e. across Flagships) and between CRPs. Without these teams, the ability of the CGIAR to integrate at a System level (and thus contribute the integrated evidence which should be a strong part of its comparative advantage) would be much diminished. These costs are not particularly high.

Overall (over 6 years) Management & Support costs (M&S) account for around US $180 million of which $13 million is for the 3 Platforms. This is 3.1% of the total CRP and Platform portfolio proposed budget (Flagship + Modules + M&S + SCRG) of $5.817 billion over 6 years. This rate is at the lower end of 3-5% as that resulted from the pre-proposals.

Of the CRPs, Livestock shows the highest M&S rate of 5.5% on a proposed budget of US$ 43.5 million in 2017. The lowest is RTB with a rate of 1.8% on a budget of US$ 114.2 million in 2017 (Table 2).

Between CRP allocation of W1 and 2 funding

Percentages can be misleading, however, and to truly understand the heterogeneity of the CRPs it is necessary to consider the variations between W1&2 and W3&bilateral funding. The budgets for W1&2 were initially agreed at the meeting in Rome in November 2015 (although subsequently modified), based on history rather than strategic on prioritization. Thus DCL was allocated a relatively low W1&2 level of funding, relative to its success in attracting W3 and bilateral investment. This resulted from decisions taken in 2015 on how the W1 and 2 funding cuts should be distributed across the portfolio which hit the three precursor programs of DCL quite hard. As noted in the Commentary on DCL, this has restricted DCL in terms of its 'freedom' to develop a CRP based on demand-led prioritization. RTB, on the other hand, was allocated roughly twice the DCL W1&2 funding for a similar total budget. DCL illustrates how difficult it is to produce intellectually coherent research plans when 92%% of the budget is driven by W3 and bilateral project funding. Predictably, this leads to a critique of the CGIAR as lacking intellectual coherence. Such a critique further undermines confidence in the CGIAR. A clear implication is that the intellectual challenges facing the CGIAR must be addressed simultaneously with a conversation about funding mechanisms and how choices are made. In order to understand the consequences of moving donor funding between CRPs, the donors need to understand the funding context of individual CRPs. These are outlined for 2017 in Table 2.

Table 2. CRP base budget for 2017 (million US$)

CRP	2017 W1&2	2017 Management % of total budget all sources	2017 Annual W3&bilateral	Total
DCL	**11.5**	**2.0**[1] (1.9%)	**93.5**	**105.0**
Fish	**8.7**	**1.1** (4.2%)	**17.5**	**26.2**
FTA	**11.1**	**1.8** (2.5%)	**62.2**	**73.3**
Livestock	**20.2**	**2.4**[2] (5.5%)	**23.3**	**43.5**
Maize	**12.5**	**1.6** (2.4%)	**55.5**	**68.0**
Rice	**16.4**	**2.0** (2.5%)	**62.2**	**78.6**
RTB	**22.5**	**2.0** (1.8%)	**91.7**	**114.2**
Wheat	**15.0**	**1.9** (4.4%)	**28.0**	**42.9**
A4NH	**20.0**	**3.0** (3.3%)	**71.4**	**91.4**
CCAFS	**21.5**	**2.4** (4.2%)	**35.6**	**57.1**
PIM	**18.8**	**3.6** (3.9%)	**74.0**	**92.8**
WLE	**10.0**	**1.6** (3.2%)	**40.0**	**50.0**

1 does not include Strategic and Competitive Research Grant in the amount of US$ 1.0 million
2 does not include Strategic and Competitive Research Grant in the amount of US$ 2.5 million

Within CRP, between Flagship, allocation of W 1 and 2

In a similar way, if donors propose to select individual Flagships for funding they need to understand the funding context at Flagship level (as well as the inter-linked nature of the Flagships), to anticipate the potential consequences and whether those choices therefore really will help to achieve their objectives.

The ISPC noted a difference between CRPs in the method of allocating W1 and 2 funding between Flagships. In the case of FISH, FTA and WLE a fairly standard percentage was applied across all FPs. DCL noted in its Budget and Performance Indicator Matrix, final submission dated 22 April that it allocated US$ 8.5 million in 2017 “primarily using the level of bilateral support to each FP”. The majority of CRPS have allocated their W1/W2 funds across FPs using variable percentages. Table 3 indicates these allocations.

Table 3. Proposed budgets for each Flagship with W1 and 2 budgets separated from the total. That is, without management costs or SCRG (where indicated separately by CRPs).

DCLAS	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	88	7.7	8.7
FP2	96	12.8	13.2
FP3	191	15.3	8.0
FP4	132	7.7	5.8
FP5	105	7.7	7.3
TOTAL	612	51.0	8.3

FISH	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	78	22.6	29.1
FP2	60	17.8	29.7
FP3	33	10.5	31.6
TOTAL	171	50.9	29.8

FTA	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	78	12.6	16.1
FP2	109	12.6	11.5
FP3	83	12.6	15.1
FP4	116	12.6	10.9
FP5	86	12.6	14.5
TOTAL	472	62.8	13.3

Livestock	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	72	25.8	36.0
FP2	54	26.7	49.2
FP3	45	20.4	45.5
FP4	36	15.5	42.5
FP5	55	15.7	28.5
TOTAL	263	104.1	39.6

MAIZE	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	34	12.7	37.1
FP2	51	15.5	30.5
FP3	190	21.2	11.2
FP4	161	17.4	10.8
FP5	15	7.1	46.4
TOTAL	451	74.0	16.4

RICE	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	92	14.9	16.1
FP2	22	8.1	36.3
FP3	144	18.7	13.0
FP4	69	20.9	30.4
FP5	167	27.9	16.7
TOTAL	495	90.5	18.3

RTB	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	100	29.0	28.8
FP2	261	35.5	13.6
FP3	147	29.6	20.2
FP4	108	12.4	11.4
FP5	127	29.5	23.2
TOTAL	744	136.0	18.3

WHEAT	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	25	12.8	52.3
FP2	52	18.1	35.1
FP3	112	47.8	42.5
FP4	91	10.2	11.2
TOTAL	279	88.9	31.8

A4NH	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	93	27.7	29.7
FP2	230	22.1	9.6
FP3	79	23.8	30.1
FP4	140	26.4	18.8
FP5	55	13.6	24.9
TOTAL	598	113.6	19.0

CCAFS	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	78	29.2	37.2
FP2	172	43.8	25.5
FP3	60	29.7	49.3
FP4	61	26.9	44.1
TOTAL	372	129.6	34.9

PIM	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	140	25.6	18.3
FP2	122	16.8	13.7
FP3	111	21.7	19.5
FP4	56	9.8	17.4
FP5	101	14.4	14.3
FP6	21	5.9	27.5
TOTAL	552	94.1	17.1

WLE	TOTAL Budget (M$)	W1/W2 - Amount (M$)	W1/W2 - % of total budget
FP1	83	13.9	16.8
FP2	74	12.5	16.8
FP3	45	7.5	16.8
FP4	65	11.0	16.8
FP5	77	12.1	15.8
TOTAL	344	57.0	16.6

Note: *All numbers in Table 4 reflect information provided by the Consortium Office on 24 April 2016.*

The two types of CRP – Agri-food Systems and 'Globally integrating'

Finally in terms of understanding the complexity, it is instructive to consider the two types of CRP, a concept developed by the DGs and agreed at the meeting in Windsor in May 2015.

The concept of ***Agri-food Systems-CRPs*** has the potential to recognize the importance of the systems context in which the research outputs will be applied. The three 'systems' programs in Phase I never managed to become well-established, although some elements of Drylands and Humid Tropics are continuing as Flagships in AFS-CRPs in Phase II. Some CRPs have bought into the concept of agri-food systems and are undertaking research beyond just production and recognizing the importance of having a systems focus. Others have some way to go but there are signs that the concept is having a beneficial effect in terms of facilitating inter-connections between CRPs and hence a more coherent portfolio.

Two (CCAFS and A4NH) of the four i-CRPs are now at an advanced stage of development, facilitated in part by the clarity of their focus (climate change mitigation and adaptation and human nutrition and health) compared to the more diffuse focus of policies, institutions and markets and water, land and ecosystems. CCAFS has already shown its potential in facilitating recognition of outputs from across the CGIAR System in global policy dialogues on climate change. A4NH is starting to have an impact in global dialogues on agriculture and nutrition and to involve other Centers/CRPs in those initiatives. PIM has also been effective in engaging in policy dialogues but still has some way to go to develop fully as an i-CRP, while WLE is developing a focus on becoming an influencer on behalf of the CGIAR. The ISPC consider there is considerable potential to enhance the global impact of the CGIAR, once all four i-CRPs are operating effectively as integrators of research across the System.

Conclusions

The ISPC understanding from the last FC meeting is that while the donors are still very interested in the delivery of the Targets specified in the SRF and hence are still interested in tracking the delivery of development outcomes from research, there is less money available and they are considering making funding choices at Flagship level.

The ISPC review of the proposals has shown that there has been considerable progress in the integration which is a prerequisite for delivery at the outcome level and there is still variability between CRPs and at the Flagship level. The analysis also shows that some of the current estimates of targets by individual CRPs are not reliable and thus the totals promised at the System cannot yet be presumed to be achievable.

All CRPs have the opportunity between now and 31 July to revise their proposals (exact nature of the revisions to be agreed at the meeting) and both the ISPC and the donors will undertake further reviews of the proposals during August. The ISPC reviews will aim to provide the donors with further analysis of the relative strengths and weaknesses of the individual proposals against multiple criteria.

There will of course be consequences from the choices made, both in terms of the science and the integration and hence on the delivery of outcomes. The ISPC will undertake further analysis of the information available over the summer to help to give some advice also on those consequences at the 2nd System Council meeting.

ANNEX A ISPC criteria for reviewing CRPs (12 in total)

1. Overall analysis as an integral part of the CRP portfolio

- **Strategic relevance**: is there a compelling argument or sufficient evidence that the CRP as a whole will make a significant contribution to delivery at the CGIAR system level?
- Consideration of the '**grand challenges'**, in particular climate change, in appropriate flagship projects;
- Evidence of capturing **inter-CRP synergies** and at the CRP cluster in which the CRP takes part (agri-food system or integrative CRP); In particular,
  - (For 'agri-food-system' CRPs) Does the CRP adopt an integrated approach to advancing productivity, sustainability and resilience?
  - (For integrative CRPs) Does the CRP plan to work with the eight agri-food systems CRPs and how does it conceptualise the integration across the whole portfolio?
- **Rigor and credibility** of the scientific arguments underpinning the rationale for the proposal;
- Individual FPs add up to a CRP that offers more value than the sum of individual FPs.
- **Lessons learned** from previous research and earlier external reviews and recommendations (including **ISPC comments and recommendations on pre-proposals**) have been adequately considered and factored in the full proposal.
- **Site integration**: The CRP demonstrates how it intends to work on key site integration plans, i.e., the steps taken and will be taken? (*see commentary on portfolio*)

2. Theory of Change and Impact Pathway

- Plausibility of the overall **Theory of Change** of the CRP and its consistency with the SRF;
- Feasibility of **Impact Pathways**
- **Alignment with SRF** IDOs and sub-IDOs; comparison against qualitative prioritization matrix.

3. Cross-cutting themes

- Evidence that **gender** issues have been considered within the proposed research framework, and have been used in shaping research questions/hypotheses.
- Evidence that **youth** issues have been considered within the proposed research framework, have been used in shaping research and that appropriate questions/hypotheses are being posed.
- Recognition of importance of **enabling environment** and clear indication that this has shaped the research agenda.
- Commitment to **capacity development** in the CRP overall scope and objectives (Adoption of CapDev Framework); clear indication of what will be done, and how this contributes to the outputs/outcomes of the CRP.

4. Budget (see Annex 2)

- Extent to which funds requested, relative to the expected outcomes, seems appropriate;
- Balance among **CRP FPs** relative to their expected outcomes.
- Size and proportion of the budget allocation for CRP management.

5. Leadership and partnership

- Track record of the **Leadership Team**, including FP leaders (recruitment criteria if leaders not in place);
- CRP **partnership strategy**: strategic fit and relevance of partners (has a convincing strategy been applied for selection of partners?); Evidence that partners are engaged and committed to CRP implementation; and that the CRP has reviewed issues such as alternative suppliers and collaborative advantage.
- Evidence of leadership and management commitment with an appropriate **governance structure**; arrangements in line with the CRP Governance and Management Review

6. ***Criteria at Flagship Level***

6.1. Strategic relevance and Theory of Change

- Plausibility of the Theory of Change and its alignment with the SRF sub-IDOs and IDOs; comparison against qualitative prioritization matrix
- Degree of alignment of question or problem to be addressed and expected outputs with national (SDGs) and regional priorities and initiatives;
- Recognition of the need for research to account for potential unintended consequences on SLOs that are not the primary focus of the research.
- Feasibility of the Impact Pathways.

6.2. Scientific quality

- Novelty and soundness of the research being proposed;
- Track record of the FP leadership and team, assessed on the basis of what was achieved in the previous CRP portfolio (publications and demonstration of commitment to quality, peer review mechanisms, etc.);
- Lessons learned; evidence of building on previous work (1st round of CRPs); e.g. how things have changed or even been dropped on the basis of past learning.

6.3. Comparative advantage

- The FP fills relevant research gaps, and is based on the CGIAR and host center comparative advantage in one or more specified research area
- Strategic fit and relevance of named partners; do the partners included add value in terms of scientific contribution and enhance the probability of impact?

6.4. Cross-cutting issues

- Evidence that gender issues have been considered;
- Evidence that youth issues have been considered within the proposed research framework, have been used in shaping research and that appropriate questions/hypotheses are being posed.
- Recognition of importance of enabling environment;
- Commitment to capacity development.

6.5. Budget (Annex 2)

- Extent to which funds requested, relative to the expected outcomes, seems appropriate;

Annex B ISPC Criteria for evaluating the coordinating Platforms proposals

The coordinating platforms will be evaluated by ISPC using the selection criteria outlined in the guidance document (section 4.4.). The platforms are envisaged as CGIAR system-level service platforms and will therefore be judged on the appropriateness and efficiency of their services and outputs to users, rather than the outcome focus of the programs – nevertheless a clear relationship should be established in terms of platform goals and illustrated demand from CRPs. Criteria for assessment of platforms will include:

1. The extent to which the platform will contribute to key strategic needs of CGIAR (i.e. alignment with SRF and feasible contribution to targets described in the Results Framework)
2. Comparative and competitive advantage of CGIAR and ability to deliver (Evidence - e.g. summary of the state of the art in the area and any lessons learned from previous or related efforts - to explain why CGIAR should lead the proposed platform).
3. Partnerships (including such elements as the underlying strategy and advantages of partner choices, recognition of particular strengths and weaknesses—and how these will be addressed.)
4. Efficiency, coherence and added value of the platform to the CRP portfolio and external users. (The extent to which the organization of the platform can add value to CGIAR programs and the cross-cutting interactions between other platforms and programs)
5. Track record and credibility of the team (e.g. skills, experience, and capacity of the proposed lead as well as partners and collaborators to deliver fully and in a timely manner on the proposed activities).
6. Mechanisms for assuring the quality of data and of science. (e. g. demonstration that effective means for data collection, and for ensuring data curation and its utility for sharing are in place; the adequacy of the plans for engagement with the research community; the adequacy of linkages to other institutes and providers; the quality and efficiency of platform arrangements, outputs and services).
7. Governance and management (are the leadership, management and governance arrangements appropriate to CGIAR responsibilities for stewardship and IPG use, including for partnership management).
8. The business case (whether the proposed business case will ensure sustainability of the CGIAR capability).
9. Appropriateness of budget in relation to the activities proposed (annex 2).

Annex C Activities which can be charged to management at the CRP level

As per the Full Proposal Guidance, the following represent the cost elements of the Management and Support Cost:

- Management fee charged by the Lead Center to handle CRP Finance and Administrative matters (Finance, accounting, reporting, contracts management, legal, HR, IT, communication-if handled by Lead Center)
- CRP director including related cost – benefits and on-cost if customary (computer, vehicle lease and office space) based on percentage time allocation
- Infrastructure and general and administrative charges if CRP leader is not located at the Lead Center
- Flagship leader and regional coordinators only if a significant percentage time (>50%) is dedicated to managerial activities.
- Financial and administrative support based on time allocation
- CRP Management Committee and related costs
- Independent Steering Committee (or Science Committee) and related costs
- Communication activity related specifically to CRP communication and webpage (not if handled by Lead Center)
- CRP internal audit by the CGIAR Internal Audit Unit, or its future equivalent in the new System governance structure
- CRP internal and external reviews (e.g. CCEEs and other evaluations and reviews), as well as impact assessments (if not explicitly budgeted as part of FPs)