

Issued: 8 July 2016

## **Consortium Board endorsed handover materials to the System Management Board and Interim Executive Director of the CGIAR System Organization**

### **Purpose**

This document comprises two appendices as endorsed by the CGIAR Consortium Board at its 26<sup>th</sup> and final meeting, for the purpose of providing:

1. Summarized background information on achievements, challenges and progress of key initiatives led by the Consortium Board and Consortium Office over the period 2013-2015; and
2. A status update regarding the System Management Office's\* delivery against its 2016 Program of Work and Budget ("PoWB") as approved by the Consortium Board and Fund Council at end 2015 (*\*when known as the Consortium Office*),

as a contribution to the System Management Board's preliminary discussions at its 1<sup>st</sup> meeting on topics for attention and appropriate scheduling over the 2016 – end 2017 period, taking into account the timetable for the phase 2 CGIAR Research Program ("CRPs") approval and ensuring no disruption of the science.

*This document is a companion document to:*

Document 8A – Preliminary Discussion items for the System Management Board.

### **Distribution notice:**

This document may be distributed without restriction.

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This document is a compilation of the following appendices:

### Appendix 1 CGIAR Consortium Performance Scorecard 2013-2015

The document provides:

1. **A review of achievement in the areas that the Consortium Board and Office identified as key strategic priorities for the three years from 2013 – 2015, as well as key challenges encountered, and**
2. **A summarized self-assessment of performance against the following five areas of delivery agreed by the Consortium Board for the Consortium Office for 2013 – 2015:**
  - a. **Policies and standards:** *Development and cyclical revision of the Common Operational Framework (COF) and other policies and standards.*
  - b. **Core business:** *Management of the CRP portfolio and annual CRP cycle.*
  - c. **Shared systems or services:** *Development and management of shared systems/ services.*
  - d. **Communities of Practice (COPs), Partnership enabling and external relations**
  - e. **Back-office support – internal Consortium:** *Internal business such as support for the Consortium Board and Members group; Consortium Office work plans and budgets*

### Appendix 2 Status update against the approved 2016 PoWB to 31 May 2016

This document provides an update against the agreed delivery of work by the Consortium Office (now System Management Office) to 31 May 2016 against the following sections:

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**Handover materials for the transition from  
the CGIAR Consortium to the CGIAR System Organization**

**Document 1 - CGIAR Consortium Performance Scorecard 2013-2015**

**Purpose**

This document, as a companion to Document 2 (progress update against the 2016 Program of Work and Budget) summarizes performance against 5 key priorities set for the Consortium Board and Consortium Office for 2013 – 2015, as well as key challenges encountered.

**Record of decision of the Consortium Board at its 26<sup>th</sup> meeting, 20-21 June 2016**

The Consortium Board endorsed the CGIAR Consortium Performance Scorecard, Revision 1, and requested its distribution to the System Management Board members and the Interim Executive Director of the CGIAR System Organization.

## CGIAR Consortium Performance Scorecard 2013-2015

As the CGIAR Consortium Board and CGIAR Consortium Office (together, for the purposes of this paper, 'the Consortium') winds up operations before transitioning to the CGIAR System Organization, with a final Consortium Board meeting on 20-21 June 2016, it was considered useful to reflect upon the Consortium's most important achievements, as well as its missed opportunities. This is done under the headings below of:

- Part A – Summary of progress, and key challenges
- Part B – Performance against 5 priorities set by the Consortium for 2013-2015

This note was endorsed by the Consortium Board at its 26<sup>th</sup> meeting as a summary of the Consortium's overall performance. The Consortium Board also commended the Consortium Office staff for its steadfast performance under considerable uncertainty during the transition period.

### Part A - Summary

**The critical contribution of the Consortium has been to improve the coherence and quality of CGIAR's strategy and programming at the CGIAR system, or portfolio level, together with the Consortium's own performance in the delivery of cross-cutting enabling platforms or projects.**

Against the background of producing a first system-wide CGIAR strategy that set the ambition of CGIAR entities working more closely together for the collective whole ('SRF1', approved in late 2011), in mid-2015 the Consortium led, in consultation with a wide range of stakeholders, the development of a second, much improved strategy that sets priorities linked to the SDGs and has a qualitative results framework as well as a set of quantitative targets ('SRF2').

Likewise, the Consortium put in place and managed the first generation of CGIAR Research Programs ('CRPs'). It subsequently worked on improving the overall coherence of the portfolio, and introducing synchronized annual work planning and reporting, based on a standardized CRP-specific Program of Work and Budget approach with improved theories of change and associated outcomes. Specifically, in 2015, the Consortium initiated and led the country coordination (or site integration) initiative to the well-accepted point it is today with leadership of the centers, and developed the guidance materials for the second call of CRPs through a two-stage process, together with a streamlined submission process through an online tool.

In short, the first and most important achievement of the Consortium is that it facilitated and catalyzed the development of a true portfolio of coherent global cross-center CRPs that is now owned by the centers and aligned to the second Strategy and Results Framework.

The Consortium has also been instrumental in putting in place the foundations for a performance management system for the CRP portfolio, by driving the effort to put in place quantitative targets for the 2016 – 2030 Strategy and Results Framework, intermediate development outcomes for the CRPs, and linked CRP results and budgets. This effort has enabled the CGIAR System to make use of an analysis of the “value for money” of the CRP2 portfolio by taking the financial and performance data submitted and presenting that through a known data analysis package. We believe that the value for money analysis, as it is continued to be shaped and strengthened, could be used in the future to set priorities as well as monitor performance going forward. In that context, we recommend that the System Management Office be given a mandate by the System Management Board to further develop the tool, working also in close coordination with the Funders to ensure that the material meets the needs and expectations of both the Centers and funders.

**The second achievement of the Consortium is that it facilitated cross-center collaboration through the active facilitation of a large number of Communities of Practice and several additional system-wide initiatives on key issues.** Two strong examples include the system-wide CGIAR Gender Action Plan and the Open Access / Open Data project, with the Consortium hosting these, but with the vast majority of funding flowing to the centers and collaborating partners. The Consortium developed a Capacity Development Framework that has now been widely adopted by most CRPs. It also developed an actionable plan for moving forward with greater shared services among the centers – ‘Thinking Like a Billion Dollar Organization’ – although the centers were not ready or prepared to move ahead with this type of integration when tabled. Given the strategic opportunities presented in that earlier document, one would hope that the incoming leadership of the CGIAR System Organization will revisit and take forward many if not all of its thoughts.

**The third achievement of the Consortium is that it built up the Consortium as a highly visible international organization with the required legal agreements, HQ building, team, and policies and systems to establish an effective organization** – which is now available as the basis for the new CGIAR System Organization.

**The two areas where the Consortium was less successful are:**

1. implementing a more effective financing and resource allocation strategy; and
2. the development of system-wide harmonized policies for the benefit of the system as a whole, thus bringing increased operational efficiency and effectiveness for the funders.

**In terms of a financing and resource allocation strategy, the Consortium was:**

- unable to play a meaningful role in resource mobilization, due to a conflict over roles with the Fund Council;
- unable to move to a more rational system of resource allocation because there was no results based management built into the first generation of CRPs; and
- unable to implement smooth and timely disbursements because the methods used to gather and use highly valued, largely public, donor financing are not fit for purpose.

**In terms of developing system-wide harmonized policies as foreseen in the 2008 reform to become the Common Operational Framework ('COF'),** the Consortium developed new policies in a number of areas with intensive consultation with center staff. While the Consortium Board did approve new system-wide policies to enhance operational effectiveness, the Fund Council and/or Center Boards did not take the final step of approving and putting a number of these policies. For example, even though the Fund Council urgently requested the Consortium to put in place a system-wide investment policy following the IITA crisis in 2012, the Fund Council's input on CGIAR Investment Policy Guidelines approved by the Consortium Board in 2013 took 18 months to be relayed. Till today – June 2016 – a September 2015 Consortium Board approved revised policy has yet to be included in a Fund Council meeting for discussion. Similarly, a revised Financial Guidelines No. 5 (Indirect cost allocation guidelines, last updated in 2001) was approved by the Consortium Board in late 2013, and has still not been approved by the Fund Council. In short, the current dual governance system placed the responsibility for developing a policy framework with the Consortium, but did not confer the authority to the Consortium to finalize the policy approval process. This is an important lesson for the new dual Board governance system currently under development – so as to ensure parity of authority and responsibility, without duplicating the approval processes such that there is continuing risk of paralysis in decision making.

Finally, the Consortium dealt with a number of significant issues over the past several years, from the IITA and ICARDA crises, to a number of funding crises that have had important repercussions for the relationships (confidence and trust) in the system, which have affected the Consortium's – and indeed the CGIAR System's – overall functioning and performance.

While the crises themselves were resolved, they caused significant and lasting damage to the various relationships and contributed to a continuous cycle of governance reviews and reforms from late 2012 till today. The crises and ensuing reviews and reforms clearly did not improve the effectiveness of the Consortium during 2013-15, but the Consortium was able to maintain a strong business focus despite the distraction and uncertainty caused by the reviews and reforms.

Whether the dual-Board proposal tabled in late April 2016, and adopted by the funders and Centers in early May 2016, will result in a more effective system compared to the single-board model previously favored by the funders in April 2015 is unclear at the time of preparation of this note. However, one should not underestimate the additional costs in terms of time and energy that routine reform processes have generated, unfortunately – in a number of respects - at the expense of the core CGIAR business.

That said, in summary, the Consortium has effectively helped put in place a system-wide CGIAR strategy, portfolio of research programs, and the core institutional and organizational elements (international organization status and host country agreements, office, team and systems) necessary to kick-start the new CGIAR System Organization.

## Part B - Performance in all five priorities for 2013-2015

The five groups of key products and services for the Consortium were developed by the Consortium Office leadership team and approved by the Consortium Board in Oct 2012 as part of its three-year work plan for 2013-2015.

We use these to review progress in each area.

### 1. **Policies and standards:** *Development and cyclical revision of the Common Operational Framework (COF) and other policies and standards.*

In 2013-15 the Consortium Office spent considerable time and energy to prepare new COF policies through Consortium Board committees and through an extensive series of consultations with various center constituencies. The bottom line is that even the policies that were adopted by the Consortium Board with strong center support – Financial Guidelines No. 5 (Indirect Cost Allocation), CGIAR Diversity and Inclusion Strategy, and the 2015 Re-stated Investment Policy Guidelines – appear to have been stranded in Fund Council committee-level processes for reasons that are not entirely clear.

For policies and guidelines that are not part of the COF, center leadership has shown reluctance to give formal approval for policies, even though the Consortium noted considerably more enthusiasm for collaboration and harmonized policies among the communities of practice directly involved in the development of those new policies. Certainly, the willingness to adopt new policies in 2015 was impacted by the ongoing governance reforms – even the most obviously desirable things such as a very basic Staff Security Framework could in the end not be put in place.

Overall, the progress in putting in place an adequate and complete set of shared policies, as foreseen in the reform (the Common Operational Framework) can only be characterized as unsatisfactory.

### 2. **Core business:** *Management of the CRP portfolio and annual CRP cycle.*

By far the largest and most important area of work for the Consortium has also been its most successful: the management of the core business of SRF and CRPs. In 2012-14 important preparatory work was undertaken to strengthen the theory of change, impact pathways and defined developed outcomes of the CRPs. The CRP Extension process was in many ways a practice run for the development of the CRP2 portfolio.

While SRF1, approved in 2011, was considered overall unsatisfactory (because it did not spell out priorities or set out targets), SRF2 adopted in 2015 with broad participation of all stakeholders through a very consultative process, is a major achievement for the organization and a good foundation to build on.

The CRP2 proposal process, with all CRPs synchronized so that a true portfolio can be built and evaluated simultaneously for the first time – through a 2-stage proposal development

process and with clear Guidance and templates (not available during the first generation) – and submission through an online tool, is a major achievement for the Consortium that would not have happened without its leadership. The CRP2 process and Guidance also put in place the necessary elements to implement a proper Results Based Management system for the CRP2 contracts.

As a reminder of the full scope of all activities performed by the Consortium as part of this function, with a small staff for the magnitude and intensity of the work involved, the list of products is provided here:

- SRF Action Plan and SRF2
- CRP Extension (2015-16) process: call for proposals, review and contracting
- CRP2 Pre-proposal process; Guidance; Online Submission tool
- Annual CRP POWB – review of CRP submissions and feedback
- Annual CRP Portfolio Report- review of CRP reports and synthesis
- Annual CGIAR Financial Report – consolidation of center and CRP financial reports into a single CGIAR financial report
- Annual CGIAR Intellectual Assets Report – consolidation and synthesis of annual center IP reports, provision of an overall opinion, and incorporating a third-party review process from the Fund Council's IP Group
- Overall CGIAR Annual Report – prepared with all Center communications people and the Fund Office
- CRP Financing Plan – prepared by the Consortium Office based on Fund Office revenue forecasts
- Funding requests and disbursement decisions following Financing Plans in an environment of uncertain or unknown donor contribution circumstances
- Response to CRP evaluations and audits – prepared by the Consortium Office

A problem with all system-wide reporting is that the reports come out too late – the 2011 Financial report was produced in November 2012, for example. There is considerable delay because all the reports: (a) rely on center reports that arrive between end of March to mid-May to the cycle of center Board meetings; and (b) need several cycles of iteration – as well as exchange of information among them (the CGIAR Annual report depends on the material from the Financial and Portfolio reports). Overall we have been successful in pulling the reporting forward by 4-5 months, to early summer in 2015, but this is still considered late for some funders.

The least successful was the Consortium's responsibility to produce an annual CRP Financing Plan for the forthcoming year. This was because there was no performance basis put in place as part of the CRP1 development process, and because revenue forecasts from the Fund Office could change up until the end of the year due to uncertainty in the timing of donor contributions in the context of a continuing predominance of annual versus longer term predictable funding contributions. As a result, this was an ineffective exercise despite our best efforts to make the process timely and transparent. In 2015, when challenged to allocate financial resources for 2016 on a performance basis, the Consortium Office's science and finance teams rose to the occasion and applied performance based elements



albeit under difficult circumstances. In summary, the Consortium Office prepared Finance Plans which helped Centers and CRPs to develop their own business plans (or Programs of Work) with limited funding information which often changed late in the year.

The Consortium's financial planning and resource allocation work was made considerably more complicated by the fact that there is widespread confusion and disagreement on the use and purpose of the three Windows of the CGIAR Fund. For example, in the design and legal documents Windows 1 and 2 are completely fungible. This 'fungibility' was put in place to provide a CRP with a good assurance as to the amount of funding to be expected at the beginning of the operating year. Unfortunately, Window 2 donors, CRPs or Centers considered this balancing out of resources in line with an approved budget as a perverse incentive. Window 3 was set up as (temporary) unrestricted support for centers but has de-facto become a conduit for bilateral projects through the Fund. The rules of the game related to financial management of the system, inscribed in the founding documents are widely misunderstood. There is also disagreement among donors and among centers on the use and purpose of the windows. Even though the intent of having W1-2 program and portfolio funding is fundamentally sound and of great importance to the system – the lack of clear guidelines for the allocation of W1-2, and lack of agreement on its intended use, has greatly hampered the Consortium's role as the primary manager of the W1-2 funds through the annual FinPlans. It is noted that these issues are yet to resolved, and we strongly support their prioritization by the System Council at their July and/or September 2016 meetings, to deliver clarity well before the start of the CRP2 implementation period in 2017.

Overall, the performance of the Consortium in this area is positive, due to its leadership role in the development of the SRF as well as the overall improvement in the CRP2 proposal development process (compared to the CRP1 process) and the quality of the CRP portfolio generally.

### **3. Shared systems or services:** *Development and management of shared systems / services.*

First, the Consortium inherited the ICT-KM shared services program that existed pre-Consortium and is continuing to provide a limited amount of such services (joint library subscriptions, travel services and travel tracking, and some limited amount of shared IT services primarily).

Second, following the IITA crisis in 2012, the Consortium Board decided that in order to rely on the center internal audit services, it needed to have a larger role in the Internal Audit Unit that existed as a shared service among the centers, but was in poor shape in 2013. The Consortium was involved, with the Centers, in the re-development of the IAU, under a renewed leadership, hosted at the Consortium Office, but governed by the Audit Oversight Group (AOG) with a majority of center Audit Committee Chairs and Finance directors as members. While the new IAU that was rebuilt in 2014-15 is now providing quality services, the overall IAU relationship with a number of centers has deteriorated, as those fear the IAU has become a tool of the Consortium despite the Center majority in the AOG. Three Asian centers have elected to have their own internal audit, and others, in response to the financial

climate, have reduced the number of assurance and advisory services requested of the IAU. As a result, the Consortium agreed to absorb an IAU related shortfall of funding (\$700K), on top of a large contribution to the IAU CRP-audit workplan (\$650K), so that the Consortium share of the overall IAU expenditures in 2015 rose to over 50%. Based upon ongoing governance transition discussions that are incomplete at the time of submission of this document to the Consortium Board, 2016 is now clearly a transition year for the IAU, with it moving from a shared service among Centers to a system-level internal audit function that builds on the center-level internal assurance services, supports and coordinates these and retains responsibilities concerning the CRPs. A system-level internal audit function reporting to the new System Council and the new System Management Board, according to terms of reference that are still to be defined with the support of the System Management Office.

Third, during 2013-14, the Consortium initiated an innovative project – “Thinking Like Billion Dollar Organization” – to explore the potential for stepped up shared services. While the project was undertaken in close collaboration with the centers (and had a project committee of 5 center directors of corporate services), the final project conclusions – that there are large efficiency and effectiveness gains to be had from scaled up shared services, were not supported by Center leadership. It must be noted that the project coincided with the MTR, and that the MTR conclusions did not provide an auspicious environment to implement scaled up shared services – from back office to research infrastructure – despite the strong case made for them.

Fourth, during 2015, the primary push for closer collaboration – and eventually shared services – was through the “site integration process” as part of the CRP2 development process in 20 countries.

In short, the Consortium’s performance on shared service has been mixed.

The Consortium has laid the foundation for a significantly scaled up shared service model. It explored and demonstrated the potential and received support from a number of sources. However, it was unable to get full buy in from the centers under the governance review and reform cloud that has sat above the system since end 2014.

In addition, the foundation has been laid for a centralized internal audit function, overseeing the quality of center internal audit work, to allow the System Council to rely more substantially on center-based assurance systems rather than duplicate this work to the extent possible.

At the same time, it will be important to reserve for the internal audit function a role in undertaking system-wide reviews at the request of the System Council as supported by the proposed System Council Audit and Risk Committee, with its proposed independent membership base, to identify crosscutting efficiencies in system-wide risk and assurance areas that individual center-based activities may miss.

#### 4. **Communities of Practice (COPs), Partnership enabling and external relations.**

The Consortium Office has put significant energy into re-energizing, facilitating and supporting a wide array of Communities of Practice – many of which existed, but needed a minor to a major boost in effectiveness.

In 2012-13 the majority of Consortium communication efforts was focused internally, strengthening the CGIAR at system level. During 2014 and 2015 the focus of Consortium communication efforts shifted to a primarily external focus. The Consortium organized a first CGIAR Development Dialogues during the UN General Assembly and Climate Summit in September 2014, and a successful high level side-event in UN HQ during the UNGA in September 2015 when the SDGs were adopted. The Consortium also invested much time and energy in the link between agriculture and climate change, in close collaboration with CCAFS and (in 2015) the French government in prep for and follow-up of COP21.

All in all, the Consortium has shown in 2014-15 that external communication and outreach at key high level events on behalf of the CGIAR as a whole can be very effective – and appreciated by the centers and donors alike.

Strategic partnership work of the Consortium has primarily focused on organizations that requested stronger links with the CGIAR system as whole, often after having had bilateral relations with one or more centers (and seeking an opportunity to work with the system rather than expand their bilateral links to most or all of the 15 centers). This has increasingly included the private sector, bilaterally with several major companies and through their global networks (World Business Council for Sustainable Development, and World Economic Forum). In addition, the work focused on accreditation of the Consortium with the UN system in general, and UNFCCC and the new Green Climate Fund in particular, and strengthened linkages with the private sector. It is clear from the work with these external partners that there is considerable scope, complementary to such work at center level, for strategic partnership work at the system level. This material is summarized also in Annex B of the Consortium's progress report against 2016 deliverables.

The overall assessment of the Consortium's work in this area is positive. It has been constructive and demonstrated a clear value for communication and partnership work at the system level that cannot be undertaken by or through the centers individually.

#### 5. **Back-office support – *internal Consortium: Internal business such as support for the Consortium Board and Members Group; Consortium Office work plans and budgets.***

As the Consortium was a start-up organization, set up initially with corporate service support from Bioversity (both its local office in France and its HQ functions in Rome), considerable effort was expended to set up the organization - from ensuring the complex legal agreements were put in place, to building and equipping the office, recruiting the team, gradually building the office's systems and policy environment, and putting in place a system of board governance and support.

2015 was the first year that the Consortium operated independent from Bioversity (finance, accounting, 'One Corporate System', and HR) and despite the uncertainty caused by the Mid Term Review and subsequent and continuing governance reform discussions (which themselves drew heavily upon the time of the Consortium Office and Board, but were not formally part of the 2013-2015 work plan priorities), the overall conclusion is that the organization is operational and ready to serve as the basis for the new CGIAR System Organization.

22 June 2016

## **Handover materials for the transition from the CGIAR Consortium to the CGIAR System Organization**

### **Document 2 - CGIAR Consortium 2016 Program of Work and Budget**

#### **Purpose**

This document, as a companion to Document 1 (CGIAR Consortium Performance Scorecard 2013-2015) presents a status update to 31 May 2016 on delivery against the CGIAR Consortium Office's approved 2016 Program of Work and Budget ('2016 PoWB') to facilitate the transition, with effect from 1 July 2016, from operations as the CGIAR Consortium (with its component parts of the Consortium Board and Consortium Office) to operations as the CGIAR System Organization (with its component parts of a CGIAR System Management Board and a CGIAR System Management Office).<sup>1</sup>

#### **Record of decision of the Consortium Board at its 26<sup>th</sup> meeting, 20-21 June 2016**

The Consortium Board endorsed the 2016 PoWB update, revision 1, and requested its distribution to the System Management Board members and the Interim Executive Director of the CGIAR System Organization.

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<sup>1</sup> It is noted that there is no change in the formal legal entity. Rather, the transition is being facilitated through a change of the operational name. This will require a number of amendments to the International Treaty and Headquarters Agreement, but not (on current advice) new documents to replace these currently existing materials.

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## 1. Progress update on delivery against 2016 PoWB to 31 May 2016

### A. Introduction





The 2016 PoWB, as approved by the Consortium Board in October 2015, and endorsed by the Fund Council at its 14<sup>th</sup> meeting in November 2015, was prepared in the context of ongoing governance transition discussions, and therefore comprised two distinct sections:

- **Four priority areas identified as the most important for focus by the CGIAR Consortium Office across the 2016 calendar year** in the context of an ongoing governance transition, as guided by the strategic areas of focus set by the 2016 – 2030 Strategy and Results Framework for the CGIAR system, as follows:
  1. Driving the CRP2 2<sup>nd</sup> Call process
  2. Supporting the transition to the revised governance structure
  3. Delivering the annual cycle of reports and plans
  4. Focusing on Risk Management; and
- **Additional areas for continuing focus, resources and stakeholder appetite permitting** (as had been set out in Annex 1 of the Consortium's 30 October 2015 version of the 2016 PoWB).

**This document brings both pieces together**, to provide a holistic summary of all items covered in the 2016 PoWB, and their status to 31 May 2016. This has the benefit of removing duplicate entries from the earlier Annex 1 document referred to immediately above, which were also deliverables under one of the four 2016 priority areas.

As an additional tool for the System Management Board and CGIAR System Organization Interim Executive Director, the following coding is applied to each 2016 PoWB deliverable, so as to present a visual means of identifying the status of each item:

#### Progress against deliverable

-  Completed at 31 May 2016
-  Underway and progressing well
-  Underway, but progress is challenged
-  Disrupted/cancelled based on external factors
- \* Planned for 2<sup>nd</sup> half of 2016

## **B. Ongoing operating assumptions**

Prior to turning to the detailed 2016 PoWB progress update, as a re-statement of material set out in the approved 2016 PoWB, the following key operating assumptions informed its preparation:





- a. It is in the best interests of the system as a whole, that the CGIAR Consortium, represented by the Consortium Board and the Consortium Office (together, for this document 'Consortium'), hands over the existing organization (building, assets and staff) to the CGIAR System Organization on a "going concern" basis, to enable a smooth transition rather than winding down the current organization and starting over. This was the premise of the budget prepared and approved by the Fund Council in November 2015, including the assumption that all funds allocated for the 2016 budget that have not been committed by the time of the establishment of the CGIAR System Office would be transferred to the new office.<sup>2</sup> The Consortium budget approved by the Fund Council in the amount of \$7.167m is funded by \$6.62m of W1 funds and \$0.55m income from other sources.
- b. The discussions and deliberations between the funders, the centers and other stakeholders, including the Consortium in the lead up to the transition would result in clarity on the tasks and functions of the new System Organization, the successor legal entity to the Consortium, which may require adjustments to the 2016 PoWB in the second half of 2016. This will be for the relevant body to consider, in consultation with the head of the CGIAR System Management Office at an appropriate time, depending on the final scope of the respective roles of the respective bodies.
- c. Based on the Transition Team paper on human resources matters presented and adopted by the joint meeting of the Centers, the Consortium Board and the Fund Council on 3 November 2015, with immediate effect from its adoption until the entry on duty of the Executive Director of the CGIAR System Organization<sup>3</sup>:
  - i. extension of Consortium employment contracts coming up for renewal, assuming satisfactory performance, will be for a two-year period. This assures stability and continuity as well as providing the new Executive Director with the flexibility to adjust personnel and terms and conditions of employment as the functions and business needs of the System Office become apparent; and
  - ii. Departing staff members from the Consortium Office may be replaced in accordance with current Consortium HR policy, provided that the employment contract for the new person does not extend beyond 30 June 2018. Further, no new positions should be created during the transition period or until the new Executive Director is in place.

<sup>2</sup> Paragraph 55 of the draft Transition Plan issued on 5 August 2015.

<sup>3</sup> The paper is accessible on the transition website here: <http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2015/09/HR-Issues-during-the-Transition-to-the-CGIAR-System-Organization.pdf>




Key to progress against deliverable

	Completed at 31 May 2016		Underway and progressing well		Underway, but progress is challenged		Disrupted/cancelled for external factors
* Planned for 2 <sup>nd</sup> half of 2016							





**Priority area 1: CRP 2nd Call**

The top priority is clearly to do everything the Consortium can to put the strongest possible CRP2 investment portfolio in place, and help mobilize the resources necessary to implement this work following the Consortium Board's 19 December 2015 approval and launch of the 2<sup>nd</sup> Call Full Proposal document. Related tasks to deliver on a strong 2017-2019 first phase of the next generation of CRPs, and associated platforms are set out below, with their status to end May 2016 indicated.

**Table 1 – CRP related actions to 31 May 2016**

No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>1.1 Supporting CRP2 2<sup>nd</sup> call for full proposals</b>				
a.	Development and launch of CGIAR's first online proposal submission tool for full proposals to facilitate the technical and financial review of the proposals, and facilitate the value-for-money analysis across the portfolio of CRP's.	31 Jan 2016 ( <i>Completed 1 March 2016</i> )		<p>The Consortium Office partnered with Fujitsu 'RunMyProcess' to build a cloud-based online proposal submission tool following the guidance document published on 19 December 2015. The development process started in November 2015 and the tool was released on 1 March 2016 as a final version after collaborative testing with selected Centers and CRPs.</p> <p>The Consortium Office recognizes that this first deployment of the CRP2 submission tool was not as smooth as desired or anticipated during the testing phase, resulting in agreement with the Centers to adjust the submission date to 2 April 2016, and provide CRPs / Platforms with various options to submit their proposals:</p> <ul style="list-style-type: none"> <li>• Option 1 - submit full proposal in Word / PDF by email; including PIM tables and Budget files</li> <li>• Option 2 - submit full proposal in Word / PDF by email; using PIM / Budget tables extracted from the online tool</li> <li>• Option 3 - submit full proposal completely through the online tool, for those that had not lost data. The Consortium committed to making the document output look better for those who opted for this option.</li> </ul>



## Key to progress against deliverable

 Completed at 31 May 2016 
  Underway and progressing well 
  Underway, but progress is challenged 
  Disrupted/cancelled for external factors


\* Planned for 2<sup>nd</sup> half of 2016

No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	<u>Cont/d</u> Development and launch of CGIAR's first online proposal submission tool for full proposals to facilitate the technical and financial review of the proposals, and facilitate the value-for-money analysis across the portfolio of CRP's.			<p>Most CRPs and Platforms chose Option 1. Only a few CRPs chose Option 2 and only one CRP submitted fully through the online tool (CCAFS).</p> <p>Fujitsu's 'RunMyProcess' management has accepted that incorrect design choices and poor project management from their end were the cause of the issues experienced. Further, that the slowness and data loss occurred because their design choice for the system was unable to cater for the large amount of narrative data, charts, tables and pictures that some CRPs submitted.</p> <p>Fujitsu management offered three options to remedy the situation:</p> <ol style="list-style-type: none"> <li>1. Redeveloping the system using an improved design approach at no-cost, and providing all the specifications originally requested. Estimated development time 2-3 months. <i>(The Consortium team deemed this would be a lengthy and risky option.)</i></li> <li>2. Improving at no additional cost, the data sections that worked well for the next final submission, using their most experienced developers. <i>(This option requires the submission of narratives in a Word or PDF document. This option was less risky and considered valuable).</i></li> <li>3. Negotiating a compensation payment for contractual non-performance. <i>(The Consortium team deemed this to be the least attractive of options, as in the end the system delivered the very important functionality of submitting budgets and data for the "Performance Indicator Matrix" tables.)</i></li> </ol> <p>Taking all matters into consideration, Option 2 was agreed as the most appropriate, and has been completed for all CRPs. The process for the three platform proposals is ongoing and will be finalized by mid-June 2016.</p>





Key to progress against deliverable

 Completed at 31 May 2016 
  Underway and progressing well 
  Underway, but progress is challenged 
  Disrupted/cancelled for external factors



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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	<u>Cont/d</u> Development and launch of CGIAR's first online proposal submission tool for full proposals to facilitate the technical and financial review of the proposals, and facilitate the value-for-money analysis across the portfolio of CRP's.			An in-person discussion session with CRP leaders on this issue is scheduled for the week of 12 June 2016 (Montpellier meeting). An action plan has also been developed for the CRP2 full proposal re-submission period (post ISPC review), that addresses the weak points of the tool while capitalizing on its strengths (refer b. below).
b.	Revise the on-line submission tool for re-submission of the full proposals after receiving the ISPC's review comments.	15 June 2016		<p>In consultation with the Centers, the online tool will be open again for submission from 27 June – 31 July 2016, for the CRPs that require revision or modifications according to the rating provided by ISPC, but only for required adjustments to the data tables - Budgets, Uplift budgets and Performance Indicator Matrix tables- as applicable.</p> <p>Using the online tool for these functions is desirable given the tool did help in the roll-up of more than 70 budget files, and includes some validations for the Performance Indicator Matrix tables. All narratives will be re-submitted as a word or pdf documents but not through the online tool. The advantage of this setup is that all CRP and Platform proposals will ultimately be submitted in the same format as originally designed for the initial submission, while ensuring they can submit a well-organized final proposal, without causing extra workload to the CRPs and Platform submitters.</p> <p>In the longer term, the online tool may be extended to support the new CGIAR System Management Office in monitoring and reporting program activities, when the new CRPs and platforms become operational in 2017.</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	Co-lead the GCARD3 consultations, including supporting meeting preparation and associated processes such as the site integration (or country coordination) aspects.	31 Dec 2016		<p>All 20 GCARD country consultations and 4 regional consultations are now completed and the GCARD3 global event took place in April 2016 with significant presence from CRPs and Centers.</p> <p>The Consortium is also seeing strong agreement being reached on site integration plans, the majority of which were submitted at the end of April 2016.</p> <p>All site integration plans should be at hand for a full-day discussion during the Science Leaders week in June to prioritize key issues which Centers and CRPs should jointly work to, so as to finalize plans by the end of 2016.</p>
d.	Support the approval of the CRP2 Full Proposals by the Fund Council (and its successor) through the provision of analysis to feed into key deliberations.	From 1 April 2016 until end of year.		<p>The Consortium Office has reviewed the CRP2 and platform full proposals, with a particular focus on system level functions (e.g. Intellectual assets, Open Access/Open Data, comparability of governance arrangements) and conducted a value for money analysis. This information was summarized and provided to the ISPC on 18 May 2016 as inputs to ISPC's review of the CRP2 portfolio, and platforms. Feedback to CRPs (including on gender) will be provided through the CRP Leaders meeting in the week of 13 June 2016 in Montpellier. The week includes ISPC's verbal presentation of their assessment (16 June).</p> <p>The System Management Office will manage the resubmission process for full proposals in line with further direction expected to be provided by the System Council after its discussions on ISPC's first review of the Full Proposals. This first System Council meeting is currently scheduled for 12 July 2016, with the System Management Board meeting immediately thereafter based on current plans. System Management Office staff (with effect from 1 July 2016) stand ready to assist in the presentation and review process as requested by the new System Council and System Management Board, and to continue to work with the task force on indicators and the CGIAR Monitoring, Evaluation and Learning Community of Practice ("MEL CoP") towards aligning a reporting tool and procedures for CRPs in 2017 (as relevant to item f. below).</p>

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e.	Establish a baseline for reporting and transaction costs.	31 Mar 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ff0000; border: 1px solid black;"></span>	This work will not proceed in the way envisaged in October 2015 when the 2016 PoWB was first developed. The intent to use/modify the on-line tool in the future (discussed in item a. above) will encompass a new reporting framework. This work, should it proceed, will be developed in full collaboration with the Centers.
f.	Lead the development of guidelines for results-based budgeting and reporting for the CRP2 portfolio, to be agreed with CRPs and Centers.	31 Oct 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>The 2<sup>nd</sup> Call Full Proposals template included, for the first time for CGIAR, a comprehensive set of budget and Performance Indicator Matrix tables, which when taken together, deliver to the CGIAR system a uniform means of representing how, at a high-level, each CRP and platform contributes the 2022 interim targets in CGIAR's 2016 – 2030 Strategy and Results Framework ("SRF"), and the overall budget allocation required to achieve the planned outcomes.</p> <p><b>Consortium Board meeting document CB26- 09 titled "Consortium Office prepared 'Preparing an Investment Case for 2017-2022 CRP2 Portfolio", provides a summary of the preliminary Value for Money ("V4M") analysis that has been derived from these new tables and provided as an initial analysis to the IPSC to contribute to the review of the proposals and platforms.</b> This work will undergo further development in consultation with the Centers and CRP leaders, with the goal for having a final Investment Case document and V4M document available for the Funders and Centers alike, and being used as a tool to inform ongoing performance assessment linked to resource allocation.</p> <p>Over the balance of 2016, the System Management Office will work with the Centers and CRPs, under the mandate of a task force to be formed by end June 2016, to identify a harmonized set of indicators and accepted means to measure them, to give credibility to any reported progress and achievements against the sub-Intermediate Development Outcomes (IDOs), the IDOs, and the System Level Outcomes (or goals) of the SRF. CGIAR's MEL CoP (discussed in greater detail within table 5.1 below), the IEA, ISPC will be key stakeholders in this important work, with ongoing key linkages to the Directors of Finance and Corporate Services of the Centers and the System Management Office.</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
g.	Develop the funding agreements for the CRP2 portfolio.	30 Nov 2016		<p>The Consortium Office has developed, with input from the Transition Team and Center legal representatives, an outline of a new funding agreement to be entered into with each Center (as a replacement from the current CRP Program Implementation Agreement), which will eliminate the need for downstream agreements between Centers. A revised draft of the outlines for the 'Financial Framework Agreement', prepared by the Consortium Office after an initial round of inputs, has been sent by the Transition Team to participants in the joint centers-funders meeting to be held over 6-8 June 2016.</p> <p>The expectation is that a further revised outline of the Financial Framework Agreement will receive endorsement by the funders and centers during June 2016.</p> <p>When the transition arrangements are completed, this outline will be expanded into a full text document, in collaboration with the centers and funders. A final document is anticipated to be ready for end-November 2016, in line with current plans.</p>
h.	Develop model partnership agreements for the CRPs to use in the second round.	30 Sep 2016	*	<p>Under the new format described in point g. above, the terms and conditions applicable to Centers and partners involved in the CRP2 portfolio will be included in the new funding agreement to be entered into between the CGIAR System Organization with each Center.</p>
i.	Develop CRP2 Guidelines on partnerships	30 April 2016		<p>The CRP2 full proposal guidelines included specific guidance on the partnerships, and responses to these guidelines are presently being considered during the first review of the full proposals and platforms.</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>1.2 Strengthening the resource base for the CRP2 portfolio</b>				
a.	Ongoing contributions to the development of a multiyear resource mobilization process agreed to by the Fund Council at its Bogor April 2015 meeting.	Ongoing from 1 Jan 2016		<p>As ongoing support to communicating the value of CGIAR investments and thus supporting broad resource mobilization efforts, the Consortium has prepared an Investment Case document for the 2017 – 2022 portfolio (<i>CB26-08 as mentioned above, and incorporating V4M analysis</i>). This material builds upon the earlier slide deck presented at the Consortium Board's CB25 virtual meeting, after 'trialing' that earlier material with a number of donors.</p> <p>In terms of broader activities, despite continuous engagement with the Fund Council sponsored "Senior Steering Group" (Chaired by the Acting Chair of the Fund Council), RM efforts continue to be disjointed through the multiple entry points to the topic, against the expectation that there would have been much earlier harmonization of the resource mobilization efforts between the Consortium Office and Fund Office, and in close cooperation with the RM community of practice ("RM CoP") to ensure a cost effective approach to reaching out to new and existing donors. The Consortium Office has kept increasing the visibility and presence of CGIAR high level representatives (Consortium CEO and Center Director Generals) in international events, and is finalizing a revised application for Green Climate Fund ("GCF") accreditation with the ambition to mobilize significant investment in science-based solutions for climate and agriculture.</p> <p>In the next 6 months, efforts should focus on securing 2016 W1/2 funding, staffing a targeted resource mobilization/donor engagement team in the System Management Office, finalizing the GCF accreditation process, and maintaining CGIAR high visibility in preparation for and implementation of COP22 outcomes.</p> <p><b>Annex B</b> provides additional information on suggested actions, including into 2017, with a view to putting in place the multi-year resourcing plan from Bogor.</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
b.	Lead the development and roll-out of 'Salesforce' as an effective funder relationship management tool.	31 July 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	Building upon learnings from the RM CoP work in 2015, the Consortium Office is continuing with the development of the future System Management Office's 'Salesforce' Customer Relationship Management ("CRM") database, so as to setup targeted development strategies with existing and future investors. Noting that Centers have not yet been placed to contribute in detail to the tool's operational framework due to other competing priorities, plans are to have this integrated CRM tool functioning as a collaborating platform with the Centers for system-wide resource mobilization efforts as early as possible after 1 July 2016, based on guidance from the System Management Board on areas of priority action.
c.	Develop Consortium strategic partnerships with major world-class research organizations and the private sector to raise collaboration and effectiveness.	Ongoing from 1 Jan 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>Taking into account the level of resources, work is necessarily prioritized towards those organizations that express a strong interest in closer links with the CGIAR system as whole. This has increasingly included the private sector, bilaterally with several major companies, and through their global networks (World Business Council for Sustainable Development, and the World Economic Forum).</p> <p>In addition, work has continued to focus on finalizing CGIAR's system-level accreditation with the UN system in general, and UNFCCC and the new Green Climate Fund in particular on behalf of the Centers. It is clear from this work that there is considerable scope to enhance CGIAR's strategic partnerships at the system-level, complementary to such work at center level. In the short term (next 6 months), we should aim to prepare guidelines on private sector engagement for the CGIAR system. For the mid-term (2017), we should aim to explore topics (e.g. nutrition) where CGIAR can develop recognition as a valued partner, and to increase private sector engagement across the research portfolio.</p>
d.	CGIAR-system wide strategic communications to strengthen CGIAR recognition, partner engagement, and convey appreciation to our funders	Ongoing from 1 Jan 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>Building on the strength of underlying Center/CRP level communications, the Consortium Office's work is focused on showcasing the CGIAR portfolio as a whole and supporting cross-Center/CRP collaboration. Major areas include:</p> <ul style="list-style-type: none"> <li>• Coordination of communications around the GCARD3 consultation process and global event, including articles published in leading external media channels (such</li> </ul>







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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
d.	<u>Cont/d</u> CGIAR-system wide strategic internal and external communications to strengthen CGIAR recognition, partner engagement, and convey appreciation to our funders			<p>as Reuters, the BBC, and the Voice of Africa) by the CGIAR Consortium CEO, Center Director Generals, and other senior personnel in a system-wide media push. There was a system-wide presence at GCARD3 brought together by with a large booth and combined communications activities.</p> <ul style="list-style-type: none"> <li>• Production of the 'Why CGIAR' leaflet to support resource mobilization efforts targeting longer term, predictable contributions (in line with the Bogor April 2015 Fund Council decision), which has been in high demand from Centers and CRPs.</li> <li>• Daily support of the CGIAR-wide communications community including through highlighting news, progress and success stories on <a href="http://cgiar.org">cgiar.org</a>, and creating social media campaigns to support Center CRP news (and managing CGIAR's system-wide social media channels <a href="#">Twitter</a>, <a href="#">Facebook</a> and <a href="#">LinkedIn</a>).</li> <li>• Creation of new newsletter, first edition out in July 2016, and new online tools– 'periscope' and 'storify'; and 'Scoopit' for new CGIAR newsletter.</li> <li>• System-wide coordination of communications around and participation in events that include the upcoming European Development Days 2016 meeting in Brussels; the 7<sup>th</sup> Forum for Agricultural Research in Africa (FARA) Science Conference, the Global Landscapes Forum 2016, COP22 and the second CGIAR Development Dialogues &amp; Partners Reception.</li> </ul> <p>A key area of focus over the coming 2-3 months is also leading the light re-branding exercise approved by the Fund Council at its Rome 5-6 June 2016 meeting; and support a dynamic feel of a new System Organization, through the production of new promotional banners showcasing the best of CGIAR Science for key meetings.</p> <p>After the governance transition is effected, an early priority for the system is the adoption of a CGIAR-wide Crisis Communications Plan that has been revised by the Communications team in collaboration with the Communications Community of Practice ("Comms CoP").</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>1.3 Maximize the visibility, and thus the uptake and use, of research outputs through Open Access/Open Data (OA/OD)</b>				
a.	Support and facilitate the development of plans to make Centers and CRPs Open Access. <i>(This project is funded from extra-budgetary resources and not from the Consortium core budget. The team is hosted at the Consortium Office)</i>	All Centers have in place approved Open Access plans by 30 Nov 2016		Results of a recent survey indicate that 13 of the CRPs indicated they were using or planned to use the implementation plan template provided by the Consortium Office as the starting point for preparing their OA/OD Implementation Plan. Three other respondents indicated they were unsure. These responses are consistent with the plans that have been shared with the Consortium Office up to this point, and heartening as a move towards consistent OA/OD operationalization and appropriate needs identification and resolution. ** Refer also to section 5 below on the work of the Open Access communities of practice.
<b>1.4 Managing the annual CRP reporting cycle for the CRP1 portfolio</b>				
a.	Programmatic review of individual CRP '2016 Program of Work and Budget' reports for existing 15 CRPs + Genebanks	31 Mar 2016		Each of the CRPs 2016 Programs of Work and Budget have been reviewed by the Consortium Office, and relevant feedback provided to the Lead Centers and CRP Directors, as a substantive contribution to ensuring strong 2016 performance, including as a key building block for development of performance based budgets linked to targets for the 2017-2022 implementation period for those research actions that will be taken up in the next generation CRPs. The Consortium Office has offered substantive comments on gender (often asking CRPs to consolidate efforts with another a CRP). Given the completion of first round CRPs in a few months, the manner in which adjustments may be made, or reflected in new 2017 CRP work plans will be discussed at the CRP Leaders meeting in the week of 12 June 2016 in Montpellier.
b.	Preparation of quarterly CRP finance reports <i>(Data extracted from CRP quarterly reports submitted by individual Centers 1 month after each quarter, and CRPs to report to lead Center 1 week after quarter end)</i>	31 Jan 2016 30 Apr 2016 31 Jul 2016 31 Oct 2016		As and when reporting is complete, the consolidated material is returned to the Centers/CRPs for reference, and shared currently with the Fund Office also for on-provision to W1-2 funders.  As in the past, several CRPs struggle with submitting the quarterly financial reports (with some CRP quarterly reports for end Q1 2016 still outstanding), which significantly delays the workflow.





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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	Preparation of Consortium management responses to the IEA CRP evaluations, thereby ensuring that lessons learned find their way into the CRP2 development process.	30 Jun 2016		<p>In line with the Consortium Board's approved approach, in the 5 months to 31 May 2015, we have delivered four additional Consortium Management Responses to those reviews where there have been specific actions directed to the Consortium (WLE, Livestock and Fish, RTB, and GRiSP). Informal feedback, rather than a formal management response, has been given also to the three CRP-initiated final reports which did not have recommendations addressed to the Consortium (HumidTropics, Dryland Cereals, Grain Legumes).</p> <p>Currently, the IEA is undertaking reviews of CCAFS, Genebanks, Gender in Research and the Workplace, Partnerships and Capacity Development.</p> <p>To the extent that the final reports contain recommendations specifically directed to the Consortium, and subject to a different direction from the System Management Board and/or System Council at a future time, we plan to continue with the established process of providing a management response as and when the IEA's final reports are presented, and the CRPs (as relevant) have provided their management response.</p>
d.	Preparation of Consortium management responses to IAU CRP advisory audits, thus ensuring that lessons learned find their way into the CRP2 development process.	Ongoing from 1 Jan 2016		<p>Management responses were completed in March 2016 for two Internal Audit Unit advisory engagements commissioned by the Consortium Board in 2015 in the discharge of the Consortium's responsibilities under the Joint Agreement (clause 2.4, relating the use of W1 and 2 funding). The two IAU reports comprised: (i) a consolidated report on the overall and respective control environments at CRP level; and (ii) a report on the Genebanks. The IAU report on CRPs, with Consortium management responses, has been shared with the Center Director Generals, and the Consortium Board, as discussed at the Consortium's 24<sup>th</sup> Board meeting. Existing CGIAR disclosure policies for internal audit assurance engagements (at CRP system-wide and center level) is that these documents remain internal only. Thus, there is no public disclosure of the reports.</p> <p>The Consortium had anticipated that in the second half of 2016, the System</p>

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No	Table 1 - Action/area of work	Target date	Status	Progress update to 31 May 2016
d.	<u>Cont/d</u> Preparation of Consortium management responses to IAU CRP advisory audits, thus ensuring that lessons learned find their way into the CRP2 development process.			Management Office would have prepared Management Responses to a number of CRP assurance engagements according to the Consortium Board approved 2016 IAU Consortium Audit Plan <sup>4</sup> . This position changed with effect from 6 May 2016 based on discussions between the Consortium Board Chair, the Chair of the Centers Group, the Director of IAU and the Chair of the Consortium Board's Audit and Risk Management Committee. Whilst IAU has a continuing mandate to undertake center-specific IAU functions in line with existing IAU-Center service level agreements, the mandate to commence new CRP (system-wide) assurance engagements has been suspended by mutual agreement. This suspension is expected to continue through to end July 2016, after which time there will be clarity on the role of the internal audit function that the CGIAR System's funders have said they require to operate on a system-wide basis.

<sup>4</sup> Approved by the Consortium Board at its 24<sup>th</sup> meeting, virtual 29 March 2016, document CB24-06, Revision 1

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### Priority area 2: Transition to System Council and Office

A second key priority for the 2016 year, building on the Fund Council's Bogor April 2015 decision, is to provide high quality governance, legal, HR and other operational support to ensure an effective transition to a revised CGIAR governance structure, building on the existing legal personality of the CGIAR Consortium (a key element of the Fund Council's April 2015 decision). Table 2 below reflects the status to 31 May 2016:

**Table 2– CGIAR system transition**

No	Table 2 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	Initiate the process to amend the Agreement establishing the Consortium as an International Organization	31 July 2016 or as amended by the transition planning cycle		On 23 February 2016, the Consortium Office and Transition Team held a joint preliminary meeting with the Ministry of Foreign Affairs to discuss the transition arrangements and specifically, the International Organization Agreement. Based on those very productive deliberations, there is potential for the International Organization Agreement to be amended through a streamlined process. The process for amending the International Organization Agreement can only begin once the text of the CGIAR System Organization Charter is finalized. If the streamlined process is unavailable due to the complexity of the changes required, the amendment process could be substantially longer. We have remained in contact with the French Ministry of Foreign Affairs and provided them with regular updates on the Transition.
b.	Collaborate with the Transition Team, the centers and funders on the development of the new governance documents required to give effect to the new System Organization, including ensuring appropriate preparation and approval of relevant transitional arrangements for 2016.	31 July 2016 or as amended by the transition planning cycle		<u>Document drafting:</u> Through to the end of March 2016, the Consortium was a member of the "Big Picture Working Group", and also participated in the science and finance working groups that led to the preparation of early draft materials. As requested by the Transition Team, the Consortium's legal officers have prepared outlines of a number of key documents, and together with the Consortium's governance function, continue to provide inputs into the various governance documents as they evolve.  A major deliverable for the June-July 2016 period is the preparation of operating procedures for the new CGIAR System Council. It is currently expected that the Centers will take the lead on the preparation (or re-statement) of the existing CGIAR Consortium Board operating procedures, to take up the early-May 2016 decision to

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No	Table 2 - Action/area of work	Target date	Status	Progress update to 31 May 2016
b.	<u>Cont/d</u> Collaborate with the Transition Team, the centers and funders on the development of the new governance documents required to give effect to the new System Organization, including ensuring appropriate preparation and approval of relevant transitional arrangements for 2016.			<p>return to a two board structure, which the legal and governance functions of the Consortium Office (and System Management Office thereafter) would review.</p> <p><u>Ensuring approval of relevant transitional arrangements:</u> The Consortium, together with legal officers from the Centers and Funders, has contributed to the preparation of a transition team proposed approach to transitional arrangements for 2016, as set out in the document titled “Proposed approach to existing CGIAR agreements for current CRPs and 2016 system costs”<sup>5</sup> and tabled at the 2-4 May meeting of Funders/Centers. It is expected that this document, revised for the “two-board” approach agreed by the Centers and funders in early May 2016, will receive endorsement at the forthcoming 6 – 8 June 2016 meeting of the Funders and Centers, and implementation will begin with effect from 1 July 2016.</p> <p>In order to avoid disruptions to the current CRPs and the payment of system costs, the existing operating arrangements for the current CRPs and system costs will be maintained, except that once the System Council and the System Management Office are established, the System Council and the System Management Office will assume, respectively, the functions of the Fund Council and the Fund Office stipulated under those agreements to the extent necessary.</p>
c.	Collaborate with the Fund Office finance team and the Trustee to ensure a seamless transition of the financial management actions of the Fund Office to the new System Management Office.	31 July 2016 or as amended by the transition planning cycle	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>Two virtual meetings and one face-to-face meeting have taken place with the Fund Office to coordinate the financial transition. The Fund Office has advised that the transition budget in the amount of \$1.67m will be managed by Fund Office which, on current planning, is expected to close its financial operation in September 2016.</p> <p>As part of ensuring effective transition arrangements, the Consortium has agreed that the function that liaises with the Trustee will remain located in Washington D.C., transitioning from the Fund Office to the System Management Office at an appropriate time, to be hosted by IFPRI.</p>

<sup>5</sup> <http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/05/Revised-proposed-approach-to-existing-CGIAR-agreements-for-current-CRPs-and-2016-system-costs.pdf>

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
No	Table 2 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	<u>Cont/d</u> Collaborate with the Fund Office finance team and the Trustee to ensure a seamless transition of the financial management actions of the Fund Office to the new System Management Office			In addition to current responsibilities such as providing access to the trust account, reports of funding status, coordinating between donors and the trust account for the individual contribution agreements; the position will assume additional responsibilities such as development of funding requests, support plans for fund allocations as per board-approved annual CRP financing plans, elaborating and following up on funding requests, and elaborating and requesting funding disbursements to Centers.
d.	Collaborate with the Fund Office concerning personnel wishing to take up the opportunity to work with the new System Organization's operational office in 2016.	31 July 2016 or as amended by the transition planning cycle		The Consortium Office continues to engage with the Fund Office in regard to personnel who may be interested in transferring to the new System Management Office with effect by 1 July 2016, or at such a later time as agreed is necessary for the staff transferring. These discussions are taking place in accordance with the paper presented to the November 2015 joint Centers/Funders meeting on HR issues. Respecting staff confidentiality, detailed information on those conversations is not provided here. Where Fund Office staff had indicated some interest in such a move, the Consortium Office invited the Fund Office staff member to Montpellier, scheduled exploratory meetings, and engaged in the development of agreed terms of reference for the role, should the transfer take effect. At the date of this paper, a maximum of two persons may take up the opportunity for employment with the new CGIAR System Management Office.
e.	Amend or revoke system-wide and/or internal policies and guidelines as required to bring them into line with the with revised governance structure and re-stated roles and responsibilities.	From first System Council meeting and ongoing through 2016		In advance of the May 2016 Centers/Funders meeting, and based on the Bogor 2015 'one office/one board' decision, the Consortium's legal officers undertook an early review of the existing policy environment, resulting in the presentation of a paper titled "Proposed approach to Existing CGIAR Consortium Policies, Procedures and Guidelines" <sup>6</sup> . As a result of the May 2016 Funders/Centers meeting agreeing to return to a two-board structure, the transition team has tabled a streamlined proposal, for the existing policies to continue until agreed otherwise between the System Council and System Management Board, having regard to the various roles in the new Framework.

<sup>6</sup> <http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2016/03/Proposed-approach-to-existing-CGIAR-Consortium-policies-procedures-and-guidelines.pdf>

Key to progress against deliverable



 Completed at 31 May 2016 
  Underway and progressing well 
  Underway, but progress is challenged 
  Disrupted/cancelled for external factors

\* Planned for 2<sup>nd</sup> half of 2016

No	Table 2 - Action/area of work	Target date	Status	Progress update to 31 May 2016
f.	Amend current CRP funding agreements to reflect single Organization status.	31 July 2016 or as amended by the transition planning cycle		<p>This work is no longer required to be progressed from the perspective of the specific CRP agreements. The effect of the discussions reflected in item b. above, is that, on current operating assumptions, there will be no amendment of the existing CRP agreements.</p> <p>This is because the rights and obligations of the Consortium (as a legal entity) under the Joint Agreement, CPAs, PIAs and Fund Use Agreements will not be affected by the establishment of the System Organization which will be the same legal entity.</p> <p>All other transitional arrangements with regard to the Fund Council / Fund Office will be caught by the arrangements summarized above in item b.</p>



Key to progress against deliverable



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### Priority area 3: Annual cycle of reports and plans

The third priority is the regular cycle of the various annual plans and reports to provide, particularly for CGIAR's funders, sufficient information to continue to provide strong support across the system as a whole. Table 3 below reflects the status of key actions to 31 May 2016, with the reports noted in items a to d being precursors to the preparation of the CGIAR Annual Report (item e.):




**Table 3: Annual cycle of reporting**

No	Table 3 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>3.1 Delivery of external annual reports for CGIAR</b>				
a.	Preparation and approval of <b>2015 Consortium Audited Financial Statements</b> .	7 April 2016		The CGIAR Consortium Board, upon the recommendation of its Audit and Risk Management Committee, approved the audited 2015 Consortium Financial Statements at its 25 <sup>th</sup> meeting (28 April 2016). These statements received an unqualified external audit opinion, delivered on 20 April 2016.
b.	Preparation and Consortium Board approval of the consolidated <b>2015 CGIAR Intellectual Assets Report</b> (in advance of submission to the new System Council for endorsement)	31 May 2016		<p>All 15 Centers have delivered their 2015 Intellectual Assets reports to the Consortium Office, as required under the reporting requirements of the March 2012 approved CGIAR Principles on the Management of Intellectual Assets.</p> <p>A draft 2015 Consolidated Intellectual Assets Report, prepared by the Consortium Office based on the Centers' reports, was submitted to the Fund Council's Intellectual Property Group ("FC IP Group") by end March 2016. The draft report was developed in consultation with the Centers, and in particular, with the CLIPnet community of practice group noted in table 5 below). The FC IP Group met with the Consortium Office's legal team in April 2016 to review the individual Center Intellectual Assets reports, as well as discuss the preliminary 2015 CGIAR Intellectual Assets Report and provide input on overall content. The final 2015 CGIAR Intellectual Assets Report was presented to the Consortium Board for approval at its 26<sup>th</sup> meeting over 20-21 June 2016. Thereafter, it will be submitted to the System Council thereafter for discussion and endorsement. Highlights will feed into the CGIAR 2015 Annual Report (see below).</p>

Key to progress against deliverable

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No	Table 3 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	Preparation and Consortium Board approval of the consolidated <b>2015 CGIAR Financial Report</b> (in advance of submission to the new System Council)	30 Jun 2016		The consolidation process for the elaboration of the CGIAR financial report commenced in early April 2016, with some delay through to mid-May 2016 due to delays in receiving final inputs from a number of Centers. A proposed final draft of the 2015 CGIAR Financial Report (based on the audited financial statements of each of the Centers and the CGIAR Consortium) will be discussed by the Consortium's Audit and Risk Management Committee (4 independent external members, including two persons who serve as external independent Audit Committee Chairs at Center level) at its 7 June 2016 meeting, for the purpose of recommending the final document to the Consortium Board for approval at its 20-21 June 2016 meeting. Subject to approval, the document will be circulated to the Fund Council (in advance of 30 June), and also thereafter to the CGIAR System Council and System Management Board. Highlights will feed into the preparation of the 2015 CGIAR Annual Report (see below).
d.	Preparation and Consortium board approval of the consolidated <b>2015 CGIAR Research Program Portfolio Report</b> .	15 July 2016		Given the pressure on the CRPs because of the requirement to prepare annual CRP reports and submit CRP2 full proposals at the same time, beginning April 2016, the Consortium agreed to extend the deadline for 2015 CRP Annual Reports by two weeks to mid-April. The 2015 CRP Annual reports are in review at the time of writing this summary, and portfolio summary will be communicated to the Consortium Board by mid-June for discussion on the approval process. Highlights from the 2015 CRP performance year will feed into the preparation of the 2015 CGIAR Annual Report (see below). The System Management Board will need to clear this document before its submission to the System Council given the adjusted timing agreed with the CRPs.
e.	Preparation and publication of the <b>2015 CGIAR Annual Report</b> .	31 Aug 2016		Outline work on the 2015 Annual Report started in April 2016. The review process of stories from Centers (virtually all of which have been received at the date of this report) will take place in June by Science/Communications. Content for sections is being concurrently drafted, and the first round of design for the print version are under review. An extended interactive online version will be developed in July. It is hoped the report will be ready for final review in mid-August and launch by end August. Much depends on the timeliness of completion of the 2015 CGIAR Research Program Portfolio Report, with the risk that the publication date may slip back to September (as was the case in 2014).





Key to progress against deliverable

Completed at 31 May 2016
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  Underway, but progress is challenged
  Disrupted/cancelled for external factors

\* Planned for 2<sup>nd</sup> half of 2016

No	Table 3 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>3.2 Internal management reporting and annual statements of assurance</b>				
a.	Annual reporting to the Consortium Board and Fund Council against Program of Work and Budget	31 May 2016 31 Oct 2016	<span style="display: inline-block; width: 15px; height: 10px; background-color: #ffff00; border: 1px solid black;"></span>	<p>The Consortium Board received a detailed update on end 2015 outcomes, and progress update on the 2016 Program of Work and Budget ("PoWB") to 31 March 2016 for its 24<sup>th</sup> Board meeting (virtual) on 29 March 2016. Following Consortium Board approval, the document was shared (as is practice) with the Fund Council for information for its 15<sup>th</sup> meeting over 5-6 May 2016.</p> <p>Two companion documents were also shared as follows:</p> <ol style="list-style-type: none"> <li>5<sup>th</sup> CGIAR Consortium Gender and Diversity Performance Report – March 2016</li> <li>2015 Progress review of the Open Access/Open Data hosted project.</li> </ol> <p>Reporting for the balance of 2016 will take the form and timetable requested by the new governance entities.</p>
b.	Internal monthly management accounts and cash flow projections	Within 15 calendar days of month end	<span style="display: inline-block; width: 15px; height: 10px; background-color: #92d050; border: 1px solid black;"></span>	<p>Management accounts were produced and distributed for the month of March (distributed 24 April) for the month of April on (distributed on 14 May) and for May (will be distributed on 6 June).</p> <p>Cash flow projections are not needed since all funds for the full year of the Consortium Office (and System Management Office from 1 July 2016) operations have been received. The mid-year projection and year-end projection will be shared with the Board.</p>

Key to progress against deliverable

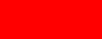

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**Priority area 4: Risk management:**

A fourth key 2016 PoWB priority is to ensure that a well-governed and run entity is handed over to the new System Organization. A holistic risk assessment has to be conducted and a report prepared on key strategic system-wide risks – and then monitored over the implementation period for the transition, on and from July 2016, to ensure that effective risk management processes, monitoring and oversight are fully embedded.


**Table 4: Risk management**

No	Table 4 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	A comprehensive risk management framework and charter to be presented to the Consortium Board's Audit and Risk Management Committee, and subsequently, to the Consortium Board in Q1 2016.	31 Mar 2016		<p>Based on detailed discussions in the Consortium's Audit and Risk Management Committee, and taking into account the evolving governance documents (and emerging roles and responsibilities contained therein), the ARC determined it appropriate to halt work on this and take up further action, as directed by the System Management Board and System Council, after the key elements of the transition have been effected. At the date of this document, it is expected that work on this topic will need to run into at least the first half of 2017 to ensure a holistic framework applies moving forward.</p> <p><b>In the interim, set out at Annex A of this document are the key lessons learnt and risks identified by the CGIAR Consortium in the key areas of Finance, Human Resources, and Administration,</b> for early reflection by the CGIAR System Organization leadership in consultation with the proposed System Management Board's Audit and Risk Committee, whose mandate is to provide independent assurance of adequate internal audit capacity, system-wide governance, risk management and internal controls.</p>
b.	Receipt and review of the annual statements of assurance required from Center Director Generals or Center Board Chairs (as applicable).	31 May 2016		<p>As at the date of this document, the Consortium Office has received and reviewed:</p> <ol style="list-style-type: none"> <li>1. Each <b>Director General's annual statement of assurance</b> (as per the Financial Certification Framework approved by the Consortium Board on 13 June 2013 and amended on 26 March 2015). The Consortium CEO has, as required, also delivered this statement to the Consortium Board;</li> <li>2. Each <b>Board Chair's annual certification</b> (as per Framework mentioned in item 1 above); and</li> </ol>





## Key to progress against deliverable

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  Underway and progressing well 
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\* Planned for 2<sup>nd</sup> half of 2016

No	Table 4 - Action/area of work	Target date	Status	Progress update to 31 May 2016
b.	<u>Cont/d</u>			<p>3. Each <b>Center Board's assurance of compliance with the CGIAR Principles on the Management of Intellectual Assets</b> (as per Article 10.1.1 of the Intellectual Assets Principles).</p> <p>The Consortium's Audit and Risk Management Committee has discussed disclosures made under item 1 from two Centers and no additional action is required. No other matters of substance arose from the other declarations.</p>
c.	A comprehensive escalation (and de-escalation) policy to be agreed between the Consortium and Centers to address system-wide whistle-blower claims, thereby ensuring that the right issues are being addressed at the right level	31 Dec 2016	*	Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure. In the interim, each Center and the Consortium has its own Whistle-blower policy approved at Board level.
d.	Risk management process, monitoring, and oversight to be fully embedded for the Consortium.	31 Dec 2016		<p>Risk management takes place on a weekly basis as part of the weekly Leadership Team meetings.</p> <p>Two specific system wide advisory audits on Fraud and ICT Assessments were planned for 2016 to identify potential areas for focus. However, the Consortium was asked to cease this work in early May 2016 by the Representative of the Center Director Generals.</p> <p>Today it is not clear if the two audits will take place, and further action will depend on the final scope of the roles and responsibilities of the System Management Board and System Council, and more specifically, the role of the Internal Audit Function that the funders have requested be within the scope of the new system, with considerably more work required on the definition of that function before work would be undertaken.</p>


Key to progress against deliverable

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* Planned for 2 <sup>nd</sup> half of 2016							

**Work area 5: Other areas of ongoing focus**

Additional to the four priority areas of action, the approved Consortium 2016 PoWB included other ongoing work within the capacity of the office, so long as it did not provide a distraction from the four top priorities outlined above. Table 5 below sets out the comprehensive list of planned actions over 2016, as prepared in November 2015. The majority of those actions fall due in the second half of 2016, and thus to be reported against at end 2016, subject to such amendments as may be directed by the System Management Board and/or System Council (as may be relevant after final determination of the separation of roles and responsibilities).

Specifically, on policy development actions, part 5.2 of the table below reflects the challenges experienced in seeking to take forward policy initiatives that were, when developed, supported as being in the best interests of the system. However, the transition discussions have had a material adverse impact on the progress of these policies through the various governance arrangements as they exist at the date of this paper.

No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>5.1 Coordinate and facilitate Communities of Practice, including 6-monthly/annual meetings (as relevant), pending actions from 2015 implemented as appropriate, and follow up actions clearly articulated and allocated across key stakeholders</b>				
a.	Comms CoP (Heads of Communications)	Ongoing from 1 Jan 2016		<p>The Comms CoP actively shares information and perspectives. Updates from the Consortium are provided monthly. The Communications Manager is in touch with many members of the CoP individually to collaborate and share knowledge. Funding challenges have put pressure on in-person meetings, with a decision taken to postpone the end 2015 meeting to late in 2016 or early 2017 (TBC). Having this meeting would be a positive step to ensuring aligned communications after the transition process.</p> <p>The CoP works well to support each other on system-wide projects such as the CGIAR Annual Report, branding guidelines and crisis planning, UN International Days, combined coordinated CGIAR wide events, and social media campaigns. In order to reap more fruitful outcomes for the CGIAR brand as a whole, more time (and thus more resources) would be required to support and bolster the community.</p> <p>It will be a priority, for example, to have fully aligned communications around the new portfolio.</p>





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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	Cont/d Comms CoP (Heads of Communications)	Ongoing from 1 Jan 2016		There is also much support in the CoP to plan a new CGIAR Development Dialogues (DD) global event – the inaugural DD event being the only instance all centers and CRPs worked together in a CGIAR led event to promote our science, raise brand awareness and create new partnerships. There is great potential in this project, which also marries very well with system-wide, and center, resource mobilization efforts
b.	ICT Leaders (Information and Communications Technology)		<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	Regular virtual ICT meetings take place with all leaders from the Centers. The most important topic on the agenda is the renewal of the support contract with CG-Net. A consultant is due to provide a system review report regarding the existing ICT infrastructure of the CGIAR. Depending on this report a call for proposals will be developed and respective suppliers invited to submit proposals. By year-end the CG-Net agreement or any replacement will be in place.
c.	CapDev CoP (Capacity Development)		<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	The CapDev CoP, led by a Centers-elected Steering Committee, has been very active this semester, with 2 workshops in January (on revising plans and preparing a proposal for a strengthened CoP to be financed at a level of \$1m per year as of 2017 to support CRP efforts on Capacity Development) and May (on finalizing the CapDev monitoring indicators for CRPs). Activities on the rest of 2016 will aim at consolidating plans for the next CRP cycle and mobilize external funding to support them (discussions are underway with USAID, JICA and GIZ).
d.	CSEs (Corporate Service Executives)		<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	Two CSE meetings, organized and coordinated by the Consortium, will have taken place by the end of June 2016. The first meeting took place in virtual form over 19-21 January 2016 for 3 hours every day and was attended by all Centers except for IITA, with key topics such as budget implications of site integration and tracking the collection of the 2% CSP being discussed.  The second meeting is taking place in Munich over 8-10 June back to back with the Consortium Board's ARC meeting, the AIARC Board meeting, and an OCS steering group meeting. All Centers Corporate Services Directors or Finance Director participate.

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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
e.	CLIPnet (CGIAR Consortium Legal/Intellectual Property Network)	Ongoing from 1 Jan 2016		<p>Key activities since 1 January have included:</p> <ul style="list-style-type: none"> <li>Coordinating regular <b>webinars</b> addressing issues relevant to the implementation of the CGIAR Principles on the Management of Intellectual Assets. Six webinars have been held to date as part of the 2015 webinar series focusing on crosscutting issues relevant to other CGIAR communities of practice including genetic resources management, ethics and human participants, and responsible open access.</li> <li>Coordinating <b>system level activities concerning the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA)</b>. This included: (i) the development of draft CGIAR guidelines for the implementation of the Nagoya Protocol on Access and Benefit-sharing as well as the coordination of feedback by genebank managers and Center lawyers concerning EU draft guidelines for the implementation of the Nagoya Protocol; and (ii) 4 meetings of a CGIAR Working Group of genebank managers and Center lawyers to follow developments and provide CGIAR input concerning the options being considered by the Governing Body of the ITPGRFA for enhancing the functioning of the Multilateral System for Access and Benefit Sharing of the ITPGRFA.</li> <li>Providing <b>adhoc support</b> to Center IP Focal Points in relation to their implementation of the CGIAR Principles on the Management of Intellectual Assets. This support included: (i) developing a data sharing agreement template and related workflows for use by Centers; and (ii) providing guidance to Centers in relation to queries concerning interpretation issues related to CGIAR policies concerning open access and IA management.</li> </ul> <p>Planning for the 2016 <b>CLIPnet annual meeting</b> awaits finalization of the CGIAR transition arrangements.</p>



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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
f.	HR (Human Resources)	Ongoing from 1 Jan 2016		The annual Human Resources Community of Practice Meeting took place in Montpellier over 23-25 May 2016. 11 of the 15 Centers participated. It was suggested that the next meeting take place back to back with the next CSE meeting.
g.	Knowledge Management – 3 themed CoPs <ul style="list-style-type: none"> <li>• Data Management Task Force (DMTF)</li> <li>• Open Access Working Group (OAWG)</li> <li>• Community for Spatial Information (CSI)</li> </ul>			<p>An earlier “Knowledge Management Community of Practice” has evolved into 3 CoPs that are mutually exclusive for the most part, and better equipped to address new issues that have gained importance with the increasing attention to and need for Open Access to CGIAR research outputs. These are: (i) The Data Management Task Force (DMTF), primarily dealing with Center data stewardship; (ii) the Open Access Working Group (OAWG), which addresses publications-related issues for the most part; and (iii) the Community for Spatial Information (CSI) to focus on spatial data issues.</p> <p>This separation has made it easier to focus on specific domains that have become important over the last 4-5 years as Open Access has gained prominence in the public debate. Medha Devare (hosted by the CGIAR Consortium) leads CGIAR’s Bill and Melinda Gates-funded Open Access/Open Data Initiative, and consequently coordinates the DMTF and the OAWG, and liaises regularly with the CSI, led by Jawoo Koo, based at IFPRI. All these groups have been active in 2016, with the OAWG and DMTF in particular being deeply engaged in implementing Open Access to publications and data as well as other research outputs at Centers in a consistent manner in accordance with the CGIAR Open Access and Data Management Policy and key donor policies, coordinated through the Consortium Office.</p> <p>As an important element of delivering on Open Access policy frameworks, the DMTF is also focused on assessing and supporting CGIAR’s preparedness for highly anticipated third-party audits of CGIAR’s and the donor’s own compliance with the requirements of donor policies on Open Access.</p>

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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
h.	RM CoP (Resource Mobilization)			Day to day leadership/coordination of the RM CoP has been recently handed over from the Fund Office to the Consortium Office. Over the 5 months to 31 May 2016, the RM CoP has maintained quite loose communication despite the recent sharing of documents from the Consortium Office in its new role (e.g. private sector partners' and donor's databases). This is perhaps understandable in the current transition context. It is hoped that with clarity on the System Management Office's role from the CGIAR System Framework (and reproduced in the final text of the CGIAR System Organization Charter), RM system-wide efforts can be reinstated with some vigor, to deliver from the Fund Council's April 2015 FC13 decision, a comprehensive resource mobilization strategy for approval by the System Management Board that focuses on multi-year funding commitments and thus deliver more predictable sustainable funding to the CRP2 portfolio.
i..	MEL CoP (Monitoring, Evaluation and Learning)			The Consortium serves as Co-Chair of the MEL CoP. Based on deliberations in November 2015, the MEL CoP proposed a joint initiative to create a Task Force (including donors, the IEA and SPIA, as a subgroup of the ISPC) for the selection of harmonized indicators and the establishment of an associated monitoring plan. This meeting is taking place simultaneously with the preparation of this document. Conclusions and next actions will be presented for the Science leader's meeting (week of 12 June 2016 in Montpellier), and thereafter recommendations will be made to the System Management Board for presentation to the System Council).
<b>5.2 Ensuring effective CGIAR Consortium governance and oversight</b>				
a.	Convene, manage and oversee CGIAR Consortium Board and Committee meetings	Meetings planned for: April 2016 May 2016		At the date of preparation of this document planning has been undertaken for three Consortium Board meetings (one in-person planned for 20-21 June 2016, and two delivered, 29 March 2016 and 29 April 2016).  In addition to the formal meetings, and arising in part out of the governance transition discussions, there have been two informal Board calls, each with supporting materials being required to be prepared.





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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
a.	<u>Cont/d</u>  Convene, manage and oversee CGIAR Consortium Board and Committee meetings			All meetings have been/are being delivered in accordance with the CGIAR Consortium's Constitution and Rules of Procedure. Formal Consortium Board meeting records are publicly available after approval by the Consortium Board, as are all final approved meeting documents, and other working papers (except if they represent internal in-confidence working documents of the Consortium, or are IAU materials that are not able to be publicly shared in line with CGIAR current disclosure policies).
b.	Convene, manage and oversee CGIAR Consortium Committee meetings (as required according to evolving work mandate)	ARC - 3 mths SPPC- 6 mths GPCC-6 mths NEC - adhoc	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>By reason of the early outcomes from the CGIAR governance transition discussions in late 2015, the Consortium Board determined that it would not convene its Nominations and Evaluations Committee ("NEC") or Governance and Policy Coordination Committee ("GPCC") in 2016 absent a clear need to do so, as:</p> <ul style="list-style-type: none"> <li>no new Consortium Board members are to be appointed before the end of the Consortium Board's operations on 30 June 2016; and</li> <li>no new policies are to be developed (with the approval processes for those policies that were either updated or developed in 2015 in close collaboration with the centers now interrupted because of the transition discussions).</li> </ul> <p>The substantial support for 2016 has been for the Audit and Risk Management Committee of the Consortium Board (and its sub-committee, the Audit Oversight Group, with a mandate to oversee the shared-services CGIAR Internal Audit Unit). By 30 June 2016, the ARC will have held 3 meetings (19 February, 19 April, and 7 June), principally by reason of the significant financial reporting obligations for the CGIAR Consortium after the close of each financial year, and approving the now interrupted IAU 2016 audit plan.</p>




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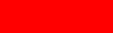
\* Planned for 2<sup>nd</sup> half of 2016

No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	Building on Bogor, April 2015 decisions, convene, manage and oversee meetings of the single CGIAR System Organization governing entity.	Assumed: July 2016 Nov 2016		<p>The decision of the funders and centers, in early May 2016, to return to a two-board structure, and the mid-May indication to the Consortium Office that Montpellier was not a preferred location for the hosting of the initial System Council meeting, has brought unexpected risk to a 11-12 July 2016 that was, at end April 2016, well underway from a planning perspective. This is particularly so with only one governance officer to support organization of the meeting at the Consortium Office, at the same time as convening and supporting the final Consortium Board meeting.</p> <p>The requirement to now convene and support two meetings on two successive days, at a venue not known, and identification of the members of the two boards still not provided by the respective parties at the date of preparation of this document means planning for the meetings remains, at best, very fluid. With 6-8 June 2016 discussions aiming to achieve agreement on the CGIAR System Framework (overall principles, and role and functions of the key stakeholders) and CGIAR System Organization Charter (day to day role of the System Management Board as the decision making body of the CGIAR System Organization) one hopes that by the time of the Consortium Board meeting on 20-21 June, there is increased clarity to ensure that key decisions expected to be taken at the inaugural System Council and inaugural System Management Board meetings can be taken with adequate information underlying them.</p>
d.	Prepare and delivery final Consortium Board materials for FC15	April 2016		<p>All routinely required documents were delivered to the Fund Office, for on-provision the Fund Council by not later than two weeks prior to the start of the meeting. Additionally, the Consortium provided a special purpose "Uses of W1/2 funding" document to support the Fund Council's initial consideration on the prioritization of funding for the new CRP2 portfolio.</p>

## Key to progress against deliverable

 Completed at 31 May 2016 
  Underway and progressing well 
  Underway, but progress is challenged 
  Disrupted/cancelled for external factors

\* Planned for 2<sup>nd</sup> half of 2016

No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>5.3 Develop (or revise, as relevant) and oversee compliance with operational policies designed to increase efficiency and effectiveness</b>				
<b>I. Common Operational Framework policies, procedures or guidelines<sup>7</sup> (approved by, or involves consultation with the Fund Council)</b>				
a.	Prepare in consultation with the Centers and submit to the Fund Council (or its successor) a revised <b>"FG2 Guidelines" document (CGIAR Accounting Policies and Reporting Manual)</b>	31 Oct 2016 (as may be altered by the transition)		Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure.  FG2 was approved by the Consortium Board in 2014 and delivered to Fund Council. Approval is pending. Nevertheless, the document will need to undergo additional modification depending on the final roles and responsibilities of the future governance structure.
b.	Prepare in consultation with the Centers and submit to the Fund Council (or its successor) a revised <b>"FG4 Guidelines" document (Guidelines for Preparing the 2010-2012 Medium Term plans and the 2010 Financing Plans)</b>	31 Oct 2016 (as may be altered by the transition)		Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure.
c.	Prepare, and submit to the Centers for consultation, a revised proposed draft of <b>"FG3 Guidelines" (CGIAR Auditing Guidelines)</b> , in advance of submission to the Fund Council by 31 March 2017.	30 Nov 2016 (as may be altered by the transition)		Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure.

<sup>7</sup> e.g. CGIAR Financial Guidelines Series numbers 1 to 6; Investment and Reserves policies; CRP Monitoring Principles and Reporting Templates; CGIAR Principles on the Management of Intellectual Assets; CGIAR –FC Dispute Resolution Policy





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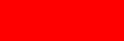
\* Planned for 2<sup>nd</sup> half of 2016

No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
d.	Prepare, and submit to the Centers for consultation, a revised proposed draft of “ <b>FG5 Guidelines</b> ” (CGIAR Indirect Cost Allocation Guidelines), in advance of submission to the Fund Council by 31 March 2017.	30 Nov 2016 (as may be altered by the transition)		<p>Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure. Should FG5 move forward, it will be against the background that the cross-center developed revision to FG5 was approved by the Consortium Board in June 2013 (CB12), and submitted to the Fund Office on 11 October 2013 for inclusion in the Fund Council agenda. The document has undergone, we understand, informal consultations through the Fund Council Governance Committee (“FCGC”), and there have been a number of communications between the Fund Office and Consortium Office, the most recent of which (finalized in July 2015) concerned a request for clarification on elements of indirect cost rates to which a response.</p> <p>The CSE CoP in 2015 appointed a working group to establish an inventory, center by center, how costs are being allocated. The result will be presented during the 8-10 June 2016 CSE meeting in Munich and will support and future revision of FG5</p>
e.	Prepare, and submit to the Centers for consultation, a revised proposed draft of “ <b>FG6 Guidelines</b> ” (CGIAR Procurement of Goods, Works and services Guidelines), in advance of submission to the Fund Council by 31 March 2017	30 Nov 2016 (as may be altered by the transition)		<p>Work has not commenced, and future action will depend on final roles and responsibilities under the revised governance structure.</p>





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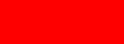

\* Planned for 2<sup>nd</sup> half of 2016

No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
f.	Undertake, in consultation with the FC IP Group and the Centers, the biennial review of the <b>Principles on the Management of Intellectual Assets</b> and submit recommendations for adoption.	31 Dec 2016		The Consortium has held early discussions with the head of CGIAR's Independent Evaluation Arrangement (IEA) concerning their undertaking of the biennial review of the CGIAR Principles on the Management of Intellectual Assets ("IA Principles"). Based on these preliminary discussions, the proposal is for IEA to develop terms of reference through a consultative process in late 2016 for this review, with the substantive review to be undertaken in early 2017. The IEA has agreed to include this review in their PoWB for 2017, to be tabled at the end of 2016 for System Council approval.
g.	CGIAR Consortium Diversity and Inclusion Strategy 2016 – 2020	FC approval in Nov 2015		<p>Work is suspended pending the outcomes of the final roles and responsibilities under the revised governance structure. Should this policy move forward, it will be against the background that the document was developed by the HR Community of Practice, and approved by the Consortium Board in October 2015. It was submitted in advance of FC14 as an outstanding action from FC12. On 1 December 2015 the Fund Office circulated the Strategy to the Fund Council for input by 11 January 2016, inviting detailed review and feedback on this revised document from FC members. The Fund Office advised the Consortium that no comments were received.</p> <p>On 9 March 2016, the Fund Office advised that as a next step, a targeted note to 3 key donors with gender specialists had been sent. On 8 April 2016 the Consortium Office received from the Fund Office anonymized information from one donor, noting a number of points to consider. This was subsequent to an earlier mid-March communication from the Fund Office that, perhaps in the circumstances of the transition, the document should come instead to a System Council meeting at an appropriate time in 2016.</p>

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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
h.	Re-stated CGIAR Investment Policy Guidelines* <i>* A full restatement of the Investment Policy Guidelines prepared in 2013, as submitted to the Fund Office for Fund Council review in October 2013, and Fund Council Governance Committee inputs received in March 2015.</i>	FC approval by Jan 2016		The guidelines were approved by the Consortium Board on 2 November 2015 and submitted to the Fund Office immediately thereafter for review and endorsement by the Fund Council. The document is still pending Fund Council approval. Work is suspended pending the outcomes of the final roles and responsibilities under the revised governance structure.
<b>II. CGIAR System Wide policies, procedures and guidelines<sup>8</sup> (No FC approval; developed in consultation with the Centers, and subject to Center adoption)</b>				
a.	CGIAR Staff Security Accountability Framework.	31 Mar 2016		<p>This was approved by the Consortium Board on 8 October 2015 during an ad-hoc meeting. Centers were asked to formally approve the Framework thereafter, noting that Centers had contributed to its development, and were participants at Committee and Consortium Board deliberations, with those present supporting the Framework moving forward.</p> <p>On 18 February 2016 the Consortium was informed by one of the Center Director General's representative to the Consortium Board that the Center Director Generals were unable to support the Framework, with timing of the transition being identified as key reason for this outcome. Separately, during this process, the independent Board Chairs of a number of centers endorsed the Framework as an appropriate approach, noting that the implementation phase would involve detailed collaboration with the Centers to ensure the appropriate division of responsibility for day to day actions.</p>

<sup>8</sup> e.g. Risk management processes; Shared Communications Strategy; Intellectual Assets guidelines; CGIAR Good Governance Framework.



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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
<b>5.4 Delivery of shared services/standards/systems to deliver operational efficiency</b>				
<b>I. OneCorporateSystem (Unit 4, Agresso)</b>				
a.	Develop a common reporting tool for both OCS and non-OCS Centers to ease the consolidation of information.	Designed 30 Jun 2016  Effective 1 Jan 2017	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ff8c00; border: 1px solid black;"></span>	<p>This task is pending. The initial thoughts of using the budget tool for CRP2 reporting might need to be re-visited considering that the budget tool is not ideal for program reporting. The L-series report will definitely work for reporting in case the budget template cannot be used for reporting purposes.</p> <p>Hopefully the direct disbursement to Participating Centers, rather than through the Lead Center, will apply for reporting (not yet defined under the new Charter). We would hope that inter-Center activities will be controlled or eliminated and if not tracing of source of funding should be required.</p>
b.	Participate in the OCS Steering Committee to improve collaboration in development of phases 2 and 3.	Ongoing from 1 January 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>Two OCS meetings have taken place during the first half of the year (January and June). The new member from the OCS support team, Brendan Fagan, has visited the Consortium. As part of the OCS team he will focus his efforts to bring phase I and phase II Centers together in phase III of the OCS base build.</p>
<b>II. Other shared services/collaborative platforms</b>				
a.	2 CRP collaboration platforms using CGIAR system-wide Office 365/SharePoint online implemented.	30 Jun 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	<p>Two CRPs are using Office 365 as the collaboration platform of the CRP. Currently 13 Centers have joined Office 365 for CGIAR, and are moving email, collaboration, and file storage services to the platform. Three Centers are taking advantage of the non-profit premium licensing available in Office 365 for CGIAR. Most of the 13 who have joined will move to the CGIAR non-profit licensing in due time.</p>
b.	Shared Services concepts embedded in the CRP second call for proposals, as reflected in the proposal submissions	31 Mar 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #92d050; border: 1px solid black;"></span>	<p>The value for money analysis is completed and will be presented during the 13-17 June 2016 CRP meeting. Initial information was provided to ISPC. Several conference calls took place between the Consortium supported by the external consultant and ISPC. CRPs were asked to reference site integration plans and in particular, an indication of the site integration (+ and ++) countries in which the CRP is involved as part of the CRP second call for proposals submitted 31 March. Site integration Lead Centers will review CRP proposals, and check alignment with their site integration country plans.</p>

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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
c.	Shared agreements which represent business over US\$1.2 million negotiated.	31 Dec 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #92d050; border: 1px solid black;"></span>	All current shared services contracts are in place or being finalized. The amount of business might be slightly lower depending on Center's interest in renewing some or all of the current services in 2016.
d.	In collaboration with AIARC tender for the following services: (i) Emergency Medical Evacuation; (ii) Business Travel Accident; (iii) Security Tracking; Security Evacuation.	30 Jun 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #92d050; border: 1px solid black;"></span>	The Emergency and Security Travel tracking agreement being managed by the Consortium on behalf of all Centers, was handed over to AIARC in May 2016. Emergency and Medical evacuation services were tendered by AIARC and added to the agreement. The system continues to operate as designed and AIARC is managing the contract with SOS-USA directly. The travel tracker process continues to operate. Its completeness depends often on the traveler, particularly when on-line travel is booked without furnishing the necessary information or when changes to the travel schedule are implemented on-line without involvement of the original travel agent. Travel tracker has proven to be working well, but it is not a fool proof system.
e.	In collaboration with the ICT group, tender system-wide ICT services for email and identity management.	31 Oct 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	The CGIAR ICT Leaders CoP has engaged an expert consultant to perform analysis and provide recommendations to modernize the CGIAR Core ICT Services (historically called the CGNet Contract for identity and domain management, and email systems as well as the CGIAR Virtual Private Network among all CGIAR Centers). The analysis and recommendations will be delivered in June 2016, and the CGIAR ICT Leaders CoP will review and determine which recommendations will best meet the current (and future), and collective and individual Center ICT core service needs.
f.	Maintenance of Google Applications (cgxchange) service and support for CGIAR Research Centers and programs delivered.	Ongoing from 1 Jan 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #ffff00; border: 1px solid black;"></span>	The current CGXchange shared service is operational and working well. Based on expressed interest from Centers, the CGXchange admin and support service will be renewed in September 2016. The current technical setup of our sign-on infrastructure for Google Apps will be revisited if required, following the results of the AD study. The Consortium's ICT Manager has supported the CGXchange infrastructure and the required relationships with CGNet to ensure access to the services.

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No	Table 5 - Action/area of work	Target date	Status	Progress update to 31 May 2016
g.	Travelers' tracking tool implemented in all Centers.	31 Mar 2016	<span style="display: inline-block; width: 15px; height: 15px; background-color: #92d050; border: 1px solid black;"></span>	All Centers and Consortium have implemented Travel Tracker, and travelers receive pre-trip advisories with updated travel security and medical information. CGIAR Consortium applied for the International SOS Foundation – Duty of Care Awards 2016 for our leadership in the implementation of this system and services for all 15 Centers and Consortium. We are currently <a href="#">shortlisted in the Thought Leadership</a> (weblink) category.

## 2. Staffing Overview to 31 May 2016

### 2.1 Definition of “CGIAR Consortium Office Staff” at 31 May 2016

Pending the imminent transition to the new CGIAR Organization from 1 July 2016, and for the purpose of interpreting table 6 below, the concept of “**CGIAR Consortium Office staff**”:

- a. Includes the 2 people who are currently seconded to the organization through a special arrangement with the French Government. These people sit on Consortium FTE (full time equivalent) roles and their time is dedicated to delivering on the Consortium’s 2016 PoWB.

But:

- b. Excludes the category of “Fellows” – a young professional officer training and development program operating for the purpose of enhancing the skills of Center employees. Currently, there are 3 fellows participating in this program from the Centers, working within the CGIAR Consortium Office’s IT, Communications and Finance Departments, respectively. Fellows make a meaningful contribution to the Consortium’s delivery of its annual work plan, including delivery of key shared services and annual reporting to the Consortium Board and Fund Council, and appropriately they are therefore shown as part of the overall FTE count. However, contractually, the relationship is between origin Center and the Consortium, and not the Center’s own staff member (the latter acknowledges the staff-loan arrangement, but does not contractually become a member of the “Consortium Staff”). June 2016 represents the handover period for the fellows, and so there is some duplication of administrative cost in undertaking that handover, although non-material from a budget perspective.
- c. Excludes the 2.0 FTE positions that are responsible for delivering the Open Access/Open Data (‘OA/OD’) and Virtual Information Platform (‘VIP’) special initiatives funded through bilateral grants. Whilst time from this team has contributed to the OA/OD deliverable mentioned in table 1.3.a. above, the 2.0 FTE is fully funded by a bilateral project, and the team’s focus is Center-facing initiatives. The project also funds 0.3 FTE of a Consortium Office Staff Member with that person’s time split accordingly. They are hosted by the CGIAR Consortium to ensure linkages with other cross-cutting initiatives. Similarly, excludes the 3.0 FTE positions that are responsible for delivering the Gender in Research special initiatives bilaterally funded project. One of the 3 FTEs is hosted at the CGIAR Consortium, but as for the OA/OD and VIP initiatives, this work is Center-facing and is not delivering on Consortium Office specific actions.
- d. Excludes personnel delivering the CGIAR system’s shared-services Internal Audit Unit (‘IAU’), governed by the System’s Audit Oversight Group. Whilst some of these people have “CGIAR Consortium” contracts (to provide a home base) such personnel are not “CGIAR Consortium Office staff” for the purposes of delivering against the Consortium Office’s 2016 PoWB. Rather, they are hosted staff, with their own work plan and

annual deliverables for which they are accountable. The IAU operates functionally independently of the Consortium Office.

## **2.2 Term of employment of CGIAR Consortium Staff and others hosted in Montpellier**

The CGIAR Consortium's board approved Personnel Policy Manual provides that the typical contractual term is 3 years, subject to a shorter term assignment being required to deliver a specific function. At the joint Centers, Funders and Consortium Board meeting in November 2015, the meeting participants adopted the proposal that with immediate effect:

*...“contract extensions of existing staff in the Consortium Office should be for no more than two years. Departing staff of the Consortium Office may be replaced (with contracts no longer than the end of June 2018), but new positions should not be created.”<sup>9</sup>*

Since 4 November 2015, no new contract (including contract renewal of an existing contract for ongoing work) – for Consortium Office staff or personnel engaged through the Consortium for special initiatives work – has been signed for longer than 2 years and none of those signed for ongoing Consortium Office deliverables since 4 November 2015 exceeds 30 June 2018 in any event.

## **2.3 Consortium Board approved CGIAR Consortium Office FTE and status at 31 May 2016**

The Consortium Board approved FTE for the CGIAR Consortium Office to deliver on its 2015 and 2016 program of work is 29.5 persons, including 4 fellowship roles.

At 31 May 2016, 2.5 of those FTEs sit vacant:

- 1.5 FTE of which have been vacant from the start of 2015 due to the Consortium Board's direction to not fill those roles in the context of budget pressure throughout the system (other non-staff budget reductions were also made); and
- The additional 1 FTE is the role of Director of Shared Services, vacant since 30 April 2016. No action will be taken to fill this vacancy by the Consortium. It is further noted that the role of Chief Science Officer will become vacant from 30 June 2016 due to an earlier tendered resignation. No action will be taken by the Consortium to fill this role.

Table 6 below sets out, relative to the Consortium Board approved 29.5 FTE headcount, summary information on the current status of personnel working at the Consortium Office to deliver on the Consortium Office's 2016 PoWB.

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<sup>9</sup> Co-chairs summary of the joint meeting, paragraph 36, accessible here:

<http://cgiarweb.s3.amazonaws.com/wp-content/uploads/2015/09/Co-Chairs-Summary-of-Joint-Meeting.pdf>

Table 6: CGIAR Consortium Staff (FTE) at 31 May 2016

FTE Category	Men	Women	Montpellier	Elsewhere	Actual FTE 31 May	Vacant 31 May	FTE Total
Consortium Office Staff	10	13	22	1	23	2.5	25.5
Temporary staff for transition (<= 1 year)	1	-	1	-	1	-	-
Fellows	1	2	3	-	3	1	4
					27		29.5

The CGIAR System Organization's Interim Executive Director will, upon taking up his role on 1 July 2016, be provided with a summary of actual staff sitting in roles as at that date.

Table 7 below provides summary information on the 5 FTE headcount engaged in supporting the current special initiatives work and who are linked to the Consortium Office through a contract (employment, consultancy or otherwise).

Table 7: CGIAR Special Initiatives/Project support at 31 May 2016

Project name	FTE Men	FTE Women	Montpellier	Elsewhere	FTE actual	Vacant	FTE Total
Open Access/ Open Data (and Virtual Information Platform)	0*	2	2		2	-	2
Gender in Research	2	1	1	2	3	-	3
					5		5

\*0.3 FTE of the Consortium's Senior Legal Officer is also billed to this project.

## 2.4 Human resources changes anticipated from 1 July 2016 as a result of the governance transition

At the same joint meeting in November 2015 referred to above, the meeting further agreed that:

*"The Fund Office should be closed at end June 2016, and staff choosing to relocate should be recruited by the System Office, for a two-year period. The Fund Office manager may hire short-term consultants during the transition period if required to replace staff leaving for new positions."*<sup>10</sup>

Based on recent discussions and in reliance on the terms of the agreed HR transition approach (staff to elect by 30 June 2016 as to whether they wish to transfer to take up a role with the

<sup>10</sup> Ibid, paragraph 37.

CGIAR System Organization), at 31 May 2016, the Consortium expects that two current employees of the Fund Office will join the new CGIAR System Management Office, with one person based in Montpellier (to support governance operations) and one person to work from Washington, D.C. (to support finance operations) and to be hosted by IFPRI. These roles are considered essential in view of the transfer to the CGIAR System Management Office from the Fund Office of key finance and governance support roles.

For the avoidance of doubt, these roles are not included in the information provided in table 6 above as arrangements were not firm at 31 May 2016.

Relevant to the text of the CGIAR System Organization Charter, and the role of the System Management Office stated therein<sup>11</sup>, the Fund Office's donor engagement roles are vacant at the time of writing of this report (both persons having left the Fund Office earlier this year for other opportunities), identifying a key capacity gap for the System Management Office from 1 July 2016, and one that is recommended to receive urgent attention by the new CGIAR System Management Board.

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<sup>11</sup> This document was finalized at the time of having before the Consortium the 10 June 2015 Charter.

Article 11 of the 10 June 2016 Charter identifies that the CGIAR System Management Office will have a role in system-level resource mobilization work as approved by the System Management Board.

### 3. Consortium management accounts to 31 May 2016

Table 8 sets out the 2016 approved budget, and the impact of the Fund Council's approval of a transition budget for the Consortium. At its 14<sup>th</sup> meeting, the Fund Council approved the amount of US\$ 6,614,000 from Window 1 to contribute to the Consortium Office's approved budget of \$7,166, 578.

**Table 8: Consortium approved budget 2016**

Budget Header	AEC	2016 Initial Budget	Reallocation January	Transition Budget	Reallocation February	Reallocation March	Reallocation April	2016 Amended Budget
Staff Costs	M100	4,230,136	(64,794)		(115,000)	(76,800)		3,973,542
Board Fees & Insurance	M120	273,270	-					273,270
Consultants	M150	1,508,701	(103,701)	60,000	(39,000)	76,800	(13,500)	1,489,300
Travel	M200	581,734	(30,734)	38,093	40,000	(1,050)	10,000	638,043
Building Management and Operational Costs	M350	160,600	85,500			48,900		295,000
Administrative Expenses	M300	217,137	93,729		34,000	(65,850)	3,500	282,516
Publications	M400	15,000	-			18,000		33,000
Partners	M600	-	-					-
Training	M700	-	20,000					20,000
Meetings	M750	180,000	-		80,000			260,000
Overheads	M800							
<b>Total</b>		<b>7,166,578</b>	<b>-</b>	<b>98,093</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>7,264,671</b>



Table 9 sets out a year-to-date summary of the Consortium's management accounts to 31 May 2016 (incorporating the expenditure at Consortium Board and Consortium Office levels).

**Table 9: Management accounts for the 5 months to 31 May 2016**

Budget Header	OCS relative	Total Amended Budget 2016 (\$)	Year-to-Date						Total Cost relative to Total Budget (%)
			Amended Budget Jan - May 2016 (\$)	Actual Expenditures (\$)	Commitments (\$)	Total Cost (expenditures and commitments) (\$)	Amended Budget minus Total Cost (\$)	Total Costs relative to Amended Budget (%)	
Board Fees & Insurance	M120	273,270	113,863	62,599	41,500	104,099	9,763	91%	38%
Staff Costs	M100+M700	3,993,542	1,663,976	1,601,219	7,361	1,608,580	55,396	97%	40%
Consultants *	M150+M600	1,489,300	620,542	236,023	366,387	602,410	18,131	97%	40%
Travel	M200	638,043	266,066	145,465	109,740	255,204	10,862	96%	40%
Building Management and Operational Costs	M350	295,000	122,917	57,620	36,131	93,751	29,165	76%	32%
Administrative Expenses	M400+M300	315,516	131,250	62,759	111,387	174,146	(42,896)	133%	55%
Operating Expenses	M800	-	-	-	-	-	-	0%	0%
Meetings	M750	260,000	108,333	34,731	(7,276)	27,455	80,878	25%	11%
<b>Total</b>		<b>7,264,671</b>	<b>3,026,946</b>	<b>2,200,417</b>	<b>665,230</b>	<b>2,865,647</b>	<b>161,299</b>	<b>95%</b>	<b>39%</b>

\* IAU commitment

#### 4. Financial projection to end December 2016

The following information provides a first draft of potential budget implications resulting from the transition of the Consortium Office and Fund Office into the CGIAR System Management Office. The estimate is based on assumptions as of 31 May 2016. It is recognized that the data underlying this material are subject to change as the transition continues to take shape. No adjustment therefore is made to the 2016 program of work, as this will require reflection from 1 July 2016, when the new CGIAR System Organization takes effect.

Referring to the information in table 10 (below), the following apply:

Staffing/personnel: The following three substantive assumptions are built into the modelling provided below:

- Costs for budgeted Internal Audit services are included in the line item “consultants” within the “expenses” category. For the purposes of this document, it is assumed that Internal Audit Unit will recover its full cost from service level agreements with Centers and the Consortium, and there will be no over expenditure.
- Personnel and operating costs for leading and managing the various Special Initiatives projects are covered by funds from the implementation of the respective projects.
- Staff seconded to the Consortium will continue to be seconded into the System Management Office.

##### January to June forecast

- Actual expenditures as of May 2016 plus forecast for June 2016
- Budget exchange rate for 2016 → US\$/€ 1.10, actual rate in May → US\$/€ 1.13

##### July to December adjusted preliminary budget

- July -December staff cost is adjusted for vacancies as at 1 July 2016
- Re-allocation from “staff cost” to “consultants” line to cover short term support
- No additional staff will be hired but continuing arrangements will be left in place
- Budget exchange rate for 2016 → US\$/€ 1.10, strengthening Euro tendency, no provisions included

##### Assumptions for System Management Office transition adjustments:

- No honorarium fees for Board members are included after 30 June 2016
- Staff costs: Interim Executive Director, redundancy payments, temporary legal support, transferring former Fund Office staff (1 position in 2016 one additional position located in Washington DC is covered by the World Bank until end of 2016)
- Relocation costs, relocation travel, and temporary living arrangements provided
- Office space rent and infrastructure in Agropolis to accommodate staff as a result of transition
- Ongoing travel and meeting participation
- No contingency is included

Based on these assumptions, the System Management Office year-end expenditures are provisionally projected at approximately \$0.3 million over the \$7,266,578 Consortium Board and Fund Council approved Consortium budget for 2016 (including the incremental amount for the transition budget).

**Table 10: Budget and year-end forecast for the System Management Office**

Budget Header	OCS Expense Category	Initial Budget 2016 <sup>(1)</sup>	Jan to Jun 2016 Forecast	Jul to Dec 2016 Adjusted CO Budget	SMO Transition Adjustments Assumptions	Year End 2016 Forecast	Actual 2015
W1 income		6,614,000	3,351,129	3,312,000	-	6,663,129	6,637,000
Transition income		98,093				98,093	
Internal Audit - unrecovered expenses			-	-	-	-	(697,000)
Income tax on salaries		232,657	90,245	119,412	23,000	232,657	142,000
Shared services		125,000	(32,500)	62,500	-	30,000	153,000
Foreign exchange		-	-	-	-	-	54,000
Cost recovery Special Initiative Projects		194,921	25,399	256,901	-	282,300	148,000
<b>INCOMES</b>		<b>7,264,671</b>	<b>3,434,273</b>	<b>3,750,813</b>	<b>23,000</b>	<b>7,306,179</b>	<b>6,437,000</b>
Board Fees & Insurance	M120	273,270	136,600	-	-	136,600	222,035
Staff Costs	M100+M700	3,993,542	1,965,136	1,688,064	371,405	4,024,605	3,614,425
Consultants	M150+M600	1,489,300	722,892	1,134,568	-	1,857,460	1,505,172
Travel	M200	638,043	306,245	293,755	20,000	620,000	590,941
Building Management and Operational Costs	M350	295,000	112,501	49,599	52,450	214,550	118,220
Administrative Expenses	M400+M300	315,516	208,975	185,225	2,000	396,200	228,929
Operating Expenses	M800	-	-	-	-	-	17,728
Meetings	M750	260,000	32,946	277,054	10,000	320,000	236,200
<b>EXPENSES</b>		<b>7,264,671</b>	<b>3,485,295</b>	<b>3,628,265</b>	<b>455,855</b>	<b>7,569,415</b>	<b>6,533,649</b>
<b>RESULT (- SURPLUS/LOSS)</b>		<b>-</b>	<b>(51,022)</b>	<b>122,548</b>	<b>(432,855)</b>	<b>(263,236)</b>	<b>(96,649)</b>

<sup>(1)</sup> Includes approved transition budget

## **Annex A - Lessons learnt and key risks – Finance, HR and Administration**

### **1. Staff security - tracking and establishing contact in case of emergency**

- Approximately 8-10% of CGIAR staff is travelling at any one time. Many of the mission assignments take CGIAR staff to areas which experience political or civil conflicts. In view of recent developments, a coordinated security framework and system to track travelers and to establish contact when on mission will gain importance. A travel tracker system is in place. If staff uses official channels for travel arrangements and updates travel tracker otherwise, this risk can be managed.
- CGIAR Staff Security Accountability Framework was developed but not formally approved across the CGIAR system.

### **2. Program vs. project funding and guaranteed base funding for donor approved CGIAR research programs**

- For the last 6 years the 15 CRPs (Genebanks is not included in the CRP definition in this context) struggled every year with obtaining confirmation of basic W1+2 funding before initiating the annual work program. Often Centers had to pre-finance work for the first 6 months. A better funding system is required.
- Today, bilateral projects are aligned with CRPs out of convenience (trying to obtain a piece of W1+2 or quasi unrestricted funds). A better approach might be to use W1+2 funds to leverage project funding aligned with the CRP objectives.  
If implemented, a potential conflict will need to be managed between CRP leveraging bilateral funds for its programmatic objective and Centers raising bilateral funds for the good of the Center programmatic objectives. They are not always aligned.
- If a CRP has its base funding approved by donors (W1+2 or 'unrestricted' as per the outline of the Financial Framework Document discussed during the transition meetings), the only additional contributions should come through leveraged project funding. This tacit agreement should exist for the period for which the CRP was approved.
- As a result of increased inter-Center activities, an indirect cost rate agreement is urgently needed across the CGIAR System. Today we are confronted with 1, 2 and 3-tier indirect cost rate approaches. The more tiers, the more complexity. Any revision to CGIAR's Financial Guidelines Series, No. 5 (*CGIAR Indirect Cost Allocation Guidelines, August 2001*) will need to address this, accepting that a 1-tier system will not work for all Centers.

**3. Back-end vs. up-front funding**

- If base W1+2 or unrestricted funding for a CRP can be confirmed early in the year (or, more optimally, for the period for which the proposal was approved) and no adjustments will take place towards the end of the year, Centers are perfectly able to pre-finance the work plan.
- It gets complicated when late in the year W1+2 or unrestricted funding changes from assumptions communicated through the annual CRP Financial Plan at the beginning of the year.
- Limited appetite exists during the first 6 months to drive the research agenda forwards and work implementation is concentrated into the period when a certain funding confirmation becomes apparent.

**4. Lack of operating as a CGIAR System – duplication and inconsistency**

- It has been recognized for a long period of time that operating as 15 independent research Centers might not be very efficient. Little progress has been made over the past 15 years to gain system efficiency. Good examples exist (pension and healthcare administration, library services, subscription services, publication services, e-mail and certain software IT services) but these examples are insignificant compared to the potential.
- A centralized approach would be more efficient, cost effective, easier manageable and more focused on research objectives aligned with CGIAR's Strategy and Results Framework.
- This would, without a doubt, be the most obvious and bold step towards streamlining research and administrative efficiency improvement, but at the same time the most debated and most difficult to be considered, if at all possible.

**5. Different hosting agreements in different countries (country offices not HQ)**

- Today it is not uncommon to see multiple hosting agreements between a country and different Centers. Often such hosting agreements exist with different Ministries. Often, interpretation of privileges is based more on convenience rather than on reality.
- Site integration is on the agenda, but should be divided between research coordination with local partners (including Ministries) and physical and administrative integration. The latter will only be effective if Centers are willing to accept leadership, finance, HR and administrative rules and contribute to resulting costs on a reimbursement basis.
- Site integration would immediately take place if a CGIAR centralized approach could be agreed upon.

**6. Contractual arrangements and management of certain partnerships**

- CGIAR works with an extensive network of partners and 20% of its funds are expended by such partners. Partners fall into the full spectrum of highly professional, financially secure and world leaders in their own right to, in some cases, not necessarily being the most stable, financially sound or best managed institutions, with capacity depending very much on the specific circumstances of such partner engagement.
- Increased requests for an improved due diligence process is evident in an attempt to mitigate the risk of working with those partners where capacity is not considered adequate. It is not clear that a one-sized enhanced due diligence approach is of benefit, since often political requirements or lack of alternatives outweigh the results of a detailed due diligence process.
- It might be more important to assure that gross negligence, corruption or simply lack of capability is avoided rather than having a detailed due diligence report.

**7. Tax compliance and tax at source level - national and international staff**

- Income tax related issues are becoming an ever more delicate subject. As the workforce becomes more global, and countries move towards worldwide income taxation. As governments try to maximize tax incomes to pay for social security liabilities, individual tax exemptions are being eliminated under the consideration that every individual should pay tax in one country. It will be important for CGIAR to stay abreast of key considerations, to be certain that it meets the minimum requirements of compliance.
- The issue of Internationally Recruited Staff ('IRS') vs Expat benefits, particularly as it relates to taxes, is also a matter that would benefit from consistency across the Centers. Particular considerations may also apply to IRS living and working in their home country – giving rise to potential taxation questions that are not yet in the consideration of the Center or the staff member. National staff are often assumed to be tax exempt (at home HQ duty stations).

**8. Program and project management capability of senior scientists (not scientific knowledge)**

- It has been recognized that Program/Project Management has become a fundamental requirement across the full scope of CGIAR System positions.
- Are our senior scientist well trained to manage complex multicultural and multi-geographic programs and projects?
- Is CGIAR providing appropriate training for leaders to assume management responsibilities of programs/projects that involve millions of public funding?
- Is the selection process for Senior Scientists focusing appropriately on capacity or experience in managing staff in the complex CGIAR environment?

## Annex B - Resource mobilization/stakeholder engagement moving forward

### 1. Delivering on the promise of RM efforts

There is still no coordinated and integrated approach to resource mobilization ('RM') for the system. While centers will mobilize bilateral funding, there is no clear 'drive' to mobilize resources for the portfolio, the system, and particularly the common pool windows – or to approach new donors. Whilst a key element of the Fund Council's 2015 April transition decision – a focus on multi-year predictable funding through a targeted approach - this has not been addressed on the eve of the organizational transition from the Consortium to the CGIAR System Organization taking effect. It needs to be a priority for the new System Council and System Management Board.

Despite an attempt by Fund Office to initiate a multi-year fund drive in 2015, and subsequent engagement with the Senior Steering Group on RM, RM efforts continue to be disjointed through the multiple entry points to the topic, against the expectation that there would have been much earlier harmonization of the RM efforts between the Consortium Office and the Fund Office, and in close cooperation with the RM community of practice (RM-CoP) to ensure a cost effective approach to reaching out to new and existing donors. This will imply a "replenishment-like" investment campaign with ambassadors / champions and, we would recommend, a resource mobilization / development committee/working group operating under the authority of the System Management Board.

Building upon learnings from the RM-CoP work in 2015, the Consortium Office has developed the future System Office's Salesforce Customer Relationship Management (CRM) database with Centers, so as to set up targeted short-term (2016-17) and mid-term (2017-22) RM/business development strategies with existing and future investors.

To communicate the value of CGIAR investments and thus support broad resource mobilization efforts, the Consortium has prepared an early version of an 'Investment Case document' and value-for-money analysis to support ongoing resource mobilization efforts as the new System Organization takes on broad responsibility for these actions. The purpose of the Investment Case document, as set out in its introduction, is to provide a tool kit of information on which to develop targeted donor engagement materials.

#### Our vision:

- 0-6 months:
  - Secure 2016 W1/2 funding
  - Staff an RM team in the System Office, under or connected with Strategic Partnerships
- 6-18 months:
  - Secure 2017 W1/2 funding and beyond
  - Reactivate the multiyear fund drive by launching a "replenishment-like" investment campaign that attract traditional and new investors

## **2. Delivering on the promise of raising the profile of CGIAR as a valued partner**

Strategic partnership work of the Consortium has primarily focused on organizations that requested stronger links with the CGIAR system as whole, often after having had bilateral relations with one or more centers (and seeking an opportunity to work with the system rather than expand their bilateral links to most or all of the 15 centers). This has increasingly included the private sector, bilaterally with several major companies and through their global networks (e.g. World Business Council for Sustainable Development, the World Economic Forum).

In addition, there is ongoing work focused on accreditation of the Consortium with the UN system in general, and UNFCCC and the new Green Climate Fund in particular<sup>12</sup> (with ambition to mobilize substantial investment in science-based solutions for climate and agriculture), and strengthening linkages with the private sector. It is clear from the work with these external partners that there is considerable scope, complementary to such work at Center level, for strategic partnership work at the system level.

Over the past 2 years, the Consortium Office has kept increasing the visibility and presence of CGIAR high level representatives (CGIAR Consortium CEO and Center Director Generals) in international events. The Consortium organized a first CGIAR Development Dialogues during the UN General Assembly and Climate Summit in September 2014, and a successful high level side-event in UN HQ during the UNGA in September 2015 when the SDGs were adopted.

The Consortium also invested much time and energy in the link between agriculture and climate change, in close collaboration with CCAFS, and (in 2015) the French government in preparation for and follow-up of COP21.

### Our vision:

- 0-6 months:
  - Finalize Green Climate Fund accreditation process
  - Ensure CGIAR high visibility in prep for and implementation of COP22
  - Prepare guidelines on private sector engagement for the CGIAR system
- 6-18 months:
  - Establish Green Climate Fund projects pipeline
  - Explore topics (e.g. nutrition) where CGIAR can develop recognition as a valued partner
  - Increase private sector engagement across the research portfolio

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<sup>12</sup> The CGIAR System Management Office will ensure that necessary notifications to these external partners of the transition from the CGIAR Consortium to the CGIAR System Organization does not jeopardize the ongoing notification processes. The time of such notifications and the language contained therein will be carefully reviewed before being dispatched.



### 3. Budget and staff implications

Beyond the existing strategic partnerships team, both resource mobilization (non-resourced so far in terms of finance and staff, with the former Fund Office personal taking up other employment opportunities in the first half of 2016) and private sector engagement will require additional resources.

The proposal is as follows:

- 0-6 months (2016):
  - RM Team: 2 additional staff with immediate effect to replace the departed Fund Office team to work on donor development:
    - Communications and Development Director or Senior Manager
    - Resource mobilization analyst (incl. management of the Salesforce CRM System Database)
    - Additional budget for 2016: US\$ 100,000 for resource mobilization-related travel of the System Management Organization (including System Management Office leadership/staff and engagement of System Management Board)
- 6-18 months (2017 – 2018):
  - RM Team: 2 additional staff to undertake the investment campaign and further a continuous 3-year “replenishment-like” process
    - “Replenishment” Manager
    - Junior Officer tasked with “replenishment” communications and events organizations
    - Additional budget yearly: US\$ 500,000 including “replenishment-like” campaign and related events
  - Private sector engagement:
    - Private sector engagement officer (Strategic Partnerships Team)
    - Additional budget yearly: US\$ 100,000 for travel, consultancy and engagement workshops