



Strategic study of good practice in AR4D partnership



CGIAR

Independent
Science and
Partnership
Council

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EXECUTIVE SUMMARY

The CGIAR is currently in a state of transition from its historical role in addressing defined agricultural technology problems, to engagement with strategic partnerships addressing systemic change challenges of the type defined by the Sustainable Development Goals (SDGs). This review explores good practice in multi-stakeholder partnerships (MSPs). Its purpose is to assist the CGIAR in identifying effective practices and strategies in the rapidly evolving context of stakeholders and global development initiatives. Part of the context is that the CGIAR has recently linked its System-Level Outputs (SLOs) to the achievement of the SDGs. This has implicitly signalled the need to embed its work within the wider architecture of partnership, platforms and networks that will be required to tackle global scale challenges.

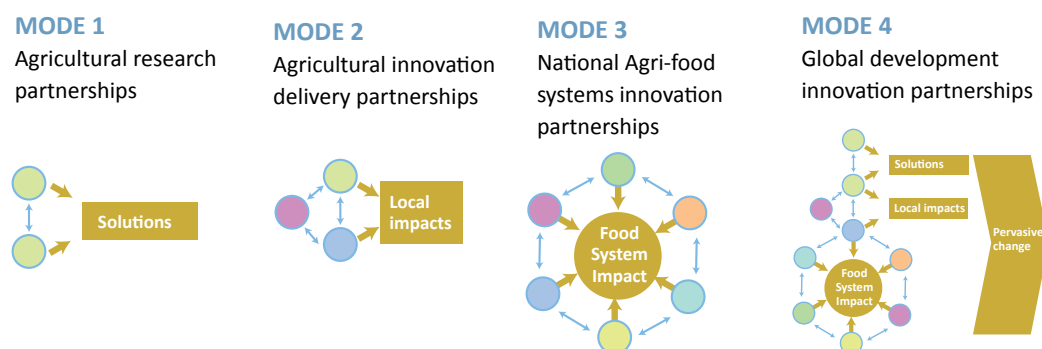
To assist the CGIAR in identifying effective practices and strategies in the rapidly evolving context of stakeholders and global development initiatives, this study examines MSP practice in two distinct domains with contrasting practice traditions and impact aspirations:

Agricultural Research for Development (AR4D) approaches. MSP practice is informed by historical views on how impact takes place: solving isolatable technical problems and transferring results, farmer empowerment, and, more recently, innovation systems. Aspirations are towards strategic partnerships that contribute to the SDGs and the systemic change impact pathways that these imply.

Global MSPs approaches. MSP practice is informed by a tradition of action rather than research. Many of the global MSPs are virtual organisations of relatively recent origin. These have either been conceived as interventions with systemic change impact pathways, or have evolved into this position through trial and error. Global MSPs are seen as key intervention strategies to progress the SDGs.

The report uses a framework of Partnership and Innovation Modes (PIMs) illustrated as follows:

Figure 1. The framework of Partnership and Innovation Modes used in this report



CURRENT PATTERNS OF PRACTICE

In the AR4D domain the majority of efforts appear to have been invested in establishing community level innovation platforms. These are largely disconnected from platforms and other groups at high scales. Impacts are at local scales and often restricted to project cycle funding. There are understandable reasons for why the emphasis has been placed at the local level. This is ultimately where impact needs to happen and this is a key operational interface. However, without any architecture linking these platforms to higher-level platforms, these have little scope for tackling overarching policy and institutional constraints or aligning with longer-term (and wider-scale) development goals and plans.

In the global MSP domain the following features are observed:

- There are multi-layered platforms, but most, critically, are locally-embedded platforms that focus on immediate local issues (including local policy dynamics) but are linked to a global platform that shares information between different regions.
- The global platform, in addition to acting as an information sharing facility, has a critical role in mediating between the need to muster support for immediate development issues as well as being part of the process of setting the longer-term agenda for global priorities. In some cases this is about setting the longer-term research agenda, in others about setting a good practice agenda or standards. In yet other cases it is about setting investment priorities or helping to frame or monitor global development plans.
- The subsidiarity principle is key to the effective operation of these multi-scale operations. Stakeholders and platforms at different system levels have comparative advantages at certain levels. This helps avoid crowding out of capacity development of local and intermediary scale actors by international agencies.

Generally these MSPs are less like a multi-scale bureaucracy and more like a club or community of

practice. This is important as it allows such initiatives to act as a genuine platform, allowing a variety of stakeholders to engage as and when appropriate and in ways amenable to different types of actors: e.g., public vs private sector engagement modes.

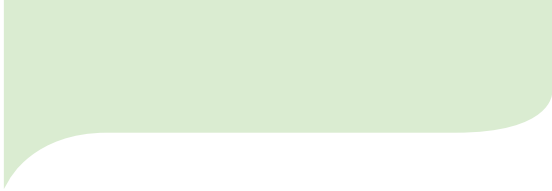
IMPLICATIONS AND MESSAGES

Complexity and the need to address systemic change challenges are going to be guiding forces in global development efforts in the coming years. The framing of the SDGs gives both focus and urgency to the direction of partnership practice. Strategic considerations for the AR4D community include:

Strengthening existing and emerging MSP platform architectures. Architectures linking local to global scales are key to achieving impacts at scale and as a way of reconciling immediate and long-term development agendas. Often the building blocks of such architecture already exist. The priority is to ensure that efforts at different levels articulate, rather than establishing new parallel and competing arrangements.

Clarify roles within emerging architectures. The principles of comparative advantage and subsidiarity are going to be key, both in terms of effectiveness and in terms of capacity building. This is a particularly important consideration for international agencies. In many ways these emerging global architectures represent a new world order in which they need to find an appropriate route of engagement and this in turn might mean a reframing of roles and responsibilities. The same applies to the roles and responsibilities of the public, private, and tertiary sectors in these arrangements.

Strengthen learning, strengthen capacity building. Engaging with complexity means engaging with uncertainty. Arriving at modes of practice that are effective in addressing system challenges are, therefore, by their very nature always going to be experimental. A key priority for building capacity is going to be strengthening learning in and around MSP practice. The development of appropriate (and widely accepted) evaluative and analytical



frameworks to help assess partnership performance is important. Agricultural research organisations could and should play a much stronger role in developing these frameworks.

Strengthen change mechanisms. Lessons and experiences from the ongoing evaluation of MSP practice suggested above need to be translated into practice change. This needs to be aligned with and embedded in change mechanism that seek to reform and evolve the role and capacity of agricultural research organisations.

SPECIFIC MESSAGES FOR THE CGIAR

Partnership and innovation modes provide a framework for exploring and strengthening partnership practice. Different problem and impact setting require different PIMs. These range from research partnerships tackling knowledge discovery through to highly complex partnership architectures tackling global issues framed by the SDG. All of these PIMs are valuable. The ability of these different modes to contribute to sustained impacts at scale, however, are contingent on effective integration and articulation mechanisms. Recognising these different modes of partnership and their interrelatedness provides a lens to explore innovation and partnership practice and the role of the CGIAR and other international research organisations in the SDG era.

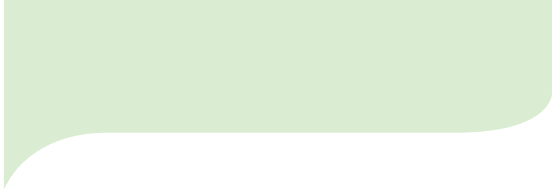
Impact at scale means systemic change. Many of today's food security and development challenges are systemic in nature. A systemic change agenda is explicit in the framing of the SDGs. All international agencies including the CGIAR are going to need proactively engage with the realities of this. Engagement with multi-scale interlinked MSPs will be central to this.

Engaging with systemic change means engaging in new partnership architectures. The CGIAR and other international agencies do not need to and should not create their own MSP architectures linking local to global levels. The CGIAR and others may well need to organise local level innovation platforms or national level policy dialogues. Such

activities will only be useful, however, if they are implemented cognisant of wider systemic change processes. This will require explicit efforts to find ways to articulate action and agendas among MSPs at different scales. Critical to this will be the ability of the CGIAR and others to identify existing architectures or backbone structures and to contribute to these constructively in supporting or leading roles.

The CGIAR will need to play different roles at different levels in global MSPs. The emergence of global MSPs as a core approach of SDGs efforts provides a useful opportunity for the CGIAR to clarify its role in different levels of MSPs that reflect its core strengths and mandate. As it shifts to a more strategic partnership model, its role as a service provider and trusted advisor role will need to increase. This does not mean that its existing mode of using MSPs to test and develop foundational science and practice is redundant. Quite the contrary, this role, if effectively linked to MSPs, becomes a critical component of knowledge application and systemic change agendas.

Establishing the scientific basis to link MSP practice with impact. Innovation systems and related systemic change concepts make a strong theoretical case for an impact pathway premised on the more effective interplay between patterns of partnership, institutions and policy. The development of a framework to better understand this and the creation of an evidence base of what works and how is of particular importance to the CGIAR as a science organisation. The CGIAR has a core knowledge role (IPGs) in helping understand how innovation and impact processes work and the nature of effective practice. In addition, its ability to contribute to impact needs to be grounded not only on understanding how this process works, but also on developing and adopting practices that enable it to do so. Understanding the health of the wider system in which it operates, and the ability to ensure the continuous improvement of innovation and partnership practice at Centre, MSP and System level that this reveals, are thus central to the CGIAR's Theory of Change.



Donor support for better evaluation and learning. In a shrinking funding environment for the CGIAR, and AR4D generally, there is an increasing political need for donors to show evidence of impact from project and program funding. This is particularly challenging for agricultural research, where impact pathways are often long run and complex. The tension between short-term impacts and long-term capacity building of systems for impact at scale is most keenly felt in MEL conventions. Part of the challenge here lies in the fact that while donors are starting to acknowledge the importance of systemic change as a route to impact at scale, frameworks that would allow progress to be monitored and re-

ported with any degree of confidence, are absent. More accurately, an “industry standard” on how to do this has yet to be co-developed and yet to gain wide stakeholder legitimacy. Donors could consider partnering with the CGIAR in developing such a framework. It would help to upgrade CGIAR impact performance, and reduce the risk of donors investing in the process of partnership and innovation with little chance of impact success.



COMMENTARY FROM THE INDEPENDENT SCIENCE AND PARTNERSHIP COUNCIL

The ISPC role on “partnerships” (<http://www.ispc.cgiar.org/mobilize>) includes: *“Develops strategic thinking on effective partnerships in the R&D continuum to enhance the organizational relevance, effectiveness, and global impact of agricultural science to meet developmental goals”*. The Mid-Term Review of the CGIAR system identified the need for strategic partnerships that will enhance the capacity of agricultural research to support transformational change as one of the five big challenges facing the CGIAR. Research is needed to develop a conceptual framework for understanding the relationship between partnerships and development outcomes.

The ISPC’s Strategic Study of Good Practice in AR4D partnership intends to address this knowledge gap. It builds on the prior work of the ISPC in analysing the pathway between research and system-level outcomes (or SLOs), focusing specifically on partnerships and modalities that will help move the CGIAR work towards contributing to specific implementation and impact pathways. The study combines two areas from the ISPC’s priority list of topics, namely, partners for impact and the role of boundary organisations in enhancing CGIAR research.

The study defines partnerships relevant to AR4D as a *sustained multi-organizational relationship with mutually agreed objectives and an exchange or sharing of resources or knowledge for the purpose of generating research outcomes (new knowledge or technology) or fostering innovation (use of new ideas or technology) for practical ends*.

The Strategic Study is co-authored by two independent consultants, together with a member of the ISPC Secretariat. It addresses the increasingly complex setting in which agricultural research operates, i.e. in a rapidly evolving context of stakeholders and global development initiatives. It explores different innovation and partnership modes across two distinct framings: 1) Agricultural Research for Development (AR4D); and 2) Global multi-stakeholder approaches.

The approach adopted in the Study was to review best practice from: 1) published literature, CGIAR reviews, evaluations and policy documents; 2) partnership strategies and guidelines from other development organisations; 3) papers on Agricultural Innovation Systems from other development and research organisations; and 4) meta-reviews of global multi-stakeholder program practice and lessons.

Innovation and partnership modes are assessed across different impact domains, to illustrate the increasingly complex setting in which agricultural research operates. The Study aims to assist the CGIAR in identifying effective AR4D partnership practices, roles, and strategies in a rapidly evolving context of stakeholders and global development initiatives.

A key finding of the Study is the increase in the number of partnerships involving multiple stakeholders (Multi-Stakeholder Partnerships or MSPs) in the international development arena. The ISPC saw some indication of this in the proposals submitted by the CGIAR Research Programmes (CRPs) and the review of literature provided in Annex 1 to this Study provides further evidence to confirm this. The Study findings indicate that the trend is being driven by the interest of development investors in showing clear pathways from research to development outcomes.

The Study suggests a typology of four distinct Innovation and Partnership Modes. The relative importance and roles of the different modes will vary according to context, but the ISPC believe this typology could provide a framework for assessing the likely effectiveness (*ex ante*) of partnership strategies with respect to theories of change for research programmes. An outline of the Modes follows:

- *Partnership and Innovation Mode 1* – Research consortia: Priorities framed by public policy imperatives or by private industry sponsored funding.
- *Partnership and Innovation Mode 2* – Delivery: Priorities framed by the convergence of technology push from research, demand pull from farmers and markets, and by public policy imperatives.
- *Partnership and Innovation Mode 3* – Food/Agri system: Priorities framed by negotiation between public and private sectors and articulated in national development plans.
- *Partnership and Innovation Mode 4* – Global development: Priorities framed by global negotiation and agreement in the SDGs.

The Study's key findings are summarised below:

- Many of today's food security and development challenges are systemic in nature. A systemic change agenda is explicit in the framing of the SDGs and the SLOs of the CGIAR. All international agencies, including the CGIAR, will need to proactively engage with multi-scale, inter-

linked MSPs in order to effectively achieve the scale of impacts needed to reach these stated objectives.

- Recognising and categorising different Innovation and Partnership Modes and their functions in terms of delivering development outcomes is an important tool for building capacity for strategic partnerships for CGIAR international research organisations in the SDG era. The ability of these different modes to contribute to sustained impacts at scale, however, is contingent on effective coordination mechanisms.
- Operating solely through either local or global MSP platforms will be insufficient for the work of the CGIAR to effectively contribute to systemic change and impact at scale. The proliferation of partnerships is a major challenge, since it can lead to ineffectiveness and costs. Thus the study concludes that new alliances amongst partners, rather than new partnerships, is likely to be a more effective strategy.
- Key components of good practice for MSP include: 1) the development of partnership architectures that link local to global scales; 2) clear definition of partner roles in the overall MSP structure; 3) capacity for evaluating partnership performance; and 4) capacity to update and adjust partnership roles and structures based on lessons learned.

The ISPC sees this Study as a first step in developing clear guidance for strategic partnership practice in the CGIAR system. The categorisation of Innovation and Partnership modes into four distinguishable categories could be useful in assessing current partnerships structures in the CGIAR and identifying opportunities for improving them. The report also provides an initial proposal for the potential role of CGIAR for each of the different Innovation and Partnership Modes which could be of potential interest to CRP leadership teams in assessing their partnership portfolio and making changes to enhance their strategic value.

However, the Study does not fully incorporate some of the important information summarised in Annex 1 which could have enriched the findings

and discussion in the main document – and which can be picked up in further work in this area. The Study makes the point that the “nuts and bolts” of partnership efforts have been well studied and that focusing on this aspect could detract from a broader systemic analysis and for this reason does not go into such details, but nonetheless some systemic recommendations from the operational analysis would be useful. For example, from the review it is clear there has been a long and in depth discussion about partnerships in all parts of the CGIAR system – and yet there is still considerable weakness in the partnership strategies of many of the System entities, as well as the System as a whole. This contrast between discussion and actual results is quite striking and clearly an important issue to address in achievement of successful strategic partnerships by the CGIAR. The Study could also have benefited from more focus on the findings across several reviews of the sources of problems with partnerships and provided more insights on how to avoid them. For example, the problem of partnerships being considered an end in and of itself, rather than the means to achieving an end (such as development outcomes) is highlighted in several of the reviews provided. This is found to create burdensome transactions costs, with little benefit. Greater insights into how to avoid this problem should be addressed in subsequent studies.

A second issue raised in the review that needs further attention in future work on this topic is the issue of developing a system-wide partnership strategy and the implications of this for the nature of the partnership strategy individual Centres and CRPs should pursue. This is an essential issue for the development of effective and strategic partnerships in the CGIAR System. A system-wide strategy for partnership was envisioned in the CGIAR Consortium Office Strategy and Results Framework Management Update December 2013. A detailed analysis of this proposal in light of the results of this Study is needed. The review in Annex 1 and the analysis presented in the study itself indicate the lack of capacity of individual entities in the System to engage in, manage and benefit from partnerships – and thus the need for system-level sup-

port. The review also indicates fairly mixed results in terms of the partnership strategies employed by the individual Centres and CRPs and more concrete analysis of what exactly is, and is not, working and how that can be addressed within a broader system-wide partnership strategy is needed. In this analysis it will also be important to consider the issue of strategic partnering with donors and global initiatives at various levels of the System.

The Study and review of literature make a very clear point that achieving successful and strategic partnerships requires good monitoring and evaluation capacity. More detail on what exactly that could and should entail, including some ideas on what actually has been successfully implemented is needed in further work in this area. Additional work is also needed on differentiating good M&E practice across the partnership modes.

The present Study has therefore provided a good basis for pursuing this important area of work on partnerships and innovation, and also points to key areas where the ISPC can direct its future work. These can be summarised as follows:

- The CGIAR’s ability to contribute to impact needs to be grounded not only on understanding how this process works, but also on developing and adopting practices that enable it to do so. The development of a framework to better understand this and the creation of the scientific basis to link MSP practice with impact is thus of particular importance to the CGIAR as a science organisation.
- Analysis of, and a framework for, building an effective partnership strategy for AR4D within the contours of the current CGIAR System.
- Facilitation of a community of practice on “partnerships for impact” to facilitate system-wide agreement on a common framework and standards in the monitoring and evaluation of AR4D partnerships.

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LIST OF ACRONYMS

ADR

Aggregate Development Results

AFS

African Food Security Initiative

AR4D

Agricultural Research for Development

ASARECA

Association for Strengthening Agricultural Research in Eastern and Central Africa

AU

African Union

AusAID

Australian Agency for International Development

BMGF

Bill and Melinda Gates Foundation

CAADP

Comprehensive Africa Agriculture Development Programme

CASE

Competitive Agricultural Systems and Enterprises

CBO

Community-Based Organisation

CEO

Chief Executive Officer

CIAT

International Center for Tropical Agriculture

CIDA

Canadian International Development Agency

CIGs

Concertation and Innovation Groups

CORAF/WECARD

West and Central African Council for African Research and Development

COS-SIS

Convergence of Science Strengthening agricultural Innovation Systems

CP

CGIAR Challenge Program

CPWF

CGIAR Challenge Program on Water and Food

CRP

CGIAR Research Program

CSIRO

Commonwealth Scientific and Industrial Research Organisation

CSO

Civil Society Organisations

DAC

Development Assistance Committee of the OECD

DFAT

Department of Foreign Affairs and Trade (Australia)

DFID

Department for International Development, UK

DONATA

Dissemination of New Agricultural Technologies in Africa

EU

European Union

FANRPAN

Food Agriculture and Natural Resources Policy
Analysis Network

FAO

Food and Agriculture Organization of the
United Nations

FARA

Forum for Agricultural Research in Africa

GAIN

Global Alliance for Improved Nutrition

GAVI

Global Alliance for Vaccines and Immunization

GFAR

Global Forum on Agricultural Research

IAR4D

Integrated Agricultural Research for
Development

ICRISAT

International Crops Research Institute for the
Semi-Arid Tropics

IFAD International Fund for Agricultural
Development

IFC

International Finance Corporation

IFDC

International Fertilizer Development Center

IFPRI

International Food Policy Research Institute

ILRI

International Livestock Research Institute

INGO International non-governmental
organisation

IPGs

International Public Goods

PIM

Partnership and Innovation Mode

ISPC

Independent Science and Partnership Council
of the CGIAR

KARI

Kenya Agricultural Research Institute

M&E

Monitoring and Evaluation

MDGs

Millennium Development Goals

MEL

Monitoring, Evaluation and Learning

MSC

Most Significant Change

MSP

Multi-stakeholder Partnership

MTR

Mid Term Review

NARS

National Agricultural Research System

NEPAD

New Partnership for Africa's Development

NGO

Non-Governmental Organisation

NRM

Natural Resource Management

ODA

Official Development Assistance

ODI

Overseas Development Institute

OECD

Organisation for Economic Cooperation and
Development

R4D

Research for Development

RBM

Roll Back Malaria

REC

Regional Economic Community

SADC

Southern Africa Development Community

SDGs

Sustainable Development Goals

SLOs

System-Level Outputs

SSA

Sub-Saharan Africa

SSACP

Sub-Saharan Africa Challenge Program

ToC

Theory of Change

UN

United Nations

WB

World Bank

WEF

World Economic Forum



1 INTRODUCTION

This review explores good practice in multi-stakeholder partnerships (MSPs) in the context of addressing global development challenges. Its purpose is to assist the CGIAR in identifying effective practices and strategies in the rapidly evolving context of stakeholders and global development initiatives.

Part of the context for this review is that the CGIAR has recently linked its System-Level Outputs (SLOs) to the achievement of the post-2015 Sustainable Development Goals (SDGs). The SDGs articulate the series of complex problems facing the world today (<https://sustainabledevelopment.un.org/?menu=1300>). Addressing these will require systemic change: transformative, systems-wide innovation involving interlinked technological, institutional and policy change across scales (see Box 1 for definition of systemic change). This is a critical reframing of the CGIAR. By explicitly linking its outputs (and performance) to a globally agreed and developmentally-framed set of goals, it has implicitly signalled the need to embed its work within the wider architecture of partnership, platforms and networks that will be required to tackle the global scale challenges articulated in the SDGs.

BOX 1. DEFINING OF SYSTEMIC CHANGE

There are many definitions of systemic change. Perhaps the most broadly valid definition is “change that pervades all parts of a system, taking into account the interrelationships and interdependencies among those parts.” It is useful to distinguish systemic change from piecemeal change. Piecemeal change entails changing one or several parts of a system. If the changes are compatible with the rest of the system, they will often be successful, like replacing blackboards with whiteboards. The terms most commonly used for this kind of change are “reform” (though it does not actually re-form the system) and “restructure” (though it does not actually re-structure the system). If the changes are

not completely compatible with the rest of the system, their success depends on related changes in the other parts of the system.

Systemic change recognises those interdependencies and makes the necessary changes in those other parts and their interrelationships. Actually, piecemeal change and systemic change are endpoints on a continuum, and the extent to which a change is systemic depends on the extent to which the changes are incompatible with the current system, and therefore the extent to which the changes are both fundamental (i.e., they require a complete change in each part) and pervasive (i.e., they occur throughout all parts of the system).

Source: <https://systemicchange.wordpress.com/systemicchange>

At the same time the CGIAR has declared itself one of the world's leading publicly funded Agricultural Research for Development (AR4D) partnerships (CGIAR, 2015). This is also a critical reframing of the CGIAR and part of a longer-term evolution of the organisation as it seeks to improve its impact orientation. The term AR4D is rather ambiguously defined. It implies, however, that (i) research will be planned and executed as part of development plans and processes that have impact at scale (Mbabu and Ochieng, 2006); and (ii) research will be deployed as part of a multi-dimensional (technology, practice and policy), multi-scale systemic innovation process (Hall *et al.*, 2012). An AR4D orientation therefore flags a transition from a role of planning and leading research, to a role of contributing to wider innovation processes where partnership modalities are critical.

Alignment to global scale development frameworks such as the SDGs, and the recognition of the need to engage in wider innovation and impact processes, indicate significant transition in the CGIAR. The Mid-Term Review panel of the CGIAR reform (CGIAR, 2014) points out that the one of central challenges to this “transformation” will be the CGIAR's ability to embed itself in “strategic partnerships that will lead to the delivery of the agricultural research required to transform agriculture to meet nutritional requirements and a food secure future” (*ibid*).

This opens up a raft of questions about the nature and modality of partnerships that the CGIAR will need to engage in. Of course, partnership is not a new idea in the CGIAR. A series of centre- and systems-wide reviews going back more than a decade have variously called for the CGIAR to rethink its partnerships and the strategic role these may play in delivering its mandate. The CGIAR has responded to these calls and has developed considerable experience of partnerships with the private sector, NGOs and governments. As this review will illustrate, however, experiences have been mixed and these MSPs have often been framed as an expedient way of tackling local development issues and opportunities, and achieving quick, but often small-scale impacts.

To make a coherent contribution to the innovation process – with the local to global dimensions implied by the SDGs – the CGIAR's approach to partnerships will need to evolve. This almost certainly means finding a way to engage effectively with a range of global MSPs. This, in turn, is likely to have implications for the role the CGIAR plays in global development efforts.

The purpose of this review and the accompanying annotated partnership bibliography (Annex 1) is to synthesise emerging patterns of good practice in MSPs, to derive some general principles of engagement and to discuss some of the implications for CGIAR practice and positioning.

The approach of this literature review is to look at current AR4D MSP practice as well as to look at Global MSPs for Development practice framed by systemic challenges. Whilst we recognise that there are many shades of grey between the two, we present them as a dichotomy to highlight similarities, differences, shared challenges, and opportunities. We characterise these two different groupings of MSPs as follows:

Agricultural Research for Development MSPs. Building on a long tradition of the progressive adoption of partnership approaches in the CGIAR and the international agricultural research community more generally, a range of mechanisms has been used in recent years to better interface research with a wider set of stakeholders involved in the innovation process. This is founded not only on the inclusive traditions of participatory research, but also on the emerging tradition of innovation systems including public–private sector partnership imperatives (Adekunle and Fatunbi, 2012). This has found operational expression as innovation platforms (Nederlof *et al.*, 2011b). Innovation platforms have often been local level MSPs to help better use research products and expertise in local development processes. Innovation platforms have also been used to some degree at national and international scales with varying degrees of success. However, their key feature is that they have been initiated and often led by agricultural research organisations as a way of addressing concerns about

the impact of research investments.

Global MSPs for Development. Over the past two decades there has been enormous growth in collective action for international development, much of which has been based on establishing new global partnership organisations and initiatives (Patscheke *et al.*, 2014). The reasons given to explain their growth include recognition that the scale and complexity of major global challenges cannot be addressed successfully by single actors, a decline in confidence in established aid structures and business models, the rapid spread of new technologies, and increasingly well-organised and effective advocacy on specific issues by NGOs. The operational expression of these global MSPs varies from lofty platforms with little connection to ground realities, to truly multi-scale architectures that link global and local agendas and global initiatives to local expression and impact (*ibid*). Organised around

development challenges rather than research problems, the initiators and leaders of these global MSPs are quite diverse. In light of the emergence of the SDGs as a framing for the global development agenda, this modality of partnerships is likely to play an increasing role in future.

To aid this analysis a framework is developed to explore different modes of partnership and innovation relevant to problem that sit on the continuum from defined problem to complex problem requiring systemic change. This is used to map where AR4D is currently sitting and the changes in partnership strategy that the CGIAR will need to consider in its future efforts to align to the SDGs. The same framework is used in the concluding section of the report to consider the roles and comparative advantage of the CGIAR in different partnership and innovation modes in the future.



2 MULTI-STAKEHOLDER PARTNERSHIPS: DEFINITIONS AND RATIONALE

2.1 DEFINITIONS

This review has explored scholarship on MSPs in both the AR4D literature, and in the wider international development literature. What emerges is a confused picture. It is difficult to be definitive about when the term MSP gained currency. There are overlapping and contradictory rationales and ambiguous and contrasting definitions emerging from different fields of practice and schools of research. The picture is muddled further by the difficulties of evaluating partnerships in general, and MSPs in particular (Horton *et al.*, 2009; Bezanon and Isenman, 2012). This is largely an issue of lack of agreement on evaluative criteria and methods, which is in turn largely an artefact of different disciplinary perspectives of authors. For example, Horton *et al.* (2009) state that studies of partnership (and therefore their definitions) tend to reflect the concepts, methods and priority issues of their authors' home disciplines.

Picciotto's (2004) definition gives a sense of the spirit of partnership, stating that:

"Partnership is a means to an end – a collaborative relationship toward mutually agreed objectives involving shared responsibility for outcomes, distinct accountabilities, and reciprocal obligations. Where there is no common vision of what the partnership is about, no mutual stake in the outcome, lack of clarity in task allocations, or imbalance in influence and unfairness in allocation of costs and benefits, the partnership is hollow."

Despite this confusion over the definition of partnership, it is clear that MSPs represent a specific form of partnership. They concern structured alliances of stakeholders from public, private and civil society sectors. These include companies, policy makers, researchers, a variety of forms of NGOs, development agencies, interest groups and stakeholders from local, national, regional and international governance regimes. A key feature is the dissimilarity of partners. This is qualitatively and functionally different from research or business partnerships, where similar stakeholders pool together resources and action to address goals within their collective control.

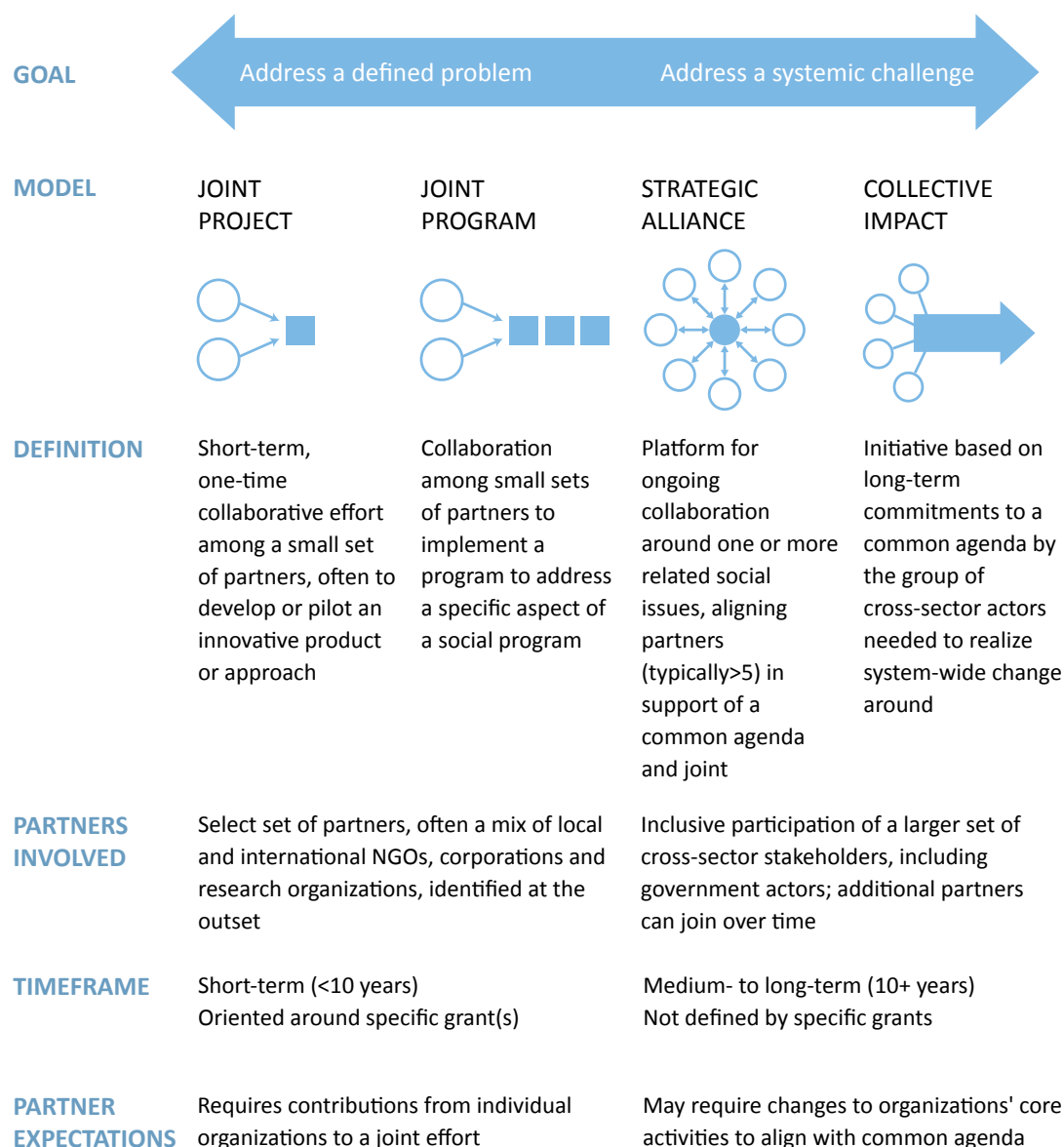
2.2 RATIONALE AND TYPES OF PRACTICE

The rationale for forming MSP groupings varies considerably in the literature. It can, however, be categorised as follows:

- **Economic efficiency:** Value for money can be achieved by building alliances between stakeholders who can play to their comparative advantage (Echeverría and Byerlee, 2002).
- **Inclusiveness and governance:** Partnerships are mechanisms for ensuring that notions such as “inclusiveness”, “participation” and “voice” are addressed in the design and implementation of interventions (Malena, 2004).
- **Complexity, “wicked” problems and systemic change.** Many development challenges sit at the interface of professional, organisational, sectoral, and national boundaries and are systemic in nature. The accompanying recognition is that a wide range of stakeholders needs to be involved in systemic change, which involves technological, institutional and policy innovation at multiple levels (Befani *et al.*, 2015; Burns and Worsley, 2015).

The operational manifestation of MSPs also reveals different forms of practice. Peterson *et al.* (2014) argue that the form of partnership adopted depends on whether the goal of the MSP is more concerned with addressing defined problems or whether it is concerned with addressing systemic problems (Figure 2).

The MSP practices that address systemic problems are particularly relevant to this review. The CGIAR is currently in a state of transition from its historical role in addressing defined agricultural technology problems to engagement with strategic partnerships to address systemic problems of the sort defined by the SDGs. In other words the CGIAR’s aspirations sit on the right-hand side of Figure 2. In the next section we adapt Peterson’s figure to create a framework for exploring where international agricultural research organisations’ MSP practice currently sits on this continuum.

Figure 2. MSP typology

Source: Peterson *et al.* (2014)



3 MSP AND AR4D: HISTORY, CONCEPTS AND A FRAMEWORK FOR ANALYSIS

3.1. THE EVOLVING HISTORY OF PARTNERSHIPS IN AR4D

Partnerships have been a central theme in the AR4D discourse generally and in the literature around the CGIAR in particular since the late 1990s. The annotated bibliography presented in Annex 1 reviews the historical succession of CGIAR documents advocating, commenting on and analysing partnership efforts (Malena, 2004). The CGIAR has reviewed its partnership work on several occasions (Bevege *et al.*, 2006; Bezanson *et al.*, 2004; CGIAR Interim Science Council, 2002; CGIAR Science Council, 2006; CGIAR Science Council, 2008; CGIAR Working Group 2, 2008). The Standing Panel for Mobilizing Science also commissioned a study of CGIAR–Civil Society partnerships (Smith and Chataway, 2009).

In their review of the literature on partnerships, Horton *et al.* (2009) observe:

“Over the past two decades, partnership relations in the field of international agricultural research for development have broadened from links among research centres to more extensive networks involving public, private and non-governmental or civil society organizations (NGOs or CSOs). Increasing concerns for positioning the CGIAR in global innovation systems and linking more effectively with others engaged in research and development activities is reflected in recent reviews of the CGIAR System and a number of studies of partnerships in the context of international agricultural research. Partnership issues also feature prominently in the recent discussions on revitalizing and developing a new model for the CGIAR.”

In the past two decades the partnership discourse around AR4D has evolved in a number of ways. Four overlapping phases and rationales are apparent.

- **Farmer participation and empowerment:** During the 1990s the key emphasis was on partnership with farmers. Driving this was the view that participation and a wider empowerment agenda could address challenges of better targeting and co-development of technologies delivered by research (Sanginga, 2006).

BOX 2. INNOVATION SYSTEMS PERSPECTIVES ON PARTNERSHIP

Over the past 30 years or so countries have grappled with the question of how to get better at innovation. In recent decades the policy framing around this challenge has witnessed a major shift from managing the scale, quality and priorities of investments in science and technology (the creation of ideas and knowledge) to a much broader perspective that focuses on the necessary conditions needed to make use of these ideas. It is in this context that the idea of an innovation system has emerged.

An innovation system can be defined as “a system that brings together actors from the public, private and civil sector to bring new products, processes and organisational forms into economic and social use, together with institutions and policies that affect actor’s interaction and how knowledge is used and exchanged” (World Bank, 2006).

Innovation in this framing is understood as a process rather than a technological artefact *per se*, involving interaction among key protagonists that mediates the ways in which ideas are mobilised, combined, adapted and put into use to create new value. Partnerships, alliances and various forms of multi-stakeholder process facilitate this interaction. Innovation is a systemic process in the sense that the creation of novelty (innovation) does not occur independently of the wider systems of players, practices, and policies in which it is located and embedded. This has three main implications:

- The innovation process unfolds over time in unpredictable ways, with unclear cause-effect relationships.

This arises from the way in which multiple interactions spark changes in an iterative and dynamic manner.

- Most innovation does not occur as a discrete change, such as, for example, the application of a new technology. Instead, it normally happens in the form of an integrated set of changes – technical, institutional, organisational and policy – which operate at different systems’ levels or scales. Innovation at a local level thus rarely takes place and spreads in a sustained fashion without complementary changes in the way social or economic activities are organised, practised, and supported by incentives and rules.
- The behaviour of systems, and therefore of the processes that lead to innovation, are shaped by institutions and policies. These form sets of rules and governance arrangements that operate at different scales: within organisations; within value chains and markets; within government departments’ portfolios, and within local, national, regional, and global policy regimes. The latter can, for example, take the form of regulations, incentives, and public investment programs.

These three features interact in a complex way. Empirical and policy studies, for example, show that innovation is often enabled by institutional and policy arrangements that support knowledge flows through partnerships and other forms of interaction. However, these same studies also show that for innovation to emerge and spread the wider regime of institutions and

- **Stakeholder inclusiveness and the Millennium Development Goals (MDG) agenda:**

In the post-MDG era there was an increasing realisation that the private sector, NGOs and other development agencies had a legitimate stake and role in the development agenda. Some of this focused on reassessing the role of the private sector and the state (Echeverría and Byerlee, 2002; Hall, 2006). More generally the establishment of the MDGs meant that AR4D had a stronger developmental (rather than research framing) and various forms of multi-stakeholder arrangements were advocated.

- **Partnering in innovation systems:** In the early to mid-2000s the concept of innovation systems gained currency in the CGIAR and in the AR4D community more broadly (Hall *et al.*, 2001; Spielman and Von Grebmer, 2006; World Bank, 2006; Spielman *et al.*, 2007; World Bank, 2012). Reframing the organisation of agricultural research as part of a wider process of change in this way places considerable emphasis on both the importance of partnership, but also on the critical role of systems innovation as the means of achieving impact (See Box 2). Critical to this thinking was its focus on the diversity of actors, relationships and processes

policies often need to be continuously adapted. For example, a food processing company can develop an inclusive way of conducting business. The agri-business sector, however, will not become equally inclusive until pervasive changes in rule sets and incentives lead to changes in value chains (including consumer preferences) and the wider policy enabling environment (e.g., modes of education, research financing, regulation, etc.)

This has important implications for the research and development sector's aspirations to create impact at scale. It suggests that scaling is not a task of replicating effective strategies at a local scale (although this may have value when the degree of systems complexity is low). Rather, it suggests that scaling requires systemic change. In other words, it requires innovation in institutional and policy arrangements that shape relevant aspects of social and economic activity. This is not only required to sustain and spread innovation, but also to enable an evolving process of technical, organisational, institutional, and policy innovation in response to changing conditions.

Understanding innovation as a process of systemic change provides a lens to explore the effectiveness of different modes of multi-stakeholder partnership. It does this by providing two analytical considerations:

The degree of complexity and therefore the level of systems change needed to enable and spread innovation;

The range of stakeholders relevant to these different levels of systemic change.

Source: Authors

that operate in the systems. The widespread adoption of this perspective has led to the pervasive use of an MSP approach referred to as innovation platforms (see for examples <https://cgspace.cgiar.org/handle/10568/33667>).

- **Complexity, “wicked” problems, and systemic change:** Recently, there has been increasing recognition of agricultural development challenges (Woolley *et al.*, 2009; Harrington and Fisher, 2014) and development challenges more generally as complex or “wicked” problems (Befani *et al.*, 2015; Burns and Worsley, 2015; Foran *et al.*, 2014). This perspective draws on systems thinking and complexity science. It recognises that

the development process is inherently a multi-stakeholder one, characterised by unpredictability and multiple agendas. Critically it recognises that development goals are hard to reach in the short-term and that impact pathways involve systemic change. This requires not just effective innovation systems, but systems innovations that restructure how society engages and addresses development challenges.

Partnership has remained a central concept in this evolution of the discourse around AR4D. It is evident from the literature, however, that its rationale has altered considerably. Partnership is increasingly seen as a multi-stakeholder phenomenon rather than a bilateral one, and there is a discernible move towards the “systems” framing of the rationale. This change is conceptually and pragmatically driven by the progressive alignment of agricultural research goals with the wider development agenda, where complexity and systemic change are increasingly recognised as central.

3.2. PARTNERSHIP IN AR4D: A FRAMEWORK FOR ANALYSIS

Given the evolving rationale for partnership described above, it is probably not surprising to find that there is still considerable confusion on the topic. As indicated previously, that there are overlapping and contradictory rationales, and ambiguous and contrasting definitions emerging from different fields of practice and schools of research. As a result, there are very few detailed and theoretically grounded case studies of partnerships and most research is based on secondary data, questionnaire surveys or personal impressions (Horton *et al.*, 2009).

Nevertheless, Horton *et al.* (2009) do attempt a definition of partnership relevant to AR4D as “a sustained multi-organizational relationship with mutually agreed objectives and an exchange or sharing of resources or knowledge for the purpose of generating research outputs (new knowledge or technology) or fostering innovation (use of new ideas or technology) for practical ends”.

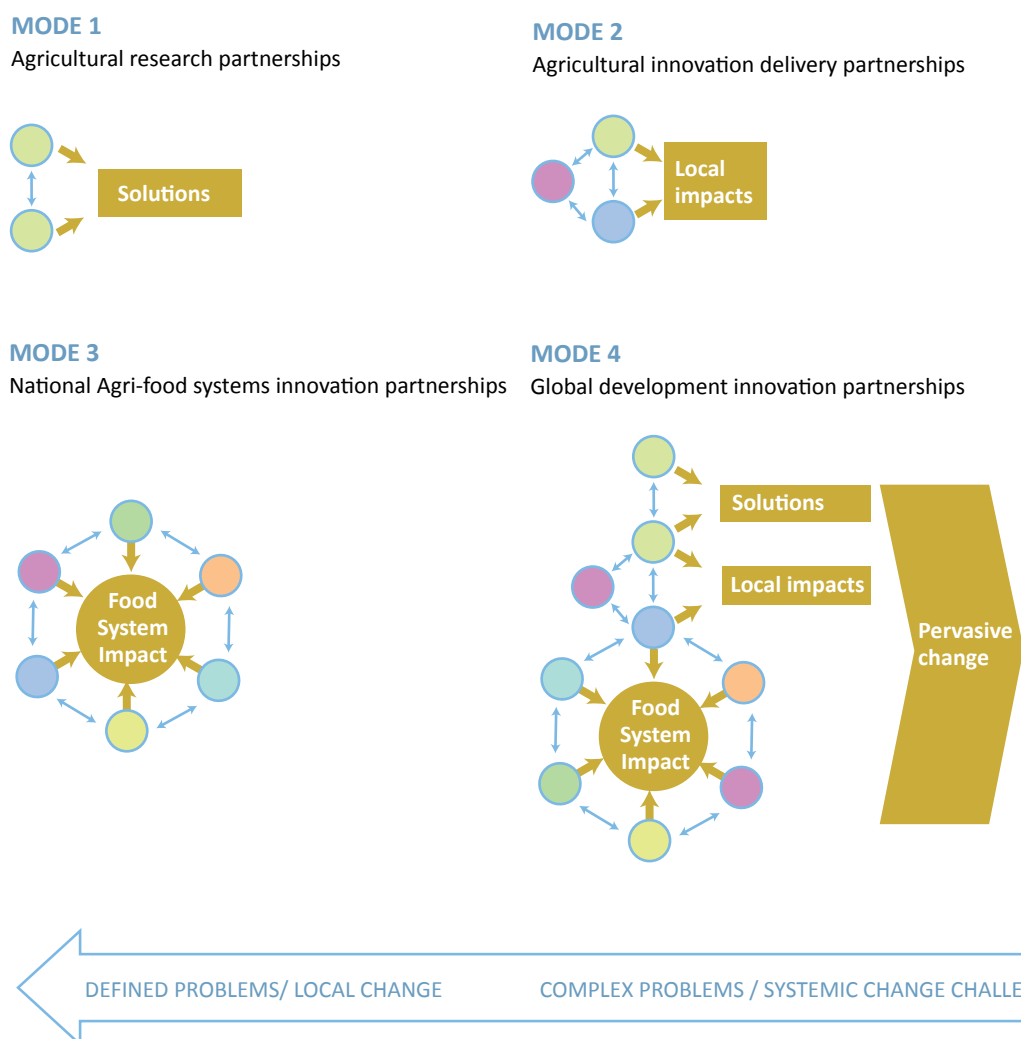
This is a very broad definition that seems to sit across both the more traditional role of research organisations – of generating research outputs – and the more systems-oriented view of this role as engaging in a process of innovation. At the risk of adding further to the burgeoning definitions of partnerships it is probably useful to think of partnerships on a continuum from knowledge discovery to systemic change. This resonates with the innovation systems perspectives discussed in Box 2 that suggest partnerships need to be understood along two axes: (i) The degree of complexity and therefore the level of systems change needed to enable innovation and impact; and (ii) The range

of stakeholders relevant to these different levels of systemic change and scale of impact.

Using these innovation systems perspectives and building on the work of Peterson *et al.* (2014), Figure 3 presents four modes of partnership and innovation that map onto different types of challenge ranging from defined problem to complex challenges that require systemic change of the sort articulated by the SDGs.

The partnership and innovation modes illustrated in Figure 3 are as follows:

Figure 3. Innovation and partnership modes



Source: Authors adapted from Peterson *et al.* (2014)

Mode 1: Agricultural research partnerships.

Agricultural research organisations collaborate to develop new knowledge on discrete technical dimensions of prioritised problems and opportunities. This usually involves collaboration between public research organisations, including universities. Priorities framed by public policy imperatives or by private industry sponsored funding.

Mode 2: Agricultural innovation delivery partnerships.

Agricultural research organisations collaborate in agricultural production and agribusiness innovation that delivers new products and services that create value for farmers and companies. Partnerships, platforms and alliances are used as a mechanism to organise collaboration among public agricultural research organisations and the private sector, NGOs, and farmers groups. Priorities framed by the convergence of technology push from research, demand pull from farmers and markets, and by public policy imperatives.

Mode 3: National Agri-food systems innovation partnerships.

Agricultural research organisations participate in the efforts of public policy and private sector to catalyse innovation in agri-food systems that creates social, economic, and environmental value in line with national development plans. Interlinked farm-to-policy multi-stakeholder processes and partnerships used to organise collaboration and participation of relevant stakeholders at multiple levels. Priorities framed by negotiation between public and private sectors and articulated in national development plans.

Mode 4: Global development innovation partnerships.

Agricultural research organisations participate in efforts of national and global public and private sector stakeholders to catalyse innovation in economic and social systems to achieve social, economic, and environmental development targets set by the SDGs. Global architectures of MSP platforms used create coherence between

global and local agendas and implementation strategies. Priorities framed by global negotiation and agreement in the SDGs.

The rationale of setting out these four partnership and innovation modes (PIMs) is to highlight the increasingly complex framing in which agricultural research endeavours sit. The message is not that any one of these modes is more important. Rather the message is that all these PIMs have intrinsic value. However, the ability of any of these modes to have impact, and the scale of that impact, is contingent on the clustering and embedding of different PIMs. For example mode 1, on its own, will never lead to impact as it does not address the delivery and system innovations needed to make use of research discovery, although it is a critical ingredient to other modes of partnerships and innovation. At the other end of the spectrum, mode 4 needs to find a way of embedding research discovery emerging from mode 1. This framing allows an assessment of the extent to which agricultural research practice is tackling the need to engage in a sufficiently broad suite of PIMs. Figure 3 illustrates the way these different PIMs have different scales of impact. Table 1 brings this together to present a typology of practice in each that might be expected in each of the different PIMs, illustrating impact logics and scales implied.

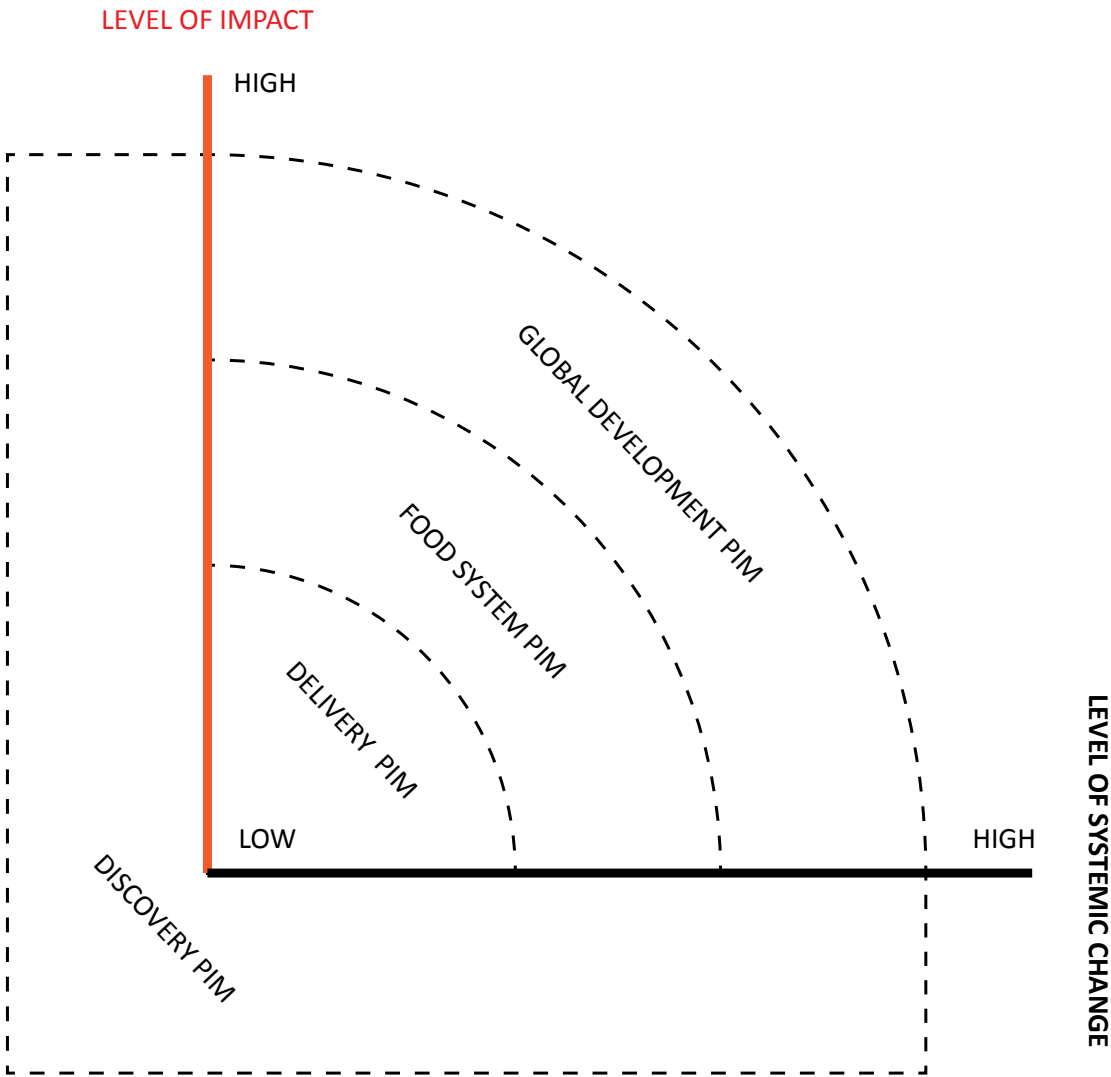
The question for this review is to understand where AR4D MSP practice currently sits on this continuum and what would need to change if it is to support the CGIAR's ambition to align to the SDGs and the systemic change agenda that these imply.

Table 1. Forms of MSP in Different Impact Settings

	DISCRETE TECHNICAL CHALLENGES	DISCRETE AGRICULTURAL IMPACT CHALLENGES	COMPLEX AGRICULTURAL IMPACT CHALLENGES	COMPLEX GLOBAL IMPACT CHALLENGES
Examples	Pest resistance, analytical frameworks, models and platform technologies	Agricultural productivity/ business competitiveness	Food security/ poverty reduction/ economic growth	Development challenges framed by SDGs
Impact pathway	<p>Invention and knowledge stock adaptation</p> <p>Research makes knowledge and technologies available for others to use</p>	<p>Technological adaptation</p> <p>Research collaborates with technology delivery and adoption stakeholders</p>	<p>Innovation system adaptation</p> <p>Research forms part of strengthened capacity of agricultural innovation systems to continuously create integrated sets of technological, policy and institutional innovations</p>	<p>Societal adaptation in response to global challenges</p> <p>Research embedded in global multi-stakeholder processes to create new policy and institutional regimes that reframe the way knowledge, investments and behaviour of the public and private sector and individuals are mobilised to address global challenges</p>
Partnership and innovation mode	<p>PIM 1</p> <p>Research consortia</p>	<p>PIM 2</p> <p>Partnerships, platforms and alliances with the private sector, NGOs and farmers groups create value for farmers and companies</p>	<p>PIM 3</p> <p>Interlinked farm-to-policy multi-stakeholder processes and partnerships action changes in food systems that create social and economic value</p>	<p>PIM 4</p> <p>Global architectures of MSP platforms create coherence between global and local agendas and implementation strategies and action that brings about systems adaptation</p>
Scale of impact	Dependent on linkages to other delivery, innovation and societal change processes	Quick wins, but restricted to scale of project, mission or commercial opportunity	Long term, but enduring impacts at value chain or national scales	Long term enduring impacts at global scale

Source: Authors

Figure 4. Forms of MSP and Different Impact Settings



Source: Authors



4

MULTI-STAKEHOLDER PRACTICE IN AR4D: INNOVATION PLATFORMS

4.1 DEFINITIONS, ORIGINS AND RATIONALE

One of the key operational expressions of MSPs in AR4D is an innovation platform. This is by no means the only form of MSP. It could be argued that the CGIAR as a whole is an MSP. Likewise the closely aligned Global Forum on Agricultural Research (GFAR) (Box 3). However, as innovation platforms have come to dominate much of AR4D practice, this review will concentrate its focus there.

Boogaard *et al.* (2013) point out that the term innovation platforms encompasses a range of similar ideas: innovation networks, innovation coalitions, innovation configurations, multi-stakeholder platforms, learning platforms, learning alliances, *association interprofessionnelle* (French), *plataforma de inovação* (Portuguese) (Kristjanson *et al.*, 2009; Klerkx *et al.*, 2009; Homann-Kee Tui *et al.*, 2013). There are a number of definitions of an innovation platform. However, a common one in wide circulation is that of “a physical, virtual, or physico-virtual network of stakeholders which has been set up around a commodity or system of mutual interest to foster collaboration, partnership and mutual focus to generate innovation on the commodity or system” (Adekunle and Fatunbi, 2012, p. 983).

The origins of innovation platforms in AR4D, while building on earlier participatory research traditions, emerged from the increasing use of innovation systems ideas in the mid-2000s. (see Box 2 in previous section). A central message from innovation systems perspectives is that organising the interactions of stakeholders is a key enabler of innovation (Vamsidhar Reddy, *et al* 2012). This is not just about interactions that support unidirectional flows of information from researchers to users, but also about interactions that enable two-way flows of information. More critically, innovation systems thinking makes it clear that technological change rarely happens without institutional and policy change (Hall, *et al* 2003; Hounkonnou *et al.*, 2012). As a result, for innovation to have impact at scale, change that pervades all parts of a system, taking into account the interrelationships and interdependencies among those parts (systemic change) is generally required. In the face of unpredictability, continuous learning becomes critical in stimulating integrated change at both local and systemic levels. The idea of systemic change, however, while present in development practice discourse, has become disconnected from much of the practice of MSPs in AR4D.

BOX 3. GFAR AND GCARD

The Global Forum on Agricultural Research (GFAR) was established in 1996 by the World Bank, IFAD, FAO, ISNAR and SDC, to “act as an inclusive mechanism that enables all those concerned with the future of agriculture and its role in development around the world, to come together and address key global needs”.

GFAR’s original mandate to “Mobilize all the stakeholders involved in agricultural research for development and support their efforts to alleviate poverty, increase food security and promote a more sustainable use of natural resources”, was amended in August 2015 to allow for a new vision:

“The Global Forum makes agri-food research and innovation systems more effective, responsive and equitable, towards achieving Sustainable Development outcomes”, and a new mission:

“Partners in the Global Forum, at national, regional and international levels, advocate for, and catalyse Collective Actions that strengthen and transform agri-food research and innovation systems” (www.gfar.net)

Convened by GFAR and the CGIAR, the Global Conference on Agricultural Research for Development (GCARD) aims “to promote effective, targeted investment and build partnership, capacities and mutual accountabilities at all levels of the agricultural system so as to ensure that today’s agricultural research will meet the needs of the resource-poor end user”.

The GCARD process is conducted periodically and in consultation with all the GFAR stakeholders (the third in its series, GCARD3 is being held over 2015 and 2016). Each GCARD is organised around a particular theme. GCARD1 was organised around “Enhancing developmental impact from research”; GCARD2 around “Foresight and partnership for innovation and impact on smallholder livelihoods”. GCARD3 focuses on the identification of

international research priorities to achieve future development goals, including ways to align regional and national priorities and activities with the CGIAR’s CRPs.

Activities of GFAR and GCARD

GFAR’s multi-stakeholder steering committee determines the actions to be undertaken by the forum’s members, including partnerships, collaborative networks and organisations, all of which is coordinated and facilitated by the GFAR Secretariat (hosted by FAO in Rome). Its activities include strengthening the constituencies of the forum’s stakeholders – particularly farmer organisations and NGOs – acting as a facilitator of change processes within organisations in the agriculture sphere, and building capacity in agricultural research organisations and NGOs, as well as of young professionals in agriculture, and serving as a knowledge hub.

Following reviews of its governance and an ongoing reform process, GFAR has expanded its activities to include (www.gfar.net):

- Setting up a global foresight hub to link up stakeholders concerned about the future of agriculture and its role in development
- Setting up a program of activity to link smallholder farmers with markets
- Supporting a G20 initiative to build capacity in innovation systems thinking in tropical agriculture
- Strengthening its own governance structure so that it can better deliver on its commitments.

Recent reviews GFAR and GCARD (Mannet, 2013; Cooke, 2013) suggest that whilst GCARD2 led to 15 new commitments to partnership, capacity development and foresight in the CGIAR, the GFAR’s secretariat is overloaded by an overly ambitious agenda, and is stretched thin by “trying to do too much with too few resources”.

Building on innovation systems ideas, Klerkx *et al.* (2009) recognised that while interaction of stakeholders is key to enabling innovation at both local and systems levels, mechanisms to facilitate this are usually absent. Building on work from industrial innovation studies, they draw attention to the value (and existence) of innovation brokers as key actors needed to corral stakeholders into outcome-oriented interactions (Klerkx and Gildemacher, 2012).

4.2 PERFORMANCE AND PRACTICE

One of the best-documented early attempts to put the innovation system concept into widespread use was the CGIAR’s Sub-Saharan Africa Challenge Program (SSACP). Rather ambiguously conceptualised as Integrated Agricultural Research for Development (IAR4D) (FARA, 2007; Hawkins *et al.*, 2009), a key implementation strategy in the program was the estab-

lishment of innovation platforms. The approach was later adopted by CORAF as the central pillar of its strategic and operational plans (CORAF, 2007).

The external review of the SSACP (CGIAR ISPC, 2011) arrived at some rather paradoxical conclusions. On the one hand, the review concluded that the SSACP had proved the concept of IAR4D and innovation platforms as a way of delivering technology and impact. Tellingly, much of the evidence of this impact came from counterfactual economic assessment design to compare impact in villages with and without innovation platforms (FARA, 2009). On the other hand, the external review of the program, found that IAR4D and innovation platforms had not been successfully “institutionalised” in research practice (CGIAR ISPC, 2011). The paradox here is that IAR4D, with its systems orientation, should have been using innovation platforms as a learning intervention to catalyse change in both farm level behaviour and the behaviour of other systems actors – not just in the markets, but critically also in research organisations and the institutional and policy settings that shaped their behaviour.

This reveals is a narrow interpretation of using MSPs to stimulate innovation. Specifically, it was understood as simply restructuring the relationships between researchers, farmers, and local market actors in an attempt to make use of existing technologies for local-scale changes. This use of innovation platforms is a mode 2 approach according to the PIM framework, i.e. agricultural innovation delivery partnerships. The organising principle is about driving technological adaptation rather than innovation system adaptation. The key message for practice that emerges is that innovation platforms are unlikely to be an effective way of achieving impacts at scale unless their use is informed by wider systems thinking and conceptualisation of change.

These findings are echoed in reviews of CORAF’s experience of implementing IAR4D and its establishment of innovation platforms. AusAID (2012), in its review of the CORAF-CSIRO implemented African Food Security Initiative (AFSI), found that many of the innovation platforms were little more than farmers groups premised on the idea of acting as

ways of transferring research results to farmers. The program’s implementing agencies had limited appreciation of the learning, institutional change and capacity development agenda implied by IAR4D (ibid). Once again, this was a PIM mode 2 use of innovation platforms. Of equal concern was that the envisaged solution to this problem was to intensify training in the “nuts and bolts” of innovation platform practice rather than building a wider appreciation of the way the multi-stakeholder process could be mobilised for a greater systemic change agenda (ibid).

In contrast, the Dutch-funded Convergence of Science – Strengthening Innovation Systems program (COS-SIS) took a much stronger “institutionalist” approach to MSPs (Struik *et al.*, 2014, Hounkonnou *et al.*, 2012, Hounkonnou *et al.*, 2016). Using an interpretation of innovation platforms termed “Concertation and Innovation Groups”, the program took the position that technological innovation at the farm level is largely an issue of systems change and that this required institutional and policy innovation as key starting conditions (PIM mode 3: national agri-food systems innovation partnerships). While still very firmly rooted in using MSPs for farm level experimentation, COS-SIS coupled this with diagnostic studies of actor networks and existing institutional and policy regimes. Perhaps, most critically, the program introduced real time monitoring of institutional change processes as a way of tracking and progressing necessary institutional changes. Hounkonnou *et al.* (2016) summarise practice lessons from COS-SIS in the form of “6 key pathways [that] were common to all the IPs [innovation platforms] that catalysed significant institutional innovations” (see Box 4). These point to the importance of not focusing on a platform as the boundary of the innovation process, but instead giving adequate attention to its interface with and engagement in change processes of the system or “institutional regime” in which it is embedded.

COS-SIS succeeded in proving the concept that an institutional/systemic change agenda coupled with local innovation platforms could deliver farm level impact. Moreover it demonstrated that the coupled use of innovation platforms and attendant process-

BOX 4. COS-SIS: INNOVATION PLATFORMS AND PATHWAYS TO INSTITUTIONAL INNOVATION

Convergence of Sciences–Strengthening Innovation Systems (CoS-SIS, www.cos-sis.org) was established to explore whether multi-stakeholder interaction on an innovation platform (IP) can trigger institutional change. Located across a number of West African countries, the innovation platforms focused on enabling smallholder innovation through changing institutions that condition opportunity beyond the crop, field and farm. The program has been extensively documented including 54 journal articles, nine PhD theses, and two books (see www.cos-sis.org).

A summary analysis of COS-SIS identifies six key pathways through which innovation platforms catalysed institutional innovations.

- The role of the facilitator (RA) in creating inter-personal trust among IP members through open sharing of information and evidence-based data, and by negotiating with members the rules and norms for their interaction. Mutual trust, in turn, helped the IPs to evolve conditions of compliance with these member-determined rules and norms for how the IPs would conduct their work, and to establish the legitimacy of each IP as an evidence-based informed voice.
- The ways in which IP members used their pre-existing networks of influence to work across levels of governance. They did so primarily through initiating discreet conversations, and by liaising with members of their

respective PMTs in order to gain access to and share information with official and political decision-makers in local, district, provincial and national hierarchies and with domain leaders.

- Sharing the evidence generated by special studies and action-research among new, widely built academic, professional and organisational relationships within and beyond the niches in which the experimental actions were tested. The IPs in general aimed to develop and supply evidence-based information, presented in a range of media, which responded to the issues and needs of these “constituencies”, thereby increasing their perceived relevance.
- Seizing opportunities in response to contextual dynamics enabled IPs to act quickly on the basis of their empirical evidence, strategic analyses and networked relationships.
- Deliberate efforts to recognise, understand and resolve (moderate, by-pass) conflicts and power plays.
- Favouring experiment over un-evidenced opinion, focused on iterative experiments and analyses of opportunity for opening up spaces for change, and data-based feedback on what was working (and what was not, and why).

Source: Hounkonnou *et al.* (2016)

es can bring about institutional regime changes at a national level in specific agricultural domains (Hounkonnou *et al.*, 2016). These are laudable results from a modestly funded research and innovation program implemented by a network of PhD students. However, it still leaves unanswered questions about how to “institutionalise” the approach more widely.

4.3 PRACTICE ANALYSIS AND LESSONS

An early attempt to document and compare innovation practice across programmes was Nederlof *et al.* (2011b). Their widely cited book (*ibid*) laid the foundations for many of the normative prescription for innovation practice that were to follow (see also

Nederlof *et al.*, 2012; Sanyang *et al.*, 2014). Key lessons from this work suggest that innovation platforms can be established at different levels (local, regional or national), in different sub-sectors (e.g., maize, poultry, cotton, etc.), and have different objectives. This suggests a PIM mode 3 interpretation of innovation platforms. Nederlof *et al.* (2012) also illustrate the way innovation platforms can be used for different purposes (Box 5).

Since the publication by Nederlof *et al.* (2011b), there has been a rapid proliferation in practice manuals on innovation platforms, including Makini *et al.* (2013), CORAF (2014a, b), ILRI (see various at <https://cgspace.cgiar.org/handle/10568/33667>), and MSP portal (www.mspsguide.org).

BOX 5. EXAMPLES OF DIFFERENT USES OF PLATFORMS

Developing and testing new ways to learn about how to do AR4D

The Forum for Agricultural Research in Africa's Sub-Saharan Africa Challenge Programme (<http://www.fara-africa.org/our-projects/ssa-cp/>) established innovation platforms to test the Integrated Agricultural Research for Development Approach (IAR4D), which draw upon innovation and use a systems perspective as their organising principle.

Improving the enabling environment for agricultural innovation

COS-SIS (www.cos-sis.org) has established so-called CIGs – Concertation and Innovation Groups – to bring different stakeholders together and tackle identified institutional constraints in order to bring about innovation. COS-SIS takes as a starting point the argument that inappropriateness of existing institutions is the main problem for West African farmers. Concerted action is required for smallholder farmers to take advantage of existing opportunities (Hounkonnou *et al.*, 2012; Nederlof *et al.*, 2011b).

Linking farmers to value chains

The International Fertilizer Development Center (IFDC) has established clusters to pilot the Competitive Agricultural Systems and Enterprises (CASE) approach (<http://www.ifdc.org/getdoc/729f4fe2-17df-467b-9092-d1b-d1e2a5cf6/CASE>). The CASE approach aims to provide farmers with the knowledge and tools they need to increase their production and productivity and then to

link them to profitable markets. Clusters were set up to facilitate this goal.

Strengthening local innovation processes

Prolinnova is an NGO-initiated multi-stakeholder program to promote local innovation. The focus is on recognising the dynamics of indigenous knowledge and enhancing capacities of farmers to adjust to change and to develop their own site-appropriate systems and institutions of resource management so as to gain food security, sustain their livelihoods and safeguard the environment (<http://www.prolinnova.net/>).

Strengthening regional capacity to undertake agricultural research for development

The West and Central African Council for Agricultural Research and Development (CORAF/WE CARD), including for example, the Dissemination of New Agricultural Technologies in Africa DONATA project in Burkina Faso (<http://www.fara-africa.org/our-projects/donata/>), the Association for Strengthening Agricultural Research in Eastern and Central Africa (ASARECA) in East Africa (<http://www.asareca.org/>) and Southern Africa Development Community (SADC) in Southern Africa are regional networks of national agricultural research for development institutes that aim at deepening cooperation in agricultural research and policy among member countries for the mutual benefit of all stakeholders in the agricultural sector.

Source: Nederlof *et al.* (2011b)

Boogaard *et al.* (2013) undertook a more critical review of innovation platform practice, but arrived at a view of the key functions of innovation platforms that, while acknowledging institutional change as a key goal, falls short of explicitly flagging the systemic change agenda. They suggest that innovation platforms can:

- Support the operationalisation of research and development;
- Contribute to improving the relevance and impact of research;
- Contribute to increasing returns on investment

in AR4D;

- Stimulate and strengthen interaction between multiple stakeholders;
- Link different stakeholders to achieve a common objective;
- Contribute to jointly identifying and solving complex problems;
- Provide an enabling environment for innovation; and
- Contribute to overcoming institutional barriers and creating institutional change.

This otherwise useful analysis also falls into the

trap of focusing on critical issues in terms of the “nuts and bolts” of individual local level innovation platforms (PIM mode 2: Agricultural innovation delivery partnerships). There is no doubt that these are critical issues in an operational sense, but provide limited guidance on practice for systemic change. Boogaard *et al.*'s 2013 synthesis of critical issues (see Table 2) reinforces the idea that by simply getting the “nuts and bolts” of in-

dividual innovation platform practice right, all will be well. Whilst other sections of the same report highlight the need for systemic change, it does not elaborate in the practice narrative how this can be achieved. Other analyses of innovation platforms have raised the issue of governance as a concern (for example, Cullen *et al.*, 2013) without elaborating on the way this can be addressed in support of a wider systemic change agenda.

Table 2. Five themes with 11 issues for reflection when designing and implementing R4D in innovation platforms

THEME	ISSUES TO REFLECT UPON
1. Composition and initiation of the platform	1.1 Representation and composition 1.2 Common objective 1.3 Relevant research questions
2. Coordination and facilitation of the platform	2.1 Process facilitation 2.2 Knowledge co-creation
3. Power and conflict in the platform	3.1 Power asymmetries 3.2 Conflict negotiation and trust
4. Resources, incentives and timeframe	4.1 Incentives and motivation 4.2 Changing conditions and flexibility 4.3 Resources and sustainability
5. Monitoring and evaluation	5.1 Monitoring and evaluation

Source: Boogaard *et al.* (2013)

Davies *et al.* (2015) reviewed the performance of nine innovation platforms in the CORAF-CSIRO African Food Security Initiative (AFSI) in West Africa. In the latter part of AFSI a monitoring evaluation and learning approach was used where behavioural changes across different dimensions of agricultural innovation systems were explored by collecting Most Significant Change (MSC) stories in six domains of system change (this approach is discussed in more detail in the M&E section below). The review drew on this and case study evidence. The MSC stories reported that productivity and income changes took place during the life of the project in the area of action of the innovation platforms. The experiences revealed noticeable differences between innovation platforms and the patterns of

activities and outcomes achieved. Lessons from this study are presented in Box 6. Somewhat ironically, given that many of the platforms had been set up as PIM mode 2 (AusAID, 2012, see earlier discussion), the study reports institutional change in participating research organisations and policy domains. However, a key message is that these emerged not because of local level innovation platforms, but through the agency of key individuals involved in these platforms who had wider systems roles.

Davies *et al.* (2015) conclude as follows:

The use of innovation platforms as part of IAR4D was approached in two distinct ways. While the NGO-led projects were stronger in pursuing development out-

comes, the research organisation-led projects made significant strides in building research and development system capacities. These different approaches arose from different interpretations of IAR4D and contestations over whether projects should focus activities on short-term adaptive, impact-orientated tasks (Small R Big D) or whether they should focus attention on long-term investments in research and development system capabilities (Big R Small D). Clearly, there is merit in a mix of both approaches. The ability to demonstrate short-term development impact was significant [*in terms of donor expectations*]. However, AFSI also achieved considerable success in research capacity building, in terms of a range of practices, relationships and attitudes that resulted from the way projects were implemented. The program not only strengthened research practices through the interactions between international and West African scientists, it also opened up spaces for research and development planning and action that did not exist before.

In summary, this review of innovation platforms suggests that much of the conceptual underpinning and rationale is framed by notions of systemic change and impact, explicit in much of the innovation systems thinking that is often flagged as an underpinning concept. In other words, this suggests the need for PIM mode 3 practice: national agri-food systems innovation partnerships. However, reviewing practice suggests that most innovation platforms have been implemented in PIM mode 2, or at best as hybrids of PIMs 2 and 3. This has been reinforced by a proliferation of normative guidance that is light on operational advice on practice that addresses the systemic change agenda. The result of this is that the surprisingly thinly documented impact of innovation platforms has been small-scale and localised (examples include Watson *et al.*, 2015; Davies *et al.*, 2015; Mur and Nederlof *et al.* 2011a; Gildemacher and Mur, 2012).

4.4 MONITORING, EVALUATION, AND LEARNING IN INNOVATION PLATFORMS

Monitoring, evaluation, and learning (MEL) is par-

ticularly important for innovation platforms, given the growing demand for evidence that innovation system approaches lead to impact on the ground (Boogaard *et al.*, 2013) and because adaptive learning is key to their success. However, innovation platforms often struggle to develop appropriate MEL formats. Traditional research and development approaches have a tendency to employ a linear MEL model based on an assumption that change can be planned, easily identified, and controlled (Pant, 2010). However, such theoretical approaches and the associated tools are not necessarily suitable in cases where a systemic change impact pathway is being addressed by innovation platforms, particularly those operating in PIM mode 3. As Hambly *et al.* (2012) point out:

Innovation system interventions make explicit assumptions about the nonlinearity of change and innovation in their design, and in doing so, they place specific demands on monitoring arrangements. These assumptions hinge on the recognition that innovation usually involves simultaneous technical adaptation and changes in the way things are done – in other words, institutional (and policy) adaptation – and that the final impacts will occur only when institutional adaptation has been achieved.

Innovation platforms, therefore, require an MEL framework and a set of tools that take into consideration the complexities of systemic innovation processes, and which can document and assess processes as well as outcomes (Njuki *et al.*, 2010).

The objective of MEL in the context of AR4D projects is two-fold: first, it may serve as a tool to generate research-based evidence for the effectiveness of innovation platforms across different contexts; second, it is needed for joint learning among partners to help assess performance and to adapt the course of action accordingly (Boogaard *et al.*, 2013; Hambly *et al.*, 2012). Boogaard *et al.* (2013) argue that although researchers may play an important role in the first objective, innovation brokers play a critical role in the second one, by facilitating and documenting a systematic process of action, monitoring, reflection and adaptation.

BOX 6. LESSONS FROM INNOVATION PLATFORM PRACTICE IN THE CSIRO-CORAF AFSI PROGRAM

1. The nature of the lead agency that sets up the innovation platform influences activities and outcome

The nature of the lead agency chosen to set up innovation platforms influences the orientation of an innovation platform, particularly in terms of the primacy given to technology, entrepreneurial development, household livelihood benefits, and ease of access to different stakeholder networks – key factors in shaping the progression of innovation processes.

2. Historical origins of the project shape practice and outcomes

Ignoring the historical origins of innovation platforms (e.g., using farmers groups established to run field trials) runs the risk of ignoring the entrenched patterns of behaviour that have restricted innovation and impact in the past. Revealing and addressing these behaviours and routines should be the starting point of building local innovation capacities.

3. Innovation platforms need fluid memberships related to the nature of the innovation being pursued

Interventions need to go beyond thinking of innovation platforms as static groupings of a limited number of

actors, and organise them as fluid groups of different actors for innovation – brought together to capitalise on new opportunities or to tackle new problems.

4. Degree of engagement with actors beyond the farm determines sustainability

Innovation is often a multi-scale phenomenon and there is a resulting need for multi-level engagement (through innovation platforms and other means) in order to bring about systems changes that can sustain outcomes that directly affect poor people.

5. Entrepreneurship exists and should be built upon

Interventions should look for ways of working with existing nodes of entrepreneurial activity rather than against them. The task then of the innovation platform becomes one of developing institutional arrangements that ensure equitable sharing of benefits between entrepreneurs and poor communities. A broad lesson is the need to connect with markets early in the development of innovation platforms and to seek out opportunities that these hold.

6. Role of individuals is important

Success often requires a perfect storm of individuals'

and implementing MEL systems for innovation platforms in CORAF-CSIRO AFSI (see Box 7). The initial MEL system for this program was set in a PIM mode 2 framing, focusing only on technology adoption and livelihood changes.

Subsequently, a more systems learning-oriented method was developed, which relied on a Most Significant Change approach. This proved to be useful in tracking behavioural change for evaluation and reporting purposes. However, it proved too cumbersome to be used as an effective learning tool for innovation platform implementers. A consideration that should also not be overlooked is that MEL sys-

tems that rely heavily on written narrative (rather than oral story telling) are not well suited to the science writing tradition of many project staff.

In summary, while the MEL practice for innovation platforms is well conceptualised, there is still little agreement or practical evidence of effective practice. PIM mode 2 framed MEL continues to dominate (with mixed quality). The learning aspects needed to help drive systemic change and assist with PIM mode 3 practice are still largely absent, despite the plethora of appropriate approaches available in the literature (for examples of tools see Hambly *et al.*, 2012)

drive, institutional conditions and an entrepreneurial spirit. Interventions need to identify driven individuals and provide them with the support they need to make innovation platforms an effective instrument in the change and impact process.

7. Setting up platforms at multiple levels is key to scaling impact

For longer-term and wider-scale impact, platforms are needed at multiple levels, to engage with private sector and development actors who may be operating at regional levels, or policymakers at the national level, to effect policy change.

8. Some topics need more attention at the policy level

A much clearer picture of the impact pathway of a particular project needs to be developed at the outset. This can help identify the domains of change that need most attention, following which the membership and focus of innovation platforms can be adjusted accordingly.

9. Diagnostic policy and institutional studies

Interventions need to commission broader policy studies right at the outset to frame opportunities and con-

straints, and to better understand cultural settings and contexts. This can enable programs to take advantage of national and regional policy directions and the opportunities these hold for program priorities and impact. An understanding of cultural contexts at the outset also enables programs to prepare for on-ground challenges. Interventions also need to conduct diagnostic studies of the innovation system to map out not only all the actors and their roles, but also to understand opportunities for collaboration.

10. Innovation platforms are an incentive for participation

Despite the many challenges in operating platforms, innovation platforms have proved to be an effective means of encouraging participation by certain actors in projects that they may not have otherwise joined. This seems to confirm the wider findings of other studies that platforms are highly appreciated when provided by others, but are rarely established by those who most appreciate them. This suggests an ongoing need for public or development investment in such mechanisms.

Source: Davies *et al.* (2015)

BOX 7. DESIGNING AND IMPLEMENTING AN MEL SYSTEM FOR AFSI'S INNOVATION PLATFORMS

AFSI's partnership impact logic, with its research and capacity strengthening impact pathways, presented considerable challenges in the design of an MEL system. During the first three years, MEL arrangements mainly followed existing CORAF/WECARD approaches at both the partnership level and for its projects. For the projects, this involved developing a Monitoring and Evaluation plan for each project, which included collecting baseline data on production and livelihood parameters and developing quantitative and qualitative indicators to monitor progress. However, by the final phase of the partnership, it was clear that this needed to be aug-

mented with tools to explore wider capacity strengthening dimensions of the partnership and its projects. In particular, the unpredictable nature of capacity changes meant that predetermined indicators were less effective. It also meant that continuous learning about the effectiveness of interventions in stimulating behavioural or institutional changes that progress project and programmatic agendas was needed.

To address this, a framework was developed, building on the Result Areas defined in the CORAF/WECARD Strategic Plan and the Partnership design (see Figure).

Figure Learning Framework logic and Outcome Domains (Domains of Change)

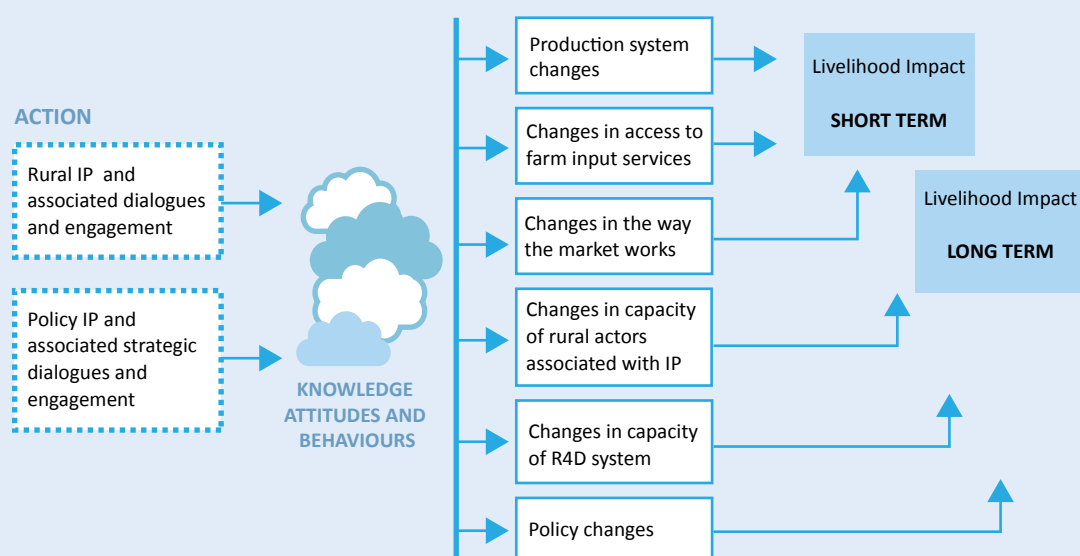
The four Result Areas can be broadly summarised as follows:

- Technology and innovation to improve smallholder farming systems and market access
- Policy and strategic information for decision-makers
- Capacity strengthening of R4D systems
- Increased demand for information and improved dissemination.

These Result Areas reveal a program logic that combines short-term, local-scale and medium- to long-term, wider-scale impact pathways. The short-term impact pathways are aimed at direct household-level results arising from changes in production systems and allied farm and

off-farm enterprises (Result Areas 1 and 4).

The medium- to long-term impact pathways are aimed at bringing about enduring change in the practices of research and development organisations and the institutional and policy environment that supports this and enables change more generally (Result Areas 2 and 3). By identifying a range of plausible changes that could result from innovation platforms that would in turn lead to household-level impact via one or both of the pathways described above, it was possible to arrive at six outcome domains: production systems; input markets; output markets; capacity of local actors; capacity of the research and development system; and policy.



Source: Watson *et al.* (2015)



5

GLOBAL MSP PRACTICE

5.1 THE EMERGENCE OF GLOBAL MSPS

The past decade has witnessed a dramatic rise in the number of MSPs in the international development arena. This trend stems from the recognition that the challenges facing the world today are complex, (poverty, agricultural development, nutrition, disease, health, climate change, energy, etc.) and collective action can tackle this complexity in a more effective manner. No single organisation or sector can hope to effectively confront these issues on its own, as doing so often requires a multitude of skills, resources and expertise. This logic fits the PIM mode 4 outlined earlier: Global development innovation partnerships.

Often created in response to high-visibility, single-issue advocacy campaigns, MSPs have an undeniable political appeal in donor countries (Bezanson and Isenman, 2012). Severino and Ray (2010) describe MSPs as “hyper-collective” partnerships to underscore that they differ fundamentally from previous approaches to international collective action, which were mostly inter-governmental rather than multi-stakeholder. Taken as a whole, they have proved very effective at mobilising resources, and now account for a significant and rising percentage of Official Development Assistance (ODA). These initiatives are not without their own challenges. With the emergence of the SDGs, however, as a framing for the global development agenda this modality of partnerships is likely to play an increasing role.

Bezanson and Isenman (2012) present the view that the key to these new partnerships lies in the term “multi-stakeholder” (implying a multitude of partners that are affected by and invested and interested in the issue at hand), unlike global initiatives in the past that qualified more as “multi-shareholder” partnerships (implying arrangements of funders, mainly governments). Thus MSPs present themselves as far more heterogeneous and inclusive.

5.2 ELEMENTS OF GOOD PRACTICE ACROSS MSPS

Reviews of MSPs in recent years have almost been as numerous as the partnerships themselves (see for example: Bezanson and Isenman, 2012; Dodds, 2015; Hanleybrown *et al.*, 2012; Hazlewood, 2015; Patscheke *et al.*, 2014; Pattberg and Wilderberg, 2014; Peterson *et al.*, 2014; Rajalahti *et al.*, 2008; Severino and Ray, 2010; van Huijstee, 2012; Moench-Pfanner and Van Ameringen, 2012; Malena, 2004; Lele *et al.*, 2007; Horton *et al.*, 2009). These differ in terms of the nature of partnerships looked at (health, agriculture, nutrition, disease prevention, etc.), or the nature of the analytical lens used to critique and evaluate

them (governance, development impact, value for money, etc.). In this report we draw on a “review of reviews” of MSPs, to highlight elements of good practice drawn from comparative studies of different partnerships tackling varied themes, and noting common problems many of them face.

A useful starting point is to recognise that while evidence of effectiveness of global MSPs is far from an exact science, there is enough evidence that some have worked better than others. Peterson *et al.* (2014) cite a study of 330 global MSPs from the Global Sustainability Partnership database, which suggests that only 24% are functioning effectively. The review does indicate, however, that when functioning well, MSPs can prove to be very effective in tackling global challenges.

Although the correct configuration of such partnerships is highly context-specific and needs to evolve over time as the partnership develops and confronts new issues, certain intangible factors or principles can be instrumental in the creation and maintenance of such arrangements of highly diverse constituencies (Rajalahti, *et al.*, 2008; Hanleybrown *et al.*, 2012). These include:

- **Clear objectives and a common agenda:** Multiple stakeholders have different objectives and interests. A partnership needs to be based on the identification and negotiation of common interests, needs, and capacities of participating organisations and individuals. What does each organisation bring to the alliance? What complementarities or gaps exist? What does each organisation hope to achieve through the collaboration? How can the alliance add value to partner activities?
- **Mutually reinforcing activities, shared responsibilities, costs and benefits:** Organisations and individuals participate in partnerships when: (1) they perceive that they will obtain benefits from the association, (2) the transaction costs are lower than the expected benefits, (3) benefits are perceived to be higher than those obtained by working individually, and (4) results do not conflict with other

key interests. A multi-stakeholder partnership thus seeks to benefit all parties; the interaction costs and responsibilities, as well as the benefits and credit for achievements, need to be shared among partner agencies in a transparent fashion.

- **Outputs as inputs:** Partnerships need to view research and development outputs as inputs to processes of innovation that are specific to a given place and time. Methods and tools developed by researchers will change as users adapt them to their needs and realities. Understanding why adaptations occur, the extent that they lead to positive or negative changes in livelihoods, and documenting and sharing lessons learned are key objectives.
- **Shared and linked measurement and learning mechanisms:** MSPs have a diverse range of participants. Identifying each group’s questions and willingness to participate in the partnership is critical to success. Flexible but connected measurement and learning mechanisms are needed.
- **Long-term, trust-based relationships:** Development processes stretch over many years or decades. To influence positive change and understand why that change has occurred requires long-term, stable relationships capable of evolving to meet new challenges. Trust is the glue that cements these relationships, but it develops gradually as partners interact with each other and perceive concrete benefits from the alliance.
- **Continuous communication:** Consistent and open communication is needed to build trust, assure mutual objectives and create a common motivation and commitment to the partnership.

Patscheke *et al.* (2014), Pattberg and Wilderberg (2014), Bezanson and Isenman (2012), Dodds (2015), OECD (2015) and Hazlewood (2015) review a number of global MSPs, including the Global Alliance for Improved Nutrition (GAIN), the Roll Back Malaria Partnership (RBM), the World Economic Forum’s New Vision for Agriculture, Grow Africa and Grow Asia and the Global Alliance for Vaccines

and Immunization (GAVI), among others. The picture that emerges from these reviews is¹:

(i) The most important common feature across several MSPs is the existence of a coordinating agency, also referred to in the literature as an implementing agency, backbone structure, or even “broker”

This agency acts as a glue, holding the other partners together, seeing that other conditions to maintain the partnership are met, and ensuring progress towards the common goal that the partnership set out to achieve. This agency need not necessarily have the expertise to tackle a complex issue. Rather, its role is to understand the ultimate aim of the partnership, to identify the challenges and the gaps, to bring in the necessary expertise and resources where needed, and possibly even to access funds when necessary. This role involves skills concerning building and maintaining networks, resolving conflicts, and sustaining working relationships between all actors in the partnership. The broker might have to learn to play new roles and functions when the need arises, to strengthen the weaker partners, to assess the efficiency and efficacy of the partnership, to negotiate for funding or explore new funding mechanisms, and to become properly educated on the entire partnership and thus more attuned to the needs of the day to maintain that partnership and achieve the goals it has set out for itself.

According to Patscheke *et al.* (2014),

The backbone provides strategic coherence around the common agenda, establishes shared measurement and learning systems, supports the mutually reinforcing activities of the different partners, and facilitates continuous communication. It needs to provide strong leadership for the initiative while building ownership among the different partners like a conductor of a symphony, allowing each participating organization to bring their particular strengths to the joint effort.

Table 3 summarises the roles such a coordinating agency can play at different levels of a multi-stakeholder partnership. For instance, GAIN (Box 8) works through a multi-layered backbone structure where each layer plays a distinct role. This requires coordination. In each case the global level of the backbone focuses on defining a high-level framework for action toward a common agenda and defining shared metrics, while the local level coordinates implementing partners on the ground in specific locations. A regional backbone structure can be useful in coordinating between global and local levels. Coordination among “layers” is difficult and has proven a challenge in all cases.

(ii) Global partnerships cannot be formed simply around an agenda or theme; they need focused strategies and execution plans in order to succeed

The process of committing to a shared agenda can take place through an agenda-setting process involving all stakeholders, who can share their perspectives on the problem. This process can ensure buy-in from the partners, legitimacy of the partnership and can build understanding and trust among the partners. For instance, the World Economic Forum’s (WEF) New Vision of Agriculture spent an initial six months meeting with governments, agri-businesses, investors, farmer groups, development agencies, and civil society groups to make the case for action and agree on the core issues to address. Once the boundaries of the issue were set, it took another year to develop a strategy to guide the partners’ actions. The resulting agenda contains a three-pronged vision for change that encourages a holistic approach to agricultural development by addressing food security, environmental sustainability, and economic opportunity.

(iii) Careful consideration needs to be given to the regions in which partnerships operate

From the outset, new partnerships need to assess countries and regions most in need of action when it comes to what the partnership aims to achieve. However, they should also consider the level of the national government’s recognition of the problem and its willingness to act. What are the resources available, financial and otherwise to dedicate to

1 The points in this list draw heavily from the analysis of Patscheke *et al.* (2014).

the problem? Are there local champions to take on the issue? Partnerships work best when they align with country priorities and work through national and local planning, budgeting and fund allocation

systems in order to protect national sovereignty, build genuine ownership and strengthen capacity, and to enhance the efficient and effective delivery of finance and other means of support.

Table 3. Key roles of backbone organisations to ensure success

	GLOBAL	REGIONAL	LOCAL
Common Agenda	<ul style="list-style-type: none"> • Drive and fund strategy development process • Act as a steward of common agenda • Prioritise countries/ places for intervention 	<ul style="list-style-type: none"> • Support countries in creating local strategies (by translating global strategy) 	<ul style="list-style-type: none"> • Translate global strategy into local strategy and activities • Align existing plans/ activities
Shared measurement	<ul style="list-style-type: none"> • Establish a shared measurement system • Aggregate, interpret and share data • Identify key areas for learning • Provide technical assistance to local backbone/partners 	<ul style="list-style-type: none"> • Identify trends in specific regions • Facilitate learning across countries/ regions • -Provide technical assistance to local backbone/partners 	<ul style="list-style-type: none"> • Collect, interpret and share data • Facilitate learning across partners
Mutually reinforcing activities	<ul style="list-style-type: none"> • Mobilise and coordinate actors at the global and regional levels • Raise funds to support activities • Support implementation through technical assistance 		<ul style="list-style-type: none"> • Mobilise actors at the local level • Coordinate activities, convene partners • Raise funds to support local activities
Communication	<ul style="list-style-type: none"> • Encourage communication and knowledge sharing within the partnership • Ensure strong communication channels between different backbone levels • Create and maintain a sense of urgency with funders and partners • Advocate for policy change 		<ul style="list-style-type: none"> • Encourage communication and knowledge sharing among local actors • Promote external communications with different stakeholders

Source: Patscheke *et al.* (2014)

(iv) Mobilising adequate funding

While some partnerships have benefitted from being largely multiple-donor-led (GAIN, for example), others (especially MSPs operating at local levels through innovation platforms) have struggled to sustain themselves due to funding constraints. Partnership needs to combine the potential benefits of vertical funding models (e.g. pooling of diverse funding sources and blended finance; improved coordination and harmonisation; and reduced fragmentation and duplication of efforts) with the benefits of horizontal funding models at national and local levels (e.g. ownership; subsidiarity; flexibility; and local empowerment – all of which can contribute to enhancing development impact). They also need to support locally-controlled finance mechanisms where appropriate and feasible. While local funding mechanisms may not be suitable in all cases, global goals and targets that require local action need locally-accessible finance provided to locally-accountable organisations in order to succeed.

(v) Shared measurement systems to ensure progress

Partnerships need to design shared measurement systems not only to track key development indi-

cators, but also to define the goals and metrics to evaluate progress and design a process for learning from the data that is collected. Emphasis must be given to sharing insights and good practices throughout the system as partners are continuously learning what works and what doesn't on the ground. Ensuring robust monitoring and evaluation supports learning and knowledge sharing, evidence-based decision-making, and strengthens accountability for results among all partners, public and private.

(vi) Ensure actors bring particular needed skills to the partnership, and ensure activities are complementary and mutually reinforcing, leading to progress towards a shared goal

GAIN is a good example in doing this: civil society groups help to build community awareness and drive demand for fortified foods; private industry works on producing and supplying the necessary products and services; the Ministry of Health determines the local health needs; and donors spot gaps in the system and seek linkages with other programs. GAIN funds partnership activities, but also provides technical assistance (largely through external consultants) to governments, private sector partners and many local stakeholders on an

BOX 8. LONG-TERM AND SUSTAINABLE IMPACT REQUIRES SYSTEMIC CHANGE. THE CASE OF GAIN

GAIN, which has been convening multi-stakeholder partnerships around food fortification and nutrition since its launch in 2002, is increasingly starting to look at ways to encourage the development of an enabling policy and institutional environment in order to sustain the changes it effects. This follows years of programmatic experiences. Initially GAIN focused on setting up a one-size-fits-all three-year food fortification project in various countries, with public sector agencies taking on the executing agency function. Following a mid-term review, GAIN has changed its operations model after acknowledging:

- The organisation needed to take on a more direct role in partnership operations, including on decisions to bring in other partners or tailor technical assistance more strategically, where and when needed.
- A three-year period to build the foundation for a

sustainable nutrition (or even food fortification) program was unreasonable, given the time and effort needed to engage in changing policy to enable the sustainability of such programs. Such programs were likely to end with the end of GAIN support if effort was not made to ensure their inclusion in national government plans and budgets.

- Program governance and management was sometimes difficult with a public sector agency playing the executing agency role. This could lead to the partnership facing administrative delays, meeting infrequently or in an overly formal way, and to other partners (especially the private sector) losing interest or becoming frustrated.

Source: Moench-Pfanner and Van Ameringen (2012)

BOX 9. COMMUNICATION IN AN ERA OF SOCIAL MEDIA AND AN EXPANDING SUITE OF ICT TOOLS

In an era of increasing connectivity and a proliferation of social media options, potential exists to harness these to help MSPs improve their performance. Social media, however, are not a panacea for all the MSP communication and knowledge management issue, and need to be seen as part of a suite of tools. However social media could be more effectively utilised in a range of functions and practices.

1. Connectivity of partners

Social media could be used to connect partners, highlight partner activities, concerns, opinions and achievements, and ensure the partnership is on track to ultimately fulfil its goals.

2. Sharing knowledge, experiences, advice, practice notes, etc.

Social media, websites or forums are often only used to share news and updates. The impression is that this is ticking a “communication” box rather than unpicking ways and means to improve performance. A more useful way for MSPs to use social media, their forums, websites or even internal communication platforms is to share knowledge, experiences, advice and practice notes on how they actually go about putting the partnership into practice, what works and what doesn’t, what activities need to be undertaken, and was learnt along the way, among other things.

3. Monitoring and learning

Effective communication and knowledge management (including social media, websites, forums, etc.) can also prove essential in building an effective monitoring and learning system. MSPs now have the potential to harness the power of social media and other communication tools to create learning loops to ensure constant monitoring and learning, and therefore improved performance.

4. Transparency

While the aims and achievements of global partnerships are documented, accessible and shared, the “nuts and bolts” of practice (what worked and what didn’t, what partnerships actually do on a day-to-day basis) is a mysterious black box. MSPs could use social media more effectively to ensure greater transparency.

5. Communicating aims, lessons and results to the outside world

Legitimacy of global MSPs is reinforced by a commitment to share what they are doing and to what end to the world outside the partnership. Raising media awareness is another way to ensure the legitimacy of what they are doing.

6. Raising awareness of the issue and connecting with other MSPs, donors, and potential partners

MSPs could use social media and other communication tools to raise awareness of the issue they are concerned with, communicating the urgency and complexity of the problems they aim to solve. By doing so, they can also connect with other MSPs working on similar issues, locate potential partners they might have otherwise ignored, and communicate with potential donors and funders that might want to get involved.

7. Agenda setting

Partnerships with multiple actors face different challenges, and decision-making and agenda setting often prove difficult with numerous actors with competing and conflicting agendas. An effective communication system is essential as a way to smooth over differences and arrive at an understanding of a common agenda.

8. Scarce resources

In an era of budget cuts and scarce and stretched resources, social media and other information technology tools can prove useful in the effective management and governance of a partnership. Social media, video conferencing, Skype, document sharing platforms such as Slideshare and Dropbox and internal communication tools could be used more effectively to reduce costs of international travel and the difficult logistics of organising workshops and meetings among partners in an MSP.

9. Giving voice to the marginalised

Social media can also provide a voice to those marginalised in a partnership process, who can use it to ensure their contribution is heard, noted, and taken into consideration

Source: AtKisson (2015)

as-needed basis. Thus it can maintain a relatively lean organisational structure while working in several countries (see Box 8).

(vii) Efficient communication systems

Given different organisational structures, languages, cultures, ways of working and approaches to the problem at hand, the backbone structure needs to encourage and orchestrate communication across the partnership. For example, RBM organises periodic meetings as a platform for different country initiatives to meet, share experiences and learn from each other. It also organises support missions for members from the global backbone to meet in-country partners, as well as peer-learning visits between countries and regions to facilitate the exchange of experience and good practices.

Part of this communication agenda concerns influencing policy. Patscheke *et al.* (2014) explain that “The success of global partnerships depends on their ability to navigate a dynamic system of funders, thought leaders, issue experts, and other efforts promoting their cause. They therefore need disciplined external communication to create and maintain a sense of urgency on the key issues as well as to affect policy changes to build an enabling environment”. A global backbone agency is best tasked to take the lead in this role, using its chan-

nels of influence at the global level and lending its credibility to support in-country efforts.

For example, instead of advocating directly for a certain stance, GAIN positions itself as a partner and technical expert to those government actors tasked with setting international nutrition policy (Patscheke *et al.*, 2014). GAIN has thus become a go-to organisation in helping policymakers interpret data for decision-making. At the local level, the executing agency is tasked with engaging in evidence-based advocacy with the government (*ibid*). The New Vision for Agriculture operates in a similar way, using its legitimacy to engage policy makers and helping to interpret data (see Box 10).

(viii) Strong governance structures

Legitimacy of the coordinating agency is important, and it should be seen as representing the interests of all partners. Local ownership of the in-country implementing agency is critical to ensuring buy-in and the long-term viability of the partnership.

5.3. COMMON PITFALLS FOR MSPS

The reviews of global MSPs state that they are starting to see some contributions to development. However, there are a number of critiques that are

BOX 10. THE NEW VISION FOR AGRICULTURE

The New Vision for Agriculture has leveraged global platforms such as the G8 and G20 by using the legitimacy of its parent organisation, the World Economic Forum. Regionally, the WEF has incubated partnerships such as Grow Africa and Grow Asia. Through its participation in global and regional agricultural forums, Grow Africa seeks to increase the visibility and viability of investment opportunities in African agricultural value chains. To date, the platform has secured more than \$5 billion in investment commitments, and supports efforts in nine countries. Coordinated by the Africa Union, the New Partnership for Africa's Development (NEPAD) and the Forum, Grow Africa connects pioneering governments, businesses, investors, smallholders, and development

partners to align on common goals and commitments. Beyond convening investors, government representatives and agri-businesses at their annual investment forum, the platform has recently launched an annual report documenting private sector commitments, investments, and accomplishments in improving African agriculture in the participating countries. This report helps to hold companies and organisations accountable for their commitments in the region and showcases them for others to follow. Grow Asia, launched in 2015, aims to do the same for Asia.

Source: Patscheke *et al.* (2014)

already starting to emerge. A recent assessment, for example, claimed that they have “led to unnecessary duplication and overlap with each other and with country assistance programs, along with gaps, confusion, and waste, raising anew the perennial aid effectiveness issues of priorities, ownership, consistency of goals, and accountability for results” (Lele *et al.*, 2007).

Common pitfalls include disconnects between global strategy and local implementation, a lack of shared measurement systems, and insufficient structures to manage the complexity. There is also inadequate documentation of good practices. Weak or absent MEL systems were found to be a defining characteristic for many MSPs. Given that each actor brings into the partnership a unique set of skills and expertise, the role of monitoring, evaluation and learning along the way in the partnership also needs to be seen as a specialist role with time and resources allocated for it.

Hazlewood (2015) summarises some of the important factors that hinder the efficacy of such arrangements.

- Imposing rigid and top-down “blueprint” approaches and “conditionalities” with respect to strategies and priority setting, funding requirements and procedures, and implementation modalities – thereby undermining country ownership, and potentially distorting national and local development funding and investment priorities.
- Reinforcing a siloed (sectoral) and “projectised” approach to development problems and solutions, thereby undermining the potential to address the drivers of systemic change and for scaling impact through a more programmatic approach.
- Investing insufficiently in building the structures needed to manage the complexity and challenges of working effectively across global, regional and national/local levels. Seeking to expand the development role of the private sector in MSPs without putting into place agreed rules and other measures to ensure private sector transparency and accountability.

- Power imbalances in the governance and operation of the MSP, and exclusion or lack of meaningful participation of stakeholders, in particular local actors.
- Lack of shared measurement systems; weak monitoring and impact evaluation; insufficient focus on learning and knowledge sharing.

5.4. SDGS AND MSP PRACTICE

It seems apparent that global MSPs are going to become an increasingly prominent part of the development landscape. A key driver of this trend is the SDGs. These signal an increasingly strong framing of the international agenda in terms of achieving systemic change. The rise of global MSPs has in part been a response to the implementation challenges of meeting the Millennium Development Goals (MDGs). Looking ahead to the broader, more integrated and universal agenda of the SDGs, the challenges will be even greater and the stakes even higher – and will require a significant scaling up of public–private collaboration and collective impact to achieve the kind of transformative action and global scale systemic change that the SDGs call for. This suggests that the full diversity of partnership types from the local to the global level will be needed to deliver the SDGs (Hazlewood, 2015).

However, the SDGs bring both challenges and opportunities. Probably one of the key challenges is proliferation. It may be tempting to establish new MSPs to reinforce existing organisational mandates. In an ever more crowded landscape, this is neither efficient nor effective (Bezanson and Isenman (2014). The same authors point out, before setting up a new MSP or global organisation “one should think twice, and then think again”. Indeed, part of the rationale of the SDGs is to try and focus global development priorities on a discrete set of 17 goals (although with a much larger number of targets). These goals then provide a framework for organising the architecture of MSPs that can contribute to those goals.

The implication is that it is not new initiatives that are needed but new alliances where comparative

advantages are guiding principles in defining roles and modes of engagement. This may be a difficult message for international agencies. This time, however, the international community needs to get serious about the idea of a global partnership (Bezanson and Isenman, 2014). The key message is that international agencies need to focus on their role on adding value to, and building the capacity of existing structures, rather than engaging in turf wars and the creation of new silos (*ibid*).

The SDGs also provide opportunities. The first of these is the renewed emphasis on building partnerships as a way of delivering global development. This is elevated to the level of a goal. While this is a means to an end, it recognises that creating the appropriate architectures to address global issues is critical to being able to sustainably address development challenges in an era of uncertainty and rapid change. The narrative around the SDGs also recognises that how to build this architecture of partnerships and alliances is still an empirical question and is going to require an explicit effort to reflect, learn and incrementally upgrade practice. This legitimises (and presumably directs resources to) the development of frameworks for learning systematically about partnership performance in both development and research agencies. Box 11 provides an example of an initiative that is attempting to progress the learning agenda on MSPs.

The SDGs aim to start to address some of the MEL concerns that have plagued the global development domain. Specifically, the SDGs have defined a globally agreed set of goals and targets and in doing so have agreed accountability to these. They also place responsibility on the international community to establish unified MEL systems that individual organisations and countries can feed into. This renewed emphasis on MEL also encompasses a stronger learning agenda. Clearly the SDG process is not going to be perfect. It does, however, open up a new space to develop ways of finding operational expression to a systemic change impact pathway agenda that has so far struggled for global legitimacy.

In summary, despite the diversity of topics being addressed by global MSPs and the variety of analytical frameworks being used, a relatively coherent set of good practice principles is emerging. The ambition to find ways to address systemic change challenges over the last decade or so of the sort articulated by the SDGs has led to the emergence of a distinctive mode of partnership practice. Key messages concern the use of longer-term and more broadly framed visions and agendas, the importance of creating effective architectures of platforms at multiple levels (often through backbone organisations) and giving adequate attention to inclusion, governance, and monitoring, evaluation and learning.

BOX 11. THE PARTNERING ALLIANCE: COLLECTIVE DEVELOPMENT OF A FRAMEWORK FOR LEARNING

The Partnering Alliance, set up jointly by The Partnering Initiative and the Collective Leadership Institute, is a multi-stakeholder initiative that aims to create best practice reference standards for new partnerships as well as for existing ones to measure their current level of good practice against. The Alliance hopes to develop this as an open source standard: using existing best practice notes on how organisations approach collaboration, how they develop and implement partnerships, and what training, tools and guidelines they use.

The best practice reference standards will look at multiple aspects of the process of partnering across all phases: the setup, the operations and governance, the relationship between the commitment of the partners and the monitoring and measurement of results and of the “health” of the partnership. In each of these areas, it will set out best practice principles, criteria for measuring against those principles, and examples of ways to fulfil these criteria.

Source: <http://thepartneringinitiative.org/global-impact/the-partnering-alliance/>

This last point on monitoring, evaluation and learning probably can't be overemphasised. It is too easy to get swept along by the feeling that MSPs are an intrinsically good thing without ever building the evidence that they are delivering (Tennyson and Harrison, 2008); Hazelwood, 2015). As much of this review has found, the process of arriving at evaluative frameworks that can underpin MEL systems is fraught with difficulties. However, it is equally clear that a normative route to strengthening the capacity and performance of MSPs is in-

adequate. Echoing much of the material reviewed, the central challenge is to find ways to strengthen learning within global MSPs and to share lessons more widely. Tennyson and Harrison (2008) note the danger of accepting normative positions on partnerships, making the point that received wisdom often gets in the way of what we have learnt from practice (Table 4). The message for global MSP practice is that good practice is always contestable and that the achievement of overriding goals trumps business as usual.

Table 4. MSPs: Reality vs. Myth

ISSUE	ENDEARING MYTHS	ENDURING TRUTH
Aims	Partnerships are shaped around a common vision	The partners see the partnership activities as delivering their individual organizational aims
Drivers	Partner organizations are drawn together by a common goal	Partner organizations are drawn together by the complementarity of what they bring to the table
Context	Partners know each other well and partnerships benefit from a stable context	Partnerships are often most effective in fractured contexts where – by their very operation – they are building bridges and filling gaps
Champions	Individual champions are key to a partnership's success	Champions have a very limited function in partnerships – systems and structures are ultimately far more valuable
External inputs	Partnerships work best when locally owned and driven	Even local partnerships can benefit hugely from external inputs and interventions – in terms of sharing knowledge and experience as well as leveraging further resources
Boundaries	Ring-fenced partnerships are likely to be most successful	Innovation in partnerships depends on a more fluid structure if new ideas are to evolve and new opportunities are to be seized
Costs	Partnering costs are so high they are likely to be unattractive to many	Managed well, and with early investment in partnership building, costs can be shared and reduced by coordinating not duplicating efforts
Wider benefits...	...occur when the partnership itself reaches scale or is replicated	...occur when all those involved take the lessons and outputs from the partnership and apply them in their own spheres of operation and influence

Source: Tennyson and Harrison (2008)



6

A SYNTHESIS OF KEY FEATURES OF MSP PRACTICE

This review has examined MSP practice in two distinct framings. The first is AR4D, framed by concerns about making more effective use of agricultural research in impact processes. MSP practice in AR4D is also informed by historical views on how impact takes place: solving isolatable technical problems and transferring results, farmer empowerment and more latterly with innovation systems perspectives. Aspirations are towards strategic partnerships that contribute to the SDGs and the systemic change impact pathways that these imply. The review of AR4D MSP practice in section 3 of this report has couched this as a shift from PIM mode 1 (Agricultural research partnerships) to PIM mode 4 (Global development innovation partnerships).

The second is global MSP approaches framed by concerns about the need for collective action to tackle complex global development challenges. Practice is informed by a tradition of action rather than research. Many global MSPs are virtual organisations of relatively recent origin. These have either been conceived as interventions with systemic change impact pathways or have evolved into this position through trial and error. Global MSPs are seen as key intervention strategies to progress the SDGs and resemble PIM mode 4 (Global development innovation partnerships).

The documented experience of practice and good practice in these two framings have similarities and distinct differences, and common and dissimilar weaknesses.

The idea of MSPs in both framings has a diversity of meanings, rationales and operational forms. Perhaps, not surprisingly, the evidence base of effectiveness of MSPs (and partnerships in general) in achieving targets and goals is limited. The lack of a robust and widely agreed upon framework for judging effectiveness adds to this challenge. This extends to the existence of contradictory assessments of the performance of the same MSP by different studies (for example, GAIN and Roll Back Malaria were reviewed very differently in Bezanson and Isenman, 2012 vs Patscheke *et al.*, 2014). What constitutes good practice is therefore not an exact science.

The practice accounts in the two framings are very distinctive. In the AR4D framing, practice accounts are largely concerned with individual platforms of MSPs, often at a local scale with a focus on the “nuts and bolts” of facilitating and organising these individual platforms. There is certainly an aspiration to engage in systemic change impact processes and recognition of multi-scale platforms. However, there is a gap between aspiration and practice.

Much of current MSP practice resembles PIM mode 2 (mobilising technology to create value for farmers and companies). PIM mode 3 (contributing to changes in food systems that create social and economic value) are largely aspirational. Accounts of AR4D practice suggest that this has restricted the scale of impact of these approaches.

The global MSP practice literature frames good practice on a much broader canvas. Emphasis is placed on what is needed to mobilise collective action across multiple scales to address broadly conceived development challenges. Less emphasis is given to the “nuts and bolts” of individual platform practice. The most important aspect of this practice is that it has been shaped by a very clear vision of addressing challenges through systemic change. Unlike the AR4D practice this vision is not contested and does not have to compete with earlier framings of how impact and scale can be achieved.

There is another important difference between accounts and analyses of AR4D and global MSP practice – many of the accounts of AR4D practice are written by protagonists from the AR4D community. In many senses they have a stake in the practices being explored (the authors of this review included...). There is a fine line between success stories and objective accounts. Perhaps this explains the paucity of objective evidence and critical analysis of innovation platform effectiveness. In contrast, accounts and analyses of global MSP practice seem to be largely written by external observers and analysts. In reviewing this literature one gets the sense that it is much more willing to be critical and analytical. As a result the good practice principles that emerge from this literature seem better articulated and grounded.

Another key difference between the AR4D and global MSP practices is in terms of how effective the two communities have been in progressing the systemic change agenda. The most obvious dimension of this concerns platform architectures. Hazlewood (2015) echoes many others by suggesting that MSPs can contribute to the systemic change agenda by:

Providing multi-level platforms or networks for achieving sustainable impact at scale by opening up new opportunities for collaboration; linking action across multiple scales from global to local and local to global; and by facilitating rapid learning and efficient knowledge transfer, both horizontally and vertically.

In the AR4D domain the majority of efforts appear to have been placed on establishing community level innovation platforms. These are largely disconnected from platforms and other groups at higher scales. Impacts are at local scales and often restricted to project cycle funding. There are understandable reasons for why the emphasis has been placed at the local level. This is ultimately where impact needs to happen and this is a key operational interface. However, without any architecture linking these platforms to higher-level platforms, they have little scope for tackling overarching policy and institutional constraints or aligning with longer-term (and wider-scale) development goals and plans.

In the global MSP domain the following features and architectures are observed:

- There are multi-layered platforms, but most, critically, are locally-embedded platforms that focus on immediate local issues (including local policy dynamics) but are linked to a global platform that share information between different regions.
- The global platform, in addition to acting as an information sharing facility, has a critical role in mediating between the need to muster support for immediate development issues as well as being part of the process of setting the longer-term agenda for global priorities. In some cases this is about setting the longer research agenda, in others about setting the good practice agenda or standards. In yet other cases it is about setting investment priorities or helping to frame or monitor global development plans.
- The subsidiarity principle is key to the effective operation of these multi-scale operations. Stakeholders and platforms at different system

levels have comparative advantages at certain levels. This helps avoid crowding out of capacity development of local and intermediary scale actors by international agencies.

- Generally these MSPs are less like a multi-scale bureaucracy and more like a club or community of practice. This is important as it allows such initiatives to act as a genuine platform, allowing a variety of stakeholders to engage as and when appropriate and in ways amenable to different types of actors: e.g., public vs private sector engagement modes. Operating in this way requires a much flatter governance structure with a strong focus on alignment of autonomous activities and helps avoid agenda capture by vested interests.

6.1. TOWARDS MSP GOOD PRACTICE IN AN ERA OF COMPLEXITY

A key message from this review is that complexity and the need to address systemic change challenges is going to be a guiding force in global development efforts in coming years. The framing of the SDGs gives both focus and urgency to the direction of partnership practice. This review has already explored both the “nuts and bolts” of platform practice as well as strategic considerations in pursuing the systemic change agenda. Four issues stand out that have relevance for the CGIAR and the AR4D community more generally.

- a) Strengthening existing and emerging MSP platform architectures.** Architectures linking local to global scales are key to achieving impacts at scale and as a way of reconciling immediate and long-term development agendas. Often the building blocks of such architecture already exist. The priority is to ensure that efforts at different levels articulate, rather than establishing new parallel and competing arrangements.
- b) Clarify roles within emerging architectures.** The principles of comparative advantage and subsidiarity are going to be key, both in terms of effectiveness and in terms of capacity building. This is a particularly important consideration

for international agencies. In many ways these emerging global architectures represent a new world order in which they need to find an appropriate route of engagement and this in turn might mean a reframing of roles and responsibilities. The same applies to the roles and responsibilities of the public, private, and tertiary sectors in these arrangements.

- c) Strengthen learning, strengthen capacity building.** Engaging with complexity means engaging with uncertainty. Arriving at modes of practice that are effective in addressing system challenges are, therefore, by their very nature always going to be experimental. A key priority for building capacity is going to be strengthening learning in and around MSP practice. The development of appropriate (and widely accepted) evaluative and analytical frameworks to help assess partnership performance is important. Agricultural research organisations could and should play a much stronger role in developing these frameworks.
- d) Strengthen change mechanisms.** Lessons and experiences from the ongoing evaluation of MSP practice suggested above need to be translated into practice change. This needs to be aligned with and embedded in change mechanisms that seek to reform and evolve the role and capacity of agricultural research organisations.



7 IMPLICATIONS FOR THE CGIAR

The implications of this review are challenging, but at the same time not new. Already articulated in various ways through numerous reviews and guidance statements, the message here is once again that the CGIAR needs to engage in a full range of MSPs. This review has revealed that there is an abundance of practical advice about MSPs and partnerships in general. The CGIAR has itself commissioned and published a number of good practice manuals on the topic (see examples in Horton *et al.*, 2009; annex 1). The challenge for the CGIAR does not concern its practice in MSPs at different levels – to which this review can add little new value. Rather, the challenge concerns how the CGIAR addresses the realities of the systemic change agenda implied by the SDGs, the complexity of many of the agricultural development and food security challenges that it is mandated with and the nature of the partnership architectures needed to deliver on this mandate.

This is challenging for two reasons. Firstly, operating through either local or global MSP platforms (both of which the CGIAR already does) will on its own be insufficient for the work of the CGIAR to effectively contribute to systemic change and impact at scale. As this review has explained, a key element of global good practice is the creation of (or at least participation in) nested platforms/architectures or backbone structures that link local and global agendas and that both address defined problems locally, but also address systems change at appropriate scales. This is challenging for the CGIAR as it inevitably means that its route to achieving impact at scale involves partnering with broader developmentally-framed architectures of MSPs of the sort implied by the SDGs. This is not unheard of in the CGIAR. This would, however, have to emerge as a core practice. This could challenge and even contradict many of the hard won institutional innovations in the CGIAR, including the CRPs.

An implication for the CGIAR is that decisions need to be made about the types of partnership it needs to focus on. These decisions need to be made not just based on its current comparative advantage, but also cognisant that partnership decisions are decisions about the scale of impact that can realistically be achieved. To help frame these decisions, Table 5 below illustrates a range of potential patterns of AR4D partnership practice and the impact scale associated with these. The purpose of this table is not to suggest that the CGIAR should concentrate its efforts at one end of the spectrum or the other. Rather, it tries to make explicit the choices and trade-offs that need to be navigated.

Table 5. Patterns of AR4D partnership practice and scale of impact

SCOPE	FARM (HOUSEHOLD)	LOCAL	NATIONAL	GLOBAL
Desired results	Improved productive and farm livelihoods	Improved local services and markets	Sustainable, profitable and equitable agri-food systems	Food security, poverty eradication and other SDGs
Changes required	Enhanced farmer adoption of new technologies and practices	Enhanced innovation capacities of local actors	Organisational, institutional and policy reform in innovation support services, markets, governance and the enabling environment	Global agenda setting Reconciling and coordinating long- and short-term goals, and national and global agendas
Convener of multi-stakeholder partnerships	Farmer champions	Local NGOs and CBOs; research organisations; local public development agencies	National planning commissions; Public innovation catalyst agencies; Non-governmental agencies using public funds	Multilateral, international and Supra-national agencies
Key stakeholders	Farmers, NGOs, public and private advisory and research services	Local government, entrepreneurs, service providers, civil society	Ministries, branch organisations, NARS, private sector and civil society organisations	National governments, RECs; INGOs; International branch organisations; IARs
Multi-stakeholder partnership mechanisms	Participatory research and development; farmers groups	Local innovation platforms	Local and national innovation platforms	Global Communities of Practice; Platform of platforms. Global MSP
Architecture of multi-stakeholder mechanisms	A series of disparate farmer groups	Unconnected local innovation platforms	A network of innovation platforms, convening mechanism, and mission-oriented public-private sector partnerships with effective links between local and national scales	Globally integrated MSPs, with local to global backbone structure
Scale of impact	Low /High			

Source: Authors

A related point concerns how the CGIAR as a science agency could best add value to the effectiveness of MSP architectures for systemic change. There are implications for the role of the CGIAR, but also issues for the scope of the science agenda. Specifically if such architectures of partnerships are the route to impact at scale, understanding the underpinning processes, institutional arrangements and practices and their impact effectiveness becomes key to the CGIAR's ability to learn how to organise its work effectively and help build capacity in partner organisations. This aligns with the partnership learning agenda of the SDGs. However, more fundamentally it addresses the lacuna of a science agency struggling to deliver impact at scale through agricultural productivity science, but without adequate attention being given to the science of impact delivery. This science agenda goes beyond impact assessment (although this remains important) and needs to get to grips with understanding what works, under what circumstance and why.

The second and probably the most challenging aspect of the CGIAR partnering with broader developmentally-framed architectures of MSPs is that it will need to clarify its role and mode of engagement with the global SDGs. The challenge lies in the fact that these MSPs will need to operate on principles of comparative advantage and subsidiarity. As an international agency it means that the CGIAR should, in principle, not be leading MSPs at local or national levels, although it might be involved in strengthening capacity of others to do so. Equally, as a research agency it is unlikely that it will be best placed to lead global development MSPs where solutions involve much more than technology and research findings. The CGIAR has always recognised its "research, bridge, broker, catalyst" role. However, the challenge is defining when those different roles are most appropriate.

As a way forward we present Table 6, which illustrates different PIMs on the local to systemic change continuum and suggests appropriate roles the CGIAR could play. This is intended to be illustrative of the type of exercise the CGIAR could use to consider how it engages and what role it plays in the emerging global MSP architecture. Critical considerations in this exercise are the principles

of comparative advantage and subsidiarity. To this end, Table 6 illustrates a number of different roles that an international science organisation could play. These include:

- a) **Science leader:** Creation of foundational science, including frameworks, tools and discoveries that underpin applied science in the domain of food security: these are typical international public goods (IPGs) and span the bio-physical and social and economic sciences. These provide new ways of understanding problems, addressing challenges and creating new opportunities for avenues of adaptive research.
- b) **Research for development practice leader:** Creation of foundational practices and approaches, including the accumulation of evidence of effective practice and the development of generic propositions and principles that can be applied in the practice of using agricultural research for development. This may involve convening communities of practice.
- c) **Capacity building:** Sharing and creating capability in foundational science and practice.
- d) **Convener of MSPs:** Convening MSPs where knowledge transfer from and to research is the overriding concern.
- e) **Research service provider:** Responding to research demands from the planning, evaluation and implementation of developmentally-framed initiatives.
- f) **Trusted advisor:** Providing knowledge and science expertise to development planning and practice.
- g) **Interested stakeholder:** Representing and communicating the agenda of AR4D, learning about other agendas, participation in communities of practice.

Table 6. The Role of Agricultural Research in Different Impact Settings

	Discrete technical challenges	Discrete agricultural impact challenges	Complex agricultural impact challenges	Complex global impact challenges
Examples	Pest resistance, analytical frameworks, models and platform technologies	Agricultural productivity/business competitiveness	Food security/poverty reduction/economic growth	Development challenges framed by SDGs
Impact pathway	Invention Research makes knowledge and technologies available for others to use	Technology transfer Research collaborates with technology delivery and adoption stakeholders	Strengthened innovation capacity Research forms part of the capacity of agricultural innovation systems to continuously create integrated sets of technological, policy and institutional innovations	Societal adaptation in response to global challenges (Systemic change) Research embedded in global multi-stakeholder process to create new policy and institutional regimes that reframe the way knowledge, investments and behaviour of the public and private sector and individuals are mobilised to address global challenges
Partnership and innovation modes	PIM 1 Research consortia	PIM 2 Partnerships, platforms and alliances with the private sector, NGOs and farmers' groups creating value for farmers and companies	PIM 3 Interlinked farm-to-policy multi-stakeholder processes and partnerships action changes in food systems that create social and economic value	PIM 4 Global architectures of MSP platforms create coherence between global and local agendas and implementation strategies and action that brings about systems adaptation
Scale of impact	Dependent on linkages to other delivery, innovation and societal change processes	Quick wins, but restricted to scale of project, mission or commercial opportunity	Long term, but enduring impacts at value chain or national scales	Long term enduring impacts at global scale
Science agenda	<ul style="list-style-type: none"> • Science discovery • Building scientific capability 	<ul style="list-style-type: none"> • Learning technology delivery practice • Trouble shooting application challenges 	<ul style="list-style-type: none"> • Learning innovation practice • Identifying new research priorities 	<ul style="list-style-type: none"> • Communicating existing knowledge and evidence • Reframing science enquiries and practice
Role of the CGIAR	<ul style="list-style-type: none"> • Leading science discovery research 	<ul style="list-style-type: none"> • Leading technology delivery practice research • Leading technical capacity building • Convening and brokering delivery partnerships 	<ul style="list-style-type: none"> • Leading innovation practice research • Research service provider and or trusted advisor • Catalyst in innovation capacity development • Convener of community of practice 	<ul style="list-style-type: none"> • Trusted advisor • Service provider • Agriculture domain expert and stakeholder



8 KEY MESSAGES FROM THIS REVIEW

PARTNERSHIP AND INNOVATION MODES PROVIDE A FRAMEWORK FOR EXPLORING AND STRENGTHENING PARTNERSHIP PRACTICE

Different problem and impact setting require different PIMs. These range from research partnerships tackling knowledge discovery through to highly complex partnership architectures tackling global issues framed by the SDGs. All of these PIMs are valuable. The ability of these different modes to contribute to sustained impacts at scale, however, are contingent on effective integration and articulation mechanisms. Recognising these different modes of partnership and their interrelatedness provides a lens to explore innovation and partnership practice and the role of the CGIAR and other international research organisations in the SDG era.

IMPACT AT SCALE MEANS SYSTEMIC CHANGE

Many of today's food security and development challenges are systemic in nature. A systemic change agenda is explicit in the framing of the SDGs. All international agencies including the CGIAR are going to need to proactively engage with the realities of this. Engagement with multi-scale interlinked MSPs will be central to this.

ENGAGING WITH SYSTEMIC CHANGE MEANS ENGAGING IN NEW PARTNERSHIP ARCHITECTURES

The CGIAR and other international agencies do not need to and should not create their own MSP architectures linking local to global levels. The CGIAR and others may well need to organise local level innovation platforms or national level policy dialogues. Such activities will only be useful, however, if they are implemented cognisant of wider systemic change processes. This will require explicit efforts to find ways to articulate action and agendas among MSPs at different scales. Critical to this will be the ability of the CGIAR and others to identify existing architectures or backbone structures and to contribute to these constructively in supporting or leading roles.

THE CGIAR WILL NEED TO PLAY DIFFERENT ROLES AT DIFFERENT LEVELS IN GLOBAL MSPS

The emergence of global MSPs as a core approach of SDG efforts provides a useful opportunity for the CGIAR to clarify its role in different levels of MSPs that reflect its core strengths and mandate. As it shifts to a more strategic partnership model, its role as a service provider and trusted advisor will need to increase. This does not mean that its existing mode of using MSPs to test and develop foundational science and practice is redundant. Quite the contrary, this role, if effectively linked to MSPs, becomes a critical component of knowledge application and systemic change agendas.

ESTABLISHING THE SCIENTIFIC BASIS TO LINK MSP PRACTICE WITH IMPACT

Innovation systems and related systemic change concepts make a strong theoretical case for an impact pathway premised on more effective interplay between patterns of partnerships, institutions and policy. The development of a framework to better understand this and the creation of an evidence base on what works and how is of particular importance to the CGIAR as a science organisation. The CGIAR has a core knowledge role (IPGs) in helping understand how innovation and impact processes work and the nature of effective practice. In addition, its ability to contribute to impact needs to be grounded not only on understanding how this process works, but also on developing and adopting practices that enable it to do so. Understanding the health of the wider system in which it operates, and the ability to ensure the continuous improvement of innovation and partnership practice at Centre, MSP and System level that this reveals, are thus central to the CGIAR's Theory of Change.

DONOR SUPPORT FOR BETTER EVALUATION AND LEARNING

In a shrinking funding environment for the CGIAR, and AR4D generally, there is an increasing political need for donors to show evidence of impact from project and program funding. This is understandable, but it has created perverse incentives focusing attention on opportunities for quick wins. This is particularly challenging for agricultural research, where impact pathways are often long run and complex. The tension between short-term impacts and long-term capacity building of systems for impact at scale is most keenly felt in MEL conventions. Part of the challenge here lies in the fact that while donors are starting to acknowledge the importance of systemic change as a route to impact at scale, frameworks that would allow progress to be monitored and reported with any degree of confidence, are absent. More accurately, an "industry standard" on how to do this has yet to be co-developed and yet to gain wide stakeholder legitimacy. Donors could consider partnering with the CGIAR in developing such a framework. It would help upgrade CGIAR impact performance, and reduce the risk of donors investing in the process of partnership and innovation with little chance of impact success.



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ANNEX 1:

PARTNERSHIPS – ANNOTATED BIBLIOGRAPHY

1. CGIAR REVIEWS, EVALUATIONS AND POLICY DOCUMENTS

1.1 LITERATURE REVIEWS

The first three papers were prepared in the context of the Organizational Change Program for the CGIAR funded by the Ford Foundation in the late 1990s.

Merrill-Sands, D. and Sheridan, B. 1996. *Developing and managing collaborative alliances: lessons from a review of the literature*. Organizational Change Briefing Note No. 3. Boston: Support Program in Organizational Change for the CGIAR Centers. Simmons Institute for Leadership and Change, Simmons College.

The document summarises lessons from a review of the literature on collaborative alliances. Specific goals of this review were to pull together findings from diverse sources on the relative advantages and disadvantages of strategic alliances and inter-organisational collaboration, and to extract relevant lessons for designing, managing and sustaining effective alliances, particularly in research.

The review indicates that while collaborative alliances can add value and contribute to organisational effectiveness, the costs and management challenges are often greater than expected.

Spink, L. and Merrill-Sands, D. 1999. *Successful collaborative partnership: Key elements and a*

***self-assessment inventory*. Organizational Change Briefing Note No. 5. Boston: Support Program in Organizational Change for the CGIAR Centers. Simmons Institute for Leadership and Change, Simmons College.**

Based on previous literature reviews and on experiences with CGIAR Centers, Spink and Merrill-Sands present a synopsis of key success factors for collaborative partnerships and elements of a self-assessment inventory. They identify a set of Foundation Elements, defined as actions that need to be addressed in the initial stages of forming partnerships, to begin the process of developing a climate of openness and trust; and a complementary set of Sustaining Elements, which are defined as actions that are needed to maintain the energy, commitment and enthusiasm necessary for sustaining a partnership over time.

Gormley, W. 2001. *Selecting partners: Practical considerations for forming partnerships*. Tips and Tools Series. No. 2. Alexandria, Virginia. The Organizational Change Program for the CGIAR Centers. TRG, Inc.

The handbook focuses on selecting partners and practical considerations for forming partnerships. The handbook presents summary information on characteristics of successful partnerships, common challenges to effective partnering, determining if a partnership is the best way of working in specific situations, and guidelines for forming a partnership.

Özgediz, S. and Nambi, A. 1999. *Partnerships and networks: definitions, forms, and critical success factors*. Unpublished paper presented at the International Workshop on Partnerships (coordinated by WARDA and ISNAR) Boake, Cote D'Ivoire, 8–10 December, 1999.

Available only in draft form, the paper is based on the earlier work of Sands and Sheridan and a wide review of literature on inter-organisational partnerships. The authors identify three perspectives from which partnerships can be viewed in the context of international agricultural research for development:

1. The micro perspective of the individual partnership.
2. The meso perspective of the organisation engaged in one or more partnerships.
3. The macro perspective of the industry or sector with its network of partnerships.

Özgediz, S. 2000. *Reflections on the future of partnerships in the CGIAR*. Unpublished briefing note for the Chair of the Technical Advisory Committee of the CGIAR.

The note highlights four partnership domains of relevance to the future of the CGIAR:

1. Partnerships with other scientific institutions that have complementary resources, focused on research goals.
2. Value chain partnerships “to improve the flow of technology”.
3. Participation in global policy networks whose outcomes influence the work and results of the CGIAR and its partners.
4. Partnerships with other institutions oriented towards poverty reduction.

Horton, D, Prain, G. and Thiele, G. 2009. *Perspectives on partnership: A literature review*. International Potato Center (CIP), Lima, Peru. Working Paper 2009-3. 111 p.

The paper reports on a wide-ranging review of the literature on partnerships and other closely related

forms of collaboration. The paper summarises conclusions and insights from four distinct professional literatures: research studies in seven research fields (Management and organizational development studies. Public policy and public management studies. North–South partnerships. Science and technology policy. Knowledge–action linkages. Networking in international agricultural research. Economic studies of public–private partnerships in agricultural research); professional evaluation literature; practitioner-oriented reviews, guidelines and assessment tools; and CGIAR-related reviews, evaluations and policy documents. It identifies and analyses key cross-cutting themes and success factors and drivers of partnerships.

Evaluation literature – Key findings:

- There are a number of potentially useful frameworks for evaluating partnerships; however, few of them have been thoroughly tested and applied in real world evaluations.
- Most publications in this field appear to be based on the authors’ personal evaluation experience or on knowledge drawn from sector-specific studies of collaboration, partnership or related topics (rather than on previously published frameworks or methods for evaluating partnerships).
- None of the reviewed frameworks or methods for partnership evaluation appears to have been mainstreamed in evaluation practice.

CGIAR-related reviews, evaluations and policy documents – Key findings:

- Under the umbrella of the CGIAR, several reviews of partnership literature and experience have been conducted that grapple with important issues and present useful findings.
- Few of the reviews have been formally published and consequently, the reports are often difficult to obtain and have been ignored in subsequent work.
- Review and evaluation reports often lack descriptions of the methods used to gather and analyse information and draw conclusions, making it difficult to assess the extent to which

the findings reported are empirically or theoretically grounded.

1.2 SYSTEM REVIEWS AND EVALUATION REPORTS

World Bank. (2003). *The CGIAR at 31: An Independent Meta-Evaluation of the Consultative Group on International Agricultural Research*. Washington, DC: World Bank, Operations Evaluation Department.

Main recommendations to CGIAR related to partnerships:

- Develop effective system-wide strategies and policies that facilitate business-like partnerships with NARS, agricultural research institutions, NGOs, and the private sector strengthening the management and use of intellectual property and genetic resources.
- Analyse the advantages and disadvantages of establishing all or part of the CGIAR as a separate legal entity attuned to deal with today's realities on partnerships.

Bezanson, K., Narain, S. and Prante, G. (2004). *Independent evaluation of the partnership committees of the CGIAR*. Washington, DC: CGIAR Secretariat.

Considered as one of the most critical and insightful analyses of collaboration and partnership in the CGIAR (Horton, 2009), the authors provide the following lessons and recommendations for the CGIAR:

- There has been too much emphasis on partnerships as ends in themselves, and too little recognition that partnerships can create burdensome transactions costs.
- Recent partnerships in international development demonstrate a tendency to be driven by relatively non-specific notions such as "inclusiveness", "participation" and "voice". Such notions may be of the highest order of importance, but they have tended to divert attention away from the painstaking detail required for

successful partnerships.

- There are major issues and problems of asymmetry of power, influence, capabilities, experience and credibility, but these are seldom dealt with directly and transparently.
- Constituency committees are probably not the most productive way of building partnerships with either civil society or the private sector.
- As a basic rule, generic partnership arrangements should be avoided. Partnerships should be specific to function and objective and should be entered into only on the basis of *ex ante* utilitarian agreements bounded by specific rules and agreed divisions of labor.
- Especially where institutions with major differences in "cultural perspectives and traditions" are involved, the front-ended investments required may extend over several years in order to establish the specific basis for a partnership. These investments may include several years of effort prior to the signing of any agreements (if indeed agreements are possible).
- Evaluation criteria, standards and timing should be integral to partnership agreements. As already indicated above, these factors are considered essential by agreements.

The authors offer a rough typology of partnerships that vary in terms of the depth, intensity, and degree of formality of arrangements: Consultative, coordinative, complementatry, collaborative and critical partnerships.

CGIAR Independent Review Panel. (2008). *Bringing Together the Best of Science and the Best of Development. Independent Review of the CGIAR System*. Report to the Executive Council. Washington, DC.

The report of the Independent Evaluation of the CGIAR includes two chapters dedicated to partnership issues.

Chapter 6 – Reaching out to partners in development – assesses CGIAR efforts to reach out to other research and development partners.

The different types of partners are analysed:

- Co-sponsors: FAO, IFAD, UNDP
- GFAR: The Panel concurs that the Global Forum for Agricultural Research has a central role to play in facilitating CGIAR engagement with the breadth of stakeholders in agricultural research for development and that the CGIAR should support the strengthening of GFAR
- Inter-centre partnerships: important, but lacking in effectiveness
- Advanced research institutes: need for more joint programs. EPMRs suggest wide variability in individual centres' collaboration and relationships with advanced research institutes
- National agricultural research systems: key partnerships but in need of improvement
- Partnerships for capacity and institution building: much more needs to be done by all participants
- Partnerships with non-governmental organisations: mutuality of values a driving force
- Partnerships with the private sector: multiple obstacles.

The panel concluded that: *"while there is evidence at the Centers of an important range of partnerships with measurable added value, on the whole, the Panel finds that the CGIAR and its Centers are falling far short of developing the strategic potential of partnerships".* Furthermore, *"the recent External Program and Management Reviews (EPMRs) of all 15 CGIAR Centers refer consistently to the Centers' lack of appropriate tools to engage in and manage partnerships ... The result is a host of ad hoc partnership arrangements that lack strategic purpose"* (page 63).

Five lessons drawn from an independent World Bank evaluation of its global partnerships are offered as a "best practices framework" against which the CGIAR could address deficiencies in its current partnership arrangements:

1. A global strategy is an essential precondition to partnerships.
2. Financing requirements for partnerships need to be tightly linked to programs and program priorities, and the requirements for achieving success must be clearly presented.

3. Effective management is imperative.
4. Universally accepted standards of good governance need to be applied.
5. Measurement and evaluation need to be explicitly negotiated and stipulated in advance, as a foundation for partnerships and to establish a schedule of independent evaluations.

Recommendation 6. The Consortium and the CGIAR Fund together take a more strategic approach to partnerships with other actors in the production and delivery of international public goods.

Chapter 8 assesses the long-term partnership that has existed between CGIAR members and donors and the Centers. This partnership is viewed as a strong but "frayed" comparative advantage of the System. A "new compact" is recommended to rebalance the partnership. The review panel proposes a continuing close partnership between CGIAR members, donors, and the Centers, with new governance mechanisms that clarify responsibilities and authorities. The proposed "balanced partnership structure" would include a CGIAR Fund, a Consortium and other bridging institutions.

CGIAR Working Group 2. (2008). *The future of partnerships in the CGIAR. Report for Working Group 2 (Partnerships) to the Change Steering Team of the CGIAR.*

The report reviews experience with partnerships in the CGIAR, identifies gaps and problem areas, and proposes ways to address these issues in the future. Partnership is viewed from the perspective of "repositioning and raising the public profile of the CGIAR" as a research for development and knowledge management organisation oriented towards impact.

"Appropriate consultative processes with relevant non-member stakeholders need to be organized at the CGIAR System level to define strategic dimensions and main priorities ... The CGIAR needs to diversify its relationship in order to include the ministries and secretaries of Science and Technology and other public sector institutions that have mandates in areas of interest to the CGIAR, such as natural resources or climate change...."

The CGIAR should redefine its capacity strengthening strategy to include a wider partnership with universities, foster processes that equip those in the uptake chain with the necessary skills to bring about development impacts, reward capacity-strengthening activities by its scientists, and incorporate capacity strengthening activities that are within approved programs and projects ... A new 'Partnership Facilitation Unit' comprised of independent persons with extensive experience in partnership-building who are knowledgeable about the different constituencies engaged with the CGIAR should be created ..."

The report outlines a framework for a partnership policy that includes general principles, operational guidelines, areas that need new or strengthened partnerships (such as links to science and technology organisations, capacity strengthening and links to those responsible for policy and institutional change), creation of a "partnership facilitation unit", and incentive policies. The report highlights four aspects of partnership processes, and notes that each requires different resources, skills and institutional capacities:

1. Identifying and evaluating partnership opportunities.
2. Structuring individual partnerships.
3. Managing partnerships.
4. Learning from partnership experiences and improvement over time.

The Working Group recommends that the CGIAR develop a partnership strategy and create a Partnership Facilitation Unit.

Barrett, C. (2008). *A normative framework for social science activities in the CGIAR*. Rome: CGIAR Science Council Secretariat.

The author argues that in addition to the downstream partnerships with technology delivery agents, two other types of partnerships are needed, but often neglected: upstream partnerships with the advanced research institutes that hold comparative advantage in more basic research and horizontal partnerships with other international organisations working on related activities (e.g., United Nations agencies) and to larger NARS that have developed significant research capacity in specific areas.

ed Nations agencies) and to larger NARS that have developed significant research capacity in specific areas.

Smith, J. and Chataway, J. (2009). *Learning from the periphery: The CGIAR and Civil Society Partnerships*. Innogen Working Paper No. 72, Edinburgh.

The report presents key insights and lessons learned from the analysis of six partnerships between civil society organisations (CSOs) and CGIAR Centers, and discusses how they might best be organised and supported in the future. Some of the key insights include:

The most effective partnerships have a "shared history" that facilitates collaboration through well-established trust, working procedures, and localised or specialised knowledge.

Successful partnerships tend to be well resourced and allocate resources to strengthening the partnership itself, in addition to meeting project objectives.

Effective partnerships have the ability to communicate clearly both internally and externally, resulting in a common and clear understanding of goals, roles and ways of working together.

The organisations involved in a partnership may have divergent policy agendas, which can strain relations.

Successful partnerships often results in unforeseen outcomes that have relevance beyond the local context, and which can be "packaged" as international public goods.

The authors encourage the CGIAR and its partners to budget and invest more time and resources in developing "partnership platforms" that foster communication, establish trust, and build strong relationships over time.

They encourage Centers to develop institutional partnership strategies, in order to develop better, longer-term and ultimately more effective partnerships.

1.3 POLICY DOCUMENTS

CGIAR. (2011). *A Strategy and Results Framework for the CGIAR. For submission to the Fund Council.*

The document sets out the Strategic Results Framework providing the rationale and content that should guide international agricultural research in the CGIAR system in years to come.

The new CGIAR strategy is based on (i) defining its research priorities within an AR4D framework, (ii) integrating its capacities across existing centers, and (iii) reviewing its **partnering approaches** so that it can work more effectively to involve all relevant stakeholders in their best possible roles, not only in research, but also in translating research into innovations and development outcomes.

The **key role of partnerships** to reach concrete impact on the ground through the elaboration of an impact pathway for each CRP is highlighted in the document. It provides guidance as to how the Centers' research efforts in producing international public goods will interact with the work of other national, regional, and international organisations as well as other relevant development stakeholders and partners to achieve development impacts. CRPs will be the main organisational mechanism for planning and conducting research and will be built on three core principles: a) a strategic approach to organising research around impact on the four SLOs, b) integration of research across core competencies and c) clarity on and differentiation of partnerships at the various stages of the R&D process.

The Consortium Board recognises that the process of development of the SRF and the portfolio of CRPs did not respond to an appropriate time frame. The existing portfolio of CRPs has been formulated before the approval of the SRF. As a consequence, the current drafting of some issues may not be totally compatible with the principles and the conceptual framework defined in the SRF. These inconsistencies revolve around three main issues: current CRPs have been predominantly constructed starting from research outputs and research outcomes

rather than from clearly identified development outcomes as proposed in this SRF. Each CRP component should, according to the SRF, be defined in terms of clearly identified development outcomes and clear pathways and **partnership arrangements** should be described.

The document describes the evolving AR4D institutional landscape highlighting the importance of:

- **The emergence of innovation systems as a conceptual framework and partnerships as operational instruments.** In this context the range of partners for the CGIAR in the future will be much more varied than in the past, and will include not only traditional partners such as national research programs, ARIs, international agencies and the UN, but also newer ones such as private sector companies, development agencies, NGOs, CSOs and producer organisations, both in developing and developed countries. Working within an innovation systems perspective, the Centers will need to reach beyond traditional research partnerships in establishing broader associations with these other actors in such a way that they fully participate in the design of the research effort and are able to anticipate what will be required to scale up research outputs and develop the appropriate institutional and policy environments for the successful uptake of the new knowledge and technologies being generated at the research level.
- **The consolidation of regional and sub-regional organisations** to complement and support national research efforts and promote regional collective action in order to benefit from economies of scope and scale. While not replacing national capacities, they represent a significant opportunity, not only for productive interaction in terms of priority setting and program development, but also as potential partners for implementation.
- **The growing role of private sector providers** and the wider application that their upstream platforms will have and that will open up important partnering opportunities with public entities – both national and international –

that have downstream capacities across different crops and agro-ecological environments.

The document also highlights the importance of involving partners in the process of priority setting and definition of research outputs and the need to clarify/identify the specific roles of research and development partners.

In the context of CRP's organisation and implementation the document states that operations plans will further elaborate on impacts and impact pathways, more detailed budget distribution, responsibilities of each participating Center and partnership strategies. Specific guidelines are also given for the organisational structure and involvement of partners in institutional bodies.

On the Operations Plan to be established by each CRP: The partnerships that have been established, the role to be played by main partners and the source of their funding. Partnerships will be identified and justified on the basis of comparative advantages. Quality of research and development partners and partnership management is listed as one of the six Common Criteria for the design and assessment of CRPs.

The CGIAR Strategy and Results Framework Action Plan – October 2012

In 2012 the Consortium prepared an SRF Action Plan, which laid out plans for a new system of performance management for CGIAR based on the achievement of intermediate development outcomes (IDOs) at both the overall system level and the program level.

In the document it is proposed that as part of the SRF Action Plan process, the CGIAR Consortium develop, in collaboration with partners, a set of goals and targets of what makes for good partnerships, and then develop proposed actions to move current practice closer to these goals.

CGIAR. (2013). *Annual Report 2012: Partnership for impact*. CGIAR. Montpellier, France. 49 pp

The document has a specific focus on partnerships and presents several successful examples of partnerships in the four system-level outcomes (SLOs). The report includes a section on innovation networks and knowledge systems describing examples of CRP involvement in multi-stakeholder networks and platforms to scale up innovations and anchor CGIAR research in local realities.

The report also highlights the adoption of CGIAR Principles on the Management of Intellectual Assets (IA) as a landmark achievement. This first ever system-wide policy on IA will harness the strengths of all partners, including those in the private sector, to disseminate research outcomes with greater speed and scale.

CGIAR Consortium 2012 Reflections and 2013 Outlook: Accountability for Performance through Partnerships (January 2013)

In the 2012 Reflections section, the document highlights the outcomes of Global Conference on Agriculture Research for Development (GCARD) that led to a range of new commitments concerning partnerships, capacity development and foresight in the CGIAR.

In the 2013 Outlook, Partnerships is listed as one of the three 2013 key words (better alignment of CGIAR priorities with relevant priorities of partners and ensuring that CGIAR has effective partnerships to deliver impact).

Commitment is made to: Align priorities with those of development partners, engage research partners in the design and management of the CRPs, and implement programs in such a way as to contribute to building and strengthening capacities on many fronts.

GlobeScan. (2013). 2012 CGIAR STAKEHOLDERS PERCEPTIONS SURVEY – Final Public Report

In the second half of 2012, the CGIAR Consortium commissioned GlobeScan to conduct an independent assessment of the perceptions of CGIAR stakeholders, in an effort to have a clearer picture of

where and how partnership efforts need improvement, involving 1,071 (current, potential, past) partners in 115 countries.

Current and past partners are generally satisfied with their partnership with CGIAR with an overall 75% satisfaction rate expressed by former and current partners. The most often cited strength of CGIAR is the quality of its research.

Key partnerships indicators

Survey respondents were asked to evaluate CGIAR across 26 dimensions of partnership comprising eight key indicators of partnership: Collaboration, Accessibility, Expertise, Communication, Transparency, Capacity Building, Research Outputs and Research Outcomes. Overall, CGIAR is perceived favourably across the key partnership indicators with strongest ratings on Expertise (i.e., sector, region knowledge), Research Outcomes (i.e., research addresses development challenges, results in outcomes), and Communication (i.e., outbound communications are timely and insightful). The weakest perceptions of CGIAR are seen on Transparency (i.e., making complete and accurate information available, being accountable), and Collaboration (i.e., working effectively, fair distribution of work and funding).

Importance of Partnership Dimensions in Driving Perceptions of CGIAR Partnerships

Dimensions related to Collaboration and Accessibility are currently the most important in driving perceptions of quality partnerships among CGIAR stakeholders.

CGIAR Consortium Office (2013). *The CGIAR Strategy and Results Framework Management Update, 2013–2014 (December 2013)*

The document lays out the conceptual refinements and management changes required for improving the CGIAR accountability framework and to enhance the SRF implementation process. The report states that the various elements of the reform to date are relatively silent on what constitutes good

partnership and proposes that the SRF Action Plan puts in place CGIAR's goals and targets on the partnership front.

On the basis of the results of a Consortium commissioned survey (GlobeScan, 2013) and consultations with CRPs and Centers, a partnerships action plan to address the systems reported weakness on accessibility, collaboration and transparency has been developed.

The CGIAR Partnerships Action Plan has the following eight points:

- 1. 2015–2017 Partnership Strategy:** Develop a comprehensive partnership strategy grounded on the recent reform, the SRF and feedback gathered from stakeholders. Potential components of this strategy will be discussed through a dedicated online platform. This strategy should be ready in 2014.
- 2. CGIAR Partnership Committee:** CGIAR Consortium will create a Partnership Committee including members with extensive stakeholders' representation such as GFAR, YPARD, AWARD, CRPS and Consortium Office. This Committee will be in charge of all matters related to the definition and implementation of the partnership strategy for the coming two years.
- 3. CGIAR Research Programs Guidelines on partnership:** As the CGIAR Research Programs will start their second phase of implementation in 2017, the Consortium Office will define a set of concrete guidelines on partnerships in order to be used by them. These guidelines will be defined in agreement with the Partnership Committee and will be an integral part of the CGIAR Partnership Strategy beyond 2017.
- 4. Links with the CGIAR Governance Review:** the review analysed the three weakest CGIAR Partnerships areas (accessibility, collaboration and transparency) in order to define concrete actions that should be taken with regards to Governance.
- 5. CGIAR targets for partnership in 2015:** a comprehensive set of indicators and targets for 2015 regarding different partnerships dimensions will be defined in agreement with the Partner-

ship Committee. These targets will be closely followed by the Consortium Office and will play a critical role in the CGIAR performance management system that is being created.

6. **Capacity Building focus:** The results of the 2012 stakeholders' survey that has been completed for the CGIAR and for all of the CRPs will inform specifically targeted strategies for Capacity Building improvement.
7. **Stakeholders online platform:** This platform will be an open and comprehensive forum for exchanging opinions with the Consortium Office as well as giving feedback for ongoing or possible initiatives related to partnership all across the Consortium.
8. **2015 CGIAR Stakeholders Perception Survey:** The effectiveness of this Action Plan as well as the overall evolution of CGIAR performance in partnerships will be assessed again in a CGIAR Stakeholders Survey to be developed in 2015. Finally, follow up of this Action Plan could be done through the website www.cgiar.org where a special section has been created to inform the progress in implementing its eight points.

Note: The special section informing on the progress of the Partnership action plan cannot be found on the website.

Stakeholder consultation on CGIAR Strategy and Results Framework

Available at <http://www.cgiar.org/srfconsultation/>

As part of the (re)development of the CGIAR SRF, the CGIAR Consortium and GFAR are jointly implementing a broad stakeholder consultation that provides stakeholders and partners both inside and outside CGIAR with opportunities to provide inputs and feedback.

The consultation will take place in two phases (from November to March 2015) and feedback and ideas will be requested on the broad elements proposed within the SRF such as CGIAR's vision; mission; goals; niche, as summarised in a Summary SRF Document and in the second step on the Final SRF Draft.

Note to solicit feedback on key elements in the evolving / draft of the CGIAR Strategy and Results Framework Version (November 20, 2014)

One of the Key elements in CGIAR's Draft Strategy and Results Framework are Partnerships.

CGIAR will draw on a relevant set of lessons drawn from the past on factors that contribute to the success of partnerships:

1. **A common agenda.** All partners share a vision for change, including a common understanding of the problems and a joint approach to solving them through agreed actions.
2. **Shared measurement.** Collecting data and measuring results consistently across all partners in a large and complex landscape or oceanscape ensures that efforts remain aligned and partners hold each other accountable.
3. **Mutually reinforcing activities.** Partners must be differentiated, but they have to coordinate through a mutually reinforcing plan of action.
4. **Continuous communication.** Consistent and open communication lines are critical across a large and diverse partnership, in order to build trust, assure realisation of mutual objectives and create common motivation.
5. **Backbone support.** Creating and managing collective impact requires a designated entity with staff and specific skill sets, to serve as the backbone for the entire partnership, and to coordinate partner organisations.

CGIAR will mobilise its partnerships and foster policy dialogue to achieve change at scale, and develop capacities of CGIAR and its partners at individual, organisational and institutional levels.

On CGIAR Partnerships, the feedback requested from stakeholders was based on the following questions: (i) Do you agree with the above statement on principles of partnership? (ii) How do you think the CGIAR should/could address and implement these principles?

1.4 SWEPS AND CPS REVIEWS

The CGIAR launched system-wide and eco-regional programs (SWEPs), designed to create synergy among centre activities and to free research from the limitations of a commodity focus. These innovations were followed by the Challenge Program (CP) initiative, which aimed to address complex issues of global and regional significance by further integrating capacities across centers and diversifying partnerships. These new approaches produced improvements in some areas, but were often seen as parallel structures that competed with the centers rather than enhancing overall system efficiency.

Three distinct reviews of system-wide initiatives have been commissioned by the CGIAR, reflecting the contested role of these initiatives (particularly the SWEPs) in the CGIAR System.

CGIAR Interim Science Council. (2002). *Lessons learned in the implementation of systemwide programmes*. Rome: CGIAR Interim Science Council Secretariat. FAO.

The report noted that most of the programs experienced funding problems, particularly for their coordination units. It identified the following as success factors: strong scientific leadership, clear articulation of the problem being addressed, capacity to attract active and appropriate partners, and a convening Center that takes a keen interest in the program. The report recommended that the interim Science Council conduct an overall assessment of SWEPs to draw lessons learned from the Centers, their partners and investors.

Bevege, I., Egger, P. and Debela, S. (2006). *Meta-review of CGIAR systemwide and ecoregional programs*. Rome: CGIAR Science Council Secretariat.

The purpose of the review was to provide strategic recommendations for planning and managing SWEPs and for defining their potential role in the implementation of System priorities. The authors concluded that SWEPs were innovative, inter-institutional, multidisciplinary networks and consortia

that serve to strengthen the capacity and capability of all partners engaged in the research for development effort.

It was noted that the boundary between a SWEP and the core program of the convening Center is often blurred, leading to conflicts of interest, confusion of roles and responsibilities, multiple accountabilities, and ambiguities in decision-making and performance assessment.

The review identified the following key factors that influence the operation and performance of SWEPs:

- Building on existing successful programs or initiatives.
- Adopting a consultative planning process.
- Using participatory research approaches within an integrated natural resources management (INRM) framework.
- Engaging the private sector.
- Encouraging self-financed partners.

CGIAR Science Council. (2008). *The role of system-wide initiatives in implementing the CGIAR's research agenda: an assessment of current system-wide and eco-regional programs (SWEPs)*. Rome: CGIAR SC Secretariat.

The third review, in 2008, was based on the earlier reviews as well as more up to date information on SWEPs and the CGIAR System priorities for research. The review's focus was on the role of current systemwide initiatives in implementing the CGIAR's research agenda. The report combined review results and policy recommendations for the CGIAR.

The paper summarises the main conclusions and success factors for SWEPs identified in the 2007 meta-review. It concludes that the utility of the current SWEPs for implementation of the CGIAR system priorities vary widely, and suggests that future systemwide initiatives should play one of three roles: (1) systemwide coordination programs should support communities of practice and coordinate CGIAR research; (2) systemwide natural

resource management (NRM) initiatives should organise research on NRM to facilitate the production of international public goods; or (3) short-term, systemwide task forces should be piloted as a means of advancing new emerging research ideas where concerted action involving different partners could help accumulate knowledge for defining longer-term research programs.

CGIAR Science Council and the CGIAR Secretariat. (2007). *Lessons learnt from selection and implementation of the CGIAR Challenge Programs*. Rome: CGIAR Science Council.

The document presents two separate lists of lessons – one developed by the Science Council and one by the CGIAR Secretariat. There is no attempt to combine the two. Some lessons related to partnership follow:

- It is important that a CP engage groups that have expertise in new and innovative areas of science that can benefit the overall goals of the CP and complement the competencies of the CGIAR and national partners (Science Council).
- There is need to carefully consider what level of national research partner engagement is optimal for increasing the CP's likely success in delivering relevant outputs, for implementation and for out-scaling and impact (Science Council).
- The CP should consider whether investment in supporting the development of national research system capacity to apply for and manage competitive funds is the best focus for capacity building (Science Council).
- Although institutional representation of partners in a CP's governance structure has merits, a governance body with independent individuals appears to have more advantages and greater potential for effective and efficient performance (CGIAR Secretariat).
- Allocation of CP resources to partners has ranged from 30 to 60%. There is still scope for strengthening engagement and increasing the flow of resources to partners (CGIAR Secretariat).
- Differences in governance structure across CPs

makes it difficult to obtain consistent and comparable data for analysing the CP transaction costs (CGIAR Secretariat).

- In general, partnerships have been regarded in a positive light by CP partners. Although there were difficulties during the inception phases, there is consensus that the partnership model has been effective. National researchers have appreciated the skills gained through training and other capacity building activities. However, there are also remaining challenges that the CPs need to address (CGIAR Secretariat).

Woolley, J., Ribaut, J., Bouis, H. and Adekunle, A. (2009). *The CGIAR's Challenge Program experiences: A critical analysis*. Unpublished contribution to the first meeting of the Consortium Planning Team with the Alliance Executive and Deputy Executive (17–20 February, 2009).

This paper was prepared as an input into the CGIAR Change Management process by staff members of the four Challenge Programs (CP). The authors note that CPs, like some of the earlier SWEPS, have explicitly sought to engage a broader range of partners beyond the traditional agricultural research community within which CGIAR Centers have mostly sought collaboration. In this sense, the CPs are cross-sector partnerships, in the way this term is used by The Partnering Initiative.

Drawing on the literature dealing with multi-organisational collaboration, the authors identify five key objectives of working in partnership:

1. Knowledge sharing or creation: Foster information sharing and collaborative learning; cross-fertilisation of solutions; deployment of successful technologies.
2. Political motives: Accountability to stakeholders, greater leverage and political legitimacy.
3. Strategic motives: Access to resources and efficiency of resource use.
4. Fostering systemic solutions to systemic problems, mimicking the complexity of the system.
5. Fostering and accelerating behavioural and institutional changes through social learning.

The authors note that: “in order to make the CPs truly functional and attractive to non-CGIAR partners, and hence more useful to the CGIAR Centers, it was necessary for the Centers to relinquish control of the governance process” They go on to state that: “partnerships are highly valuable to innovative research for development ... Yet partnerships require extra investment in the sensitive coordination of different institutional cultures”. Based on the collaboration literature and on the self-assessment of their own experience with CPs, the authors list what they consider to be “best practices for building collaboration”.

1.5 CENTER REVIEWS AND POLICY DOCUMENTS

This section includes a review of Center Collaboration; Partnership related recommendation/comments in EPMRs; Partnerships strategies, where available (only CIAT, CIMMYT, ICRAF and ILRI have a strategy or guidelines on Partnerships) or Partnership sections in Centers’ strategic documents.

CGIAR Science Council. (2006). *CGIAR Center collaboration: report of a survey*. Rome: CGIAR Science Council Secretariat.

The Science Council’s Standing Panel on Mobilizing Science published results of a survey of CGIAR Center collaboration. The survey was conducted to assess the extent and nature of external collaborations at the CGIAR System level and to gather information on the most important organisations with which CG Centers collaborate, the type of collaboration they have with these organisations, and the extent and degree of activity in these collaborations. The survey highlighted considerable variability among Centers in the number of organisations with which they collaborate.

Based on the survey findings, several topics for future research were suggested, including the following:

1. What areas and methods of research in the CGIAR are more amenable to (or in need of)

partnerships or other kinds of collaboration?

2. What incentives drive organisations to pursue collaboration with CGIAR Centers?
3. How is bilateral aid influencing the choice of collaborator?
4. What mechanisms and modalities of collaboration are most appropriate for the CGIAR?
5. Under what circumstances should collaboration be formalised in partnerships?
6. What key elements make different kinds of collaboration work under specific circumstances?
7. What kinds of collaboration are most likely to generate benefits that justify the transactions costs involved?

AFRICA RICE

CGIAR Science Council (2008). *Report of the 5th External Program and Management Review of the Africa Rice Center (WARDA)*. Rome, Italy: Science Council Secretariat.

Main findings and conclusions:

Partnerships: WARDA embraces and values networks and partnerships, and this is to be commended. “Partnerships at all levels” is a WARDA motto, and the Panel has confirmed that this is not an empty phrase. “WARDA, that is us”, as said by its partners, typifies their special relationship with the Center. On the many questions regarding critical mass, WARDA’s responses invariably included NARS scientists. However, while the outcomes of partnerships and networks are unquestionably positive, they have come at high transaction costs. In the Panel’s view, partnerships should not substitute the need for critical mass at WARDA, to guarantee science quality. Furthermore, WARDA’s specific role in its partnerships needs to move upstream, seeking collaborations that are more science oriented. At the same time, WARDA needs to learn more from its partners, from their field experiences, and use this feedback more systematically in its own research.

No specific recommendation on Partnerships.

Africa Rice – A research for development strategy 2011–2020

The document provides only a general description of the key partners to implement the overall strategy.

BIOVERSITY

CGIAR Science Council (2009). *Report of the Sixth External Program and Management Review of the Bioversity International*. Rome, Italy: SC Secretariat

The EPMP report discusses partnerships at length in Chapter 3 “Modus Operandi” through the centre’s strategy and also in detail by Focus Areas (FA) of research programs implementation. There are a number of findings and “suggestions” but Recommendation 9 touches on partnerships marginally: “The Panel recommends that Bioversity better define, express and evaluate its outputs, outcomes and impacts and communicate effectively internally and externally the value of Bioversity and its partners’ work.”

Main findings and conclusions:

Bioversity carries out much of its research with partners around the world and is usually the initiator/leader/coordinator of the projects. This approach had many advantages such as being able to pick the best experts for the particular challenge. It occasionally results in additional financial and in-kind resources being leveraged by the Center that should be measured more systematically at the project level. It also should increase the probability that the outputs are converted into outcomes since local organisations have been involved in the research. But there are also some disadvantages: it carries higher risks such as the potential loss of quality control of the projects and the way they are carried out. Overall this modus operandi has much to commend it if the projects are properly inspired, designed and managed. All should note, however, that it is difficult to separate the performance of the Center staff from those of the partners in any review when considering the scientific outputs.

Bioversity – 10 year strategy 2014–2024

Partnerships only marginally mentioned.

CIAT

CGIAR Science Council (2008). *Report of the 6th External Program and Management Review of the Centro Internacional de Agricultura Tropical (CIAT)*. Rome, Italy: Science Council Secretariat.

Main findings and conclusions:

Research for development teams in Africa and Asia were generating observable impacts via integrated interdisciplinary teams and the Panel was highly impressed with their activities and mode of operation. They have developed strong collaborative partnerships with local and international agencies in pursuing impact targets. The Panel observed similar potential in LAC, which was not being realised due to diminishing support from CIAT, and recommended action towards a rejuvenated regional strategy for LAC.

Recommendations relevant to partnerships:

8. CIAT commission a task force of key stakeholders to assist the Center in developing a regional strategy for rebuilding its research programs in LAC.

CIAT Perspectives on Partnerships in Research for Development (May 2012)

The document presents the five conditions that must be satisfied for an organisation to be considered a CIAT partner: be organisationally independent; possess complementary research-for-development capacities; there must be reciprocity; information is shared between partners; solid financial compliance and legal status are essential. The report also outlines why CIAT enters into partnerships and the criteria CIAT takes into account when choosing partners. A brief description of CIAT’s partners divided into three broad categories: (1) mission critical, (2) region specific, and (3) technology focused, is also included.

CIFOR

CGIAR Science Council (2006) *Report of the 2nd External Program and Management Review of the Center for International Agroforestry Research (CIFOR)*. Rome, Italy: Science Council Secretariat

Main findings and conclusions

CIFOR has been very successful in building productive partnerships with a broad range of institutional partners, including national forest and natural resource research centres, NGOs, universities and the private sector, international, regional and sub-regional organisations, bilateral and multilateral agencies and advanced research institutions. These partnerships have contributed significantly to CIFOR's ability to mobilise research funding and complementary scientific expertise, and to enhance its scientific quality, output of international public goods, impact, and capacity to inform decision-making processes. CIFOR has been particularly successful in its partnerships aimed at informing and influencing global forest policy actors.

However, reflecting the relative weakness of developing countries' forest research institutions, many of CIFOR's partnerships are with individual scientists who may not be in forest research institutions, but in universities, national NGOs, and projects. Through collaborative research with CIFOR, both individual scientists and institutions become part of larger research networks and share in the dissemination of its results. While CIFOR's partnerships have resulted in significant capacity building of individual scientists, building institutional capacity in partner organisations continues to be a challenge.

Recommendations relevant to partnerships:

7. The Panel finds that CIFOR conducts its research through appropriate partnerships and that there are no indications of moving into niches where there are competitive suppliers.

CIFOR Research Priorities 2013–2014

No partnership guidelines or strategy in the document.

CIMMYT

CGIAR Science Council (2006) *Report of the 5th External Program and Management Review of the Centro Internacional de Mejoramiento de Maíz y Trigo (CIMMYT)*. Rome, Italy: Science Council Secretariat.

Even though the report includes a full chapter on partnerships and linkages, no specific recommendation is given, only a few suggestions:

- **Regional Network:** Under the new CIMMYT strategic plan being implemented additional staff will be outposted from Headquarters to the regions, and additional emphasis will be given to the role of partnerships with NARS and NGOs involving new approaches of doing business based on equality in sharing resources, contributions, accountability and credit in all these partnerships. The Panel suggests that as CIMMYT moves towards the full implementation of its new strategic plan, greater emphasis be given by Programme Leaders to better defining those interactions that are critical to the success of CIMMYT's strategy and ensuring these are given highest priority by outposted staff.
- **ARIs** were among those who flagged the difficulty of CIMMYT as a partner – principally, the constraints on staff time and an organisational culture that was not always nimble in forging or nurturing partnerships. These are critical shortcomings to address. If CIMMYT's strategy is dependent along many dimensions on sophisticated, highly strategic and advantageous partnerships, an explicit organisational value needs to be incorporated at critical points in priority setting, resource allocation and evaluation to assure that the partnership strategy is deployed. ARIs offer unique advantages to CIMMYT in the realisation of its new strategy and efforts should be made to analyse mutual benefits and current impediments to strengthening links with them.

Policy for the Development of CIMMYT Collaboration Agreements (September 2013)

This short document outlines the purpose and values of CIMMYT collaborations. It also states that collaboration agreements are developed, negotiated, agreed and signed at management level following the CIMMYT IP Policy and CIMMYT Intellectual Property Management Manual.

CIP

CGIAR Science Council (2008). *Report of the 6th External Program and Management Review of the International Potato Center (CIP)*. Rome, Italy: Science Council Secretariat.

In the Panel's view, CIP needs to open a space for partnerships and research on partnerships, and to empower CIP's regions to assure that the output-outcome inter-phase is realised.

Recommendations relevant to partnerships:

Recommendation 1. Because of the need to improve the effectiveness, transparency and visibility of the CIP program structure components, the Panel recommends that the current organisational structure be modified to include:

i. A Division on Partnership and Research on Partnerships, with the double mission of: (1) assisting CIP in the development of regional and country program partnerships specifically oriented to the mobilisation of the Center's main output; and (2) conducting research of an international public goods nature in the field of CGIAR System Priority 5C, Rural Institutions and their Governance.

The additional work needed to complete the implementation of the 2002 PERM recommendation regarding the need to formulate a strategy for engaging in different types of partnerships (See Chapter IV, Cross-cutting Issues), should be developed under this new Division.

ii. An identifiable space for CIP's regions as Regional Programs with true Regional Directors: (1) to design and implement regional and country partnerships, joint research activities in association with the Research Divisions, training programs and events;

and (2) to realise the potential research spillovers among countries within and across regions.

CIP Guidance on Partnerships with the Private Sector

<http://cipotato.org/about-cip/how-to-collaborate-with-cip/>

The Center's public website includes a section with specific Guidance on Partnership with the Private Sector (CIP defines the private sector not only as national and multinational for-profit enterprises and small-scale entrepreneurs, but also as public institutions or organisations that are entirely or mostly funded by industry, or that derive part of their income from selling products of their research). The page outlines the principles the Center adopts to formulate and foster its partnership with the private sector and the benefits CIP and the private sector can derive from the partnership.

ICARDA

CGIAR SC (2007). *Report of the Fifth External Program and Management Review of the International Center for Agricultural Research in the Dry Areas (ICARDA)*. Rome, Italy: SC Secretariat.

Recommendations relevant to partnerships:

Recommendation 9: The Panel recommends the development of a strategy for research in horticulture by identifying the subject matter where the return on research investments would be highest in the various agroecologies of the Dry Areas ... The Panel believes that networking and partnering would be the most appropriate instruments for knowledge dissemination and problem-solving, with ICARDA linking the NARS with advanced institutions.

Summary of Panel perspectives on ICARDA's inter-Center and collaborative arrangements

The Panel in general applauds ICARDA's approaches to collaborative and collective action as a way to improve effectiveness and efficiency in serving its

mandate for the Dry Areas eco-region. The Panel acknowledges that it requires time and resources to make and maintain effective collaborative arrangements. The Panel cautions against increasing the number of partnership arrangements which are not central to the research mandate of the Center.

ICARDA (2007). *Stragic Plan 2007–2014*

Partnerships are only generically considered in the Implementation section of the strategy.

ICRAF

CGIAR Science Council (2007). *Report of the Third External Program and Management Review of the World Agroforestry Center (ICRAF)*. Rome, Italy: Science Council Secretariat.

No specific finding or recommendations relevant to partnerships

The report cites a “Partnerships for advancing the Science and Practice of Agroforestry” that could not be found.

World Agroforestry Centre. (2008). *Partnerships strategy and guidelines*. Nairobi: World Agroforestry Centre.

The document notes that in 2006, the Center evaluated the status of its partnerships. The results indicated that while the diversity of the Center’s partners provided it with access to a wide range of skills and resources, and facilitated capacity building and achievement of outcomes, there were some concerns for the Center’s capacity to manage partnerships, which included the following:

- Unclear structure (typology or nomenclature) and hierarchy of partnership agreements.
- Varied and inconsistent structure and content of partnership agreements.
- Insufficient attention to legal aspects of partnership agreements.
- Problems in management and monitoring of agreements.

- Confusion over publication of joint research results.
- Weak coordination of relations with partners and sharing of knowledge within the Center.
- Inadequate mobilisation of partners’ capacity.
- Inadequate attention to selection of partners to ensure value added.

As a result of this evaluation, a Partnerships Directorate was established and the Partnerships Strategy and Guidelines were developed. The publication includes a section on partnership strategy and one on partnership guidelines.

The document outlines the goals and strategic objectives of partnering, defines partnership categories, discusses how the Partnership Strategy is to be operationalised, and presents 12 features of enduring partnerships. The section on partnership guidelines then defines types and durations of partnerships, lists a set of guiding principles, and lays out management principles for partnerships. Annexes identify important elements to be included in agreements, a template for memoranda of understanding, a form for assessing the state of a partnership, and a set of partnership assessment criteria.

ICRISAT

CGIAR Science Council (2008). *Report of the Sixth External Program and Management Review of the International Crops Research Institute for the Semi-Arid Tropics (ICRISAT)*. Rome, Italy: Science Council Secretariat.

Only one formal recommendation was placed under the heading of “Partnerships and capacity Building” (#11) which, in fact, addresses essentially the capacity building component. In Chapter 5, Partnerships and Capacity Building, the Panel states that ICRISAT has a strategic grasp of where partnerships add value and has defined the span of potential partners in a thoughtful, pragmatic way. These partnerships are both internal, involving CGIAR Centers (IARCs) and the Challenge Programs, and external, engaging the NARS, ARIs, the

private sector, civil society groups, NGOs, communities and farmer groups.

The Panel believes the Center's general ability to form good partnerships is critical, but that, in the face of prospective changes within the CGIAR System, positive partnerships with those in the System are likely to be predictive of a center's ability to develop and contribute to competitive multi-partner, multi-year mega-projects.

During the period of the review, ICRISAT's work with partners appears to have strengthened. The range and standing of partners also appears to be strong. The Panel believes that the Center has been particularly enterprising in exploring the potential of the private sector to be valuable partners in advancing the mission of centers like ICRISAT.

The Panel considers the strategy that ICRISAT has identified to guide its work with partners a good beginning but that it needs to be implemented more systematically and supported by a stronger framework for project planning and prioritisation. Good partners are an asset, poorly identified partners can result in loss of time and, ultimately, capacity to deliver impact.

Kavitha K, Padmaja R, Deepthi H, Anand Babu P, Mula RP and Bantilan MCS. (2010). *Strategic partnerships @ ICRISAT: Global partnerships for strategic impact*. Research Report no. 4. Patancheru 502 324, Andhra Pradesh, India: International Crops Research Institute for the Semi-Arid Tropics.

This study examines the public-private partnerships at ICRISAT in order to glean from experiences how best to effectively and efficiently develop strategic partnerships that work and to build a learning module on successful partnership management for ICRISAT staff and partners. Public-private partnerships are examined in the light of institutional behaviour and lessons learned, which facilitate/impede the exchange of potential pro-poor knowledge and technology. The focus is on three key issues: (1) the rationale for forging partnerships; (2) the benefits accrued; and (3) lessons learned from

ongoing partnerships to harness more successful strategic ties in the future. Collaborations between scientists of ICRISAT are examined, especially working linkages between and among researchers based in international, regional and national organisations spread across Asia and Sub-Saharan Africa.

IFPRI

CGIAR Science Council (2005). *Report of the 4th External Program and Management Review of the International Food Policy Research Institute (IFPRI)*. Rome, Italy: Science Council Secretariat.

While there are no specific partnerships recommendations, the Panel notes that IFPRI's strategy lists four criteria for prioritising its research: (1) conformity with the mission, (2) emerging (as opposed to long-standing) issues, (3) conformity with IFPRI's comparative advantage, and (4) wishes of stakeholders and partners.

The Panel believes that IFPRI should give serious attention to the issue of what its contribution will be in the area of global trade modelling, as well as the expertise, partnerships and resources required to effectively make this contribution. The Panel concludes that IFPRI has a high reputation among peers and partners.

Hartwich, F., Engler A., Espinoza J.J., Ghezan, G., Gonzalez, C., Silva, J.A. and Vásquez J. 2007. *Guidelines for building public-private partnerships for agricultural and agroindustrial innovation*. Food Policy in Practice. Washington DC: International Food Policy Research Institute (IFPRI).

Hartwich and colleagues provide a set of detailed guidelines for assessing public-private partnerships based on an analysis of 125 such partnerships in 12 Latin American countries. The authors note that public-private partnerships are not always the most appropriate mechanism by which to carry out research for development and foster innovation in agriculture. Before deciding to participate in a partnership, the partners should consider the following factors: Is there sufficient common interest?

Is the cost–benefit relationship positive for each partner? Will all partners derive benefits from their contributions? Is there sufficient equilibrium between the partners’ benefits? Will the partnership produce results that are non-conflictive? The guide views the creation of public–private partnerships as occurring through five phases:

- Identifying a common interest.
- Negotiating the partnership contract, including financing and organisational design.
- Operating the partnership itself.
- Evaluating the partnership.
- Deciding to terminate or continue the partnership.

The guide provides suggestions for grappling with key issues in each of these phases such as understanding the process of partnership building, identifying and negotiating common interests, financing partnerships, legal implications, organisational design, and operating, evaluating and terminating partnerships. The guide provides detailed examples and background information on the research on which recommendations are based.

IFPRI Strategy 2013–2018: Food Policy Research in a Time of Unprecedented Challenges.

The document describes IFPRI’s work as guided by four components or tools: research, partnerships (a new component identified by this strategy), communications, and capacity strengthening.

IFPRI’s approach to the partnership process incorporates strategic thinking, innovative behaviours and resources, monitoring and evaluation, and implementation of best partnership performance practices.

The Institute will take five actions with respect to partnerships:

1. **Reach out to new players** such as the private sector, BRICS, ASEAN and developing-country communities to help ensure they use their full potential to influence global efforts to reduce

poverty and hunger through food policy research. In this regard, partnership selection and phasing-out criteria will be developed under the master partnership plan.

2. **Assess the state of its partnerships** to optimise the strategic planning of future partnerships in geographic regions and thematic areas, particularly where collaboration is currently limited. This action involves identifying potential opportunities for collaboration at the country, regional, and international levels with organisations such as FAO.
3. **Monitor and evaluate** partnerships’ activities, performance, costs and benefits, and impacts to inform alternative courses of action where and when needed.
4. **Create a master partnership plan** that will cover key issues, research activities, and anticipated outcomes and specify both current and future partners along the research cycle from inception to impact.
5. **Invest in food policy partnership research** to better understand what works and what does not as far as partnerships with various actors, institutes, and organisations are concerned.

IITA

CGIAR Science Council (2007). *Report of the 6th External Program and Management Review of the International Institute of Tropical Agriculture (IITA)*. Rome, Italy: Science Council Secretariat.

Recommendation 10: The Panel recommends that IITA recognise its broader responsibility for building capacity towards bringing about lasting and sustainable solutions against hunger and poverty. This requires that IITA engage its NARS partners more actively and more broadly in its R for D, so that all partners gain experience in moving through the spectrum of discovery to delivery and along the value chain.

Although IITA reports a large number of different partnerships, in reviewing IITA’s draft strategy, and in meeting some of IITA’s research partners in the field, the Panel is concerned that the traditional

strength and emphasis on partnership with the NARS is waning in some cases.

The Panel is concerned about the relationships between IITA and its traditional NARS partners. IITA needs to make adjustments in the nature and level of national engagement as its portfolio of activities unfolds ... The expectations of collaborating with NARS is that partnerships will evolve where some responsibility is shifted to NARS, and IITA scientists will move to focus in areas where the NARS have not yet achieved sufficient strength. Where relations have soured, partners fear that they are shunned because of their demand for a greater role in joint R&D efforts and their request for greater share of research grant support for their higher level of engagement. IITA's future approach to partnerships within the R4D paradigm needs to be a carefully thought through part of the new strategy development to avoid losing the major gains it has made historically in relationships with NARS partners.

IITA should critically review and assess partner organisations for their contribution to long-term development goals. The measure of R4D's effectiveness in developing relationship to nonresearch organisations should be in the accrued sustainability of skills and partnerships.

The Panel observed that relations between IITA and its partners are souring. IITA is appearing less transparent in its activities and in the initiatives it rolls out in the region and the new cadre of IITA staff and leadership is distancing itself from NARS and their staff. Problems often arise from failure to carve out a proper division of labour, or inability to find a more equitable and properly rationalised sharing of resources. An appropriate division of labour among collaborating R&D institutions can be readily achieved by faithful recognition of each other's strength and place within the R&D continuum of "discovery to delivery".

Limited overlaps may cause no harm, provided that there is the eventual recognition for the presence of other institutions that are better equipped or

placed to address the issues further up or down the scale of the research development and delivery continuum. Problems that arise from lack of sharing of resources or lack of trust and/or respect among professionals are often more contentious and lead to abrogation of relationships. The long-standing legacy of its successful partnerships with NARS notwithstanding, there appears to be a major shift in IITA's paradigm for engagement with NARS and other collaborators. Director General Hartmann told the Panel that at IITA "we do not have a preconceived notion as to who our partners are; we will work with most anyone that helps us to get the job done".

IITA's Refreshed Strategy 2012–2020

Only a few generic statements on partnership: "IITA will strengthen partnerships and enhance capacities and knowledge sharing by building innovative partnership models to enable effective targeting, priority setting, and scaling up for development impacts". IITA will critically review and assess partner organisations for their contribution toward long-term development goals.

ILRI

CGIAR Science Council (2008). *Report of the Second External Program and Management Review of the International Livestock Center (ILRI)*. Rome, Italy: Science Council Secretariat.

The Panel noted throughout its review the readiness of ILRI to engage partners in a collaborative approach to its work. It has overcome many of the barriers that typically prevent collaboration in a highly competitive environment.

In the Partnership Strategy section of the report the Panel notes the focus of ILRI on partnerships as an important part of its strategy. Partnerships are particularly important with those who adopt ILRI's research and apply it for direct development goals. Recognising this, ILRI initiated a process to improve its approach to forming and using partnerships by commissioning a CCER in 2005. The con-

sultant identified key issues and characteristics in ILRI's current management of these relationships. After this initial analysis the study focused more closely on internal processes. Three products are emerging:

- a more explicit framework for the partnership strategy;
- improved operationalisation and management of partnerships;
- alignment of institutional structures and systems to support partnerships.

Among the conclusions from the initial analysis work, it was found that since operationalising its new strategy, ILRI had pursued partnerships proactively and adapted its work to meet the demands required for successful partnerships, including providing incentives for research managers to engage partners wherever possible. The study revealed that one result of the strategy to date has been a large number of partners that do not always add value and may result in high transaction costs. These are among the issues that the new partnership strategy will address. The work on partnerships is intended to help ILRI manage partnerships at three levels: political, strategic and project; the latter involving the day-to-day management of the collaborations. The strategy will also include monitoring of the efficiency and effectiveness of partnerships.

The Panel considers ILRI's efforts to develop a partnerships strategy and the Center's commitment to making it as effective as possible commendable for strengthening the Center's overall strategy.

ILRI. (2008). ILRI's Partnership Strategy and Management System. Nairobi: International Livestock Research Institute (ILRI).

This document was developed to serve as a guide to managers and staff in the establishment and management of the Institute's partnerships. It aims to "professionalize ILRI's new way of doing research through partnerships, thereby increasing its overall quality, effectiveness and efficiency."

Sections of the guide outline ILRI's partnership strategy, its partnership management system, complementary procedures that support partnership management, and how to nurture use of the guide. Three broad types of partnership are defined, based on the level at which they are established and operate:

- Project-level partnerships.
- Program or theme-level partnerships.
- Institute-level partnerships.

For each of these types, the guide elaborates partnership functions as well as management approaches, instruments and processes.

IRRI

CGIAR Science Council (2009). *Report of the 7th External Program and Management Review of the International Rice Research Institute (IRRI)*. Rome, Italy: Science Council Secretariat.

The Panel recommends that IRRI better define its strategy and objectives for country and regional programs, and that the mandate and functions of the International Programs Management Office (IPMO) be clarified to support these objectives. IRRI should have a well-defined strategy for each of its partner countries. IRRI should designate a staff member to serve as a focal point for each significant rice-producing country in Asia to coordinate information and contacts; for many countries, a meeting (approximately every five years) to discuss national rice research priorities will be useful.

On Consortia and transfer of research capacity the Panel assess that Consortia have played a significant role in the transfer of some of IRRI's research functions to NARS. The Panel regards these and other examples as evidence that IRRI's strategy for developing partnerships with national programs through networks and consortia is enabling and empowering NARS scientists, and increasing the capacity of NARS to fulfil their mandates.

The heterogeneity of Asian NARS means that it is impossible to map out a common strategy for these relationships, but there should be a clear IRRI strategy towards each of its national partners. For China and India, national rice research capacities are so extensive that planning IRRI relationships is probably best done on an individual project level, with periodic joint agreements that simply summarise and validate research collaboration. For some other countries, however, a national prioritisation meeting (perhaps every five years) might be useful; not simply to formalise continuing partnerships with IRRI but to provide input to strategic discussions on rice research priorities.

The Panel concludes that establishing good partnerships requires a high level of trust, shared goals, good and frequent communication, mutual accountability and equitable attribution. IRRI continues to be highly respected as a collaborating institution that relates well to its partners. The Panel notes that partnerships should not be taken for granted as they are rarely static and need to be monitored in relation to regional and national developments. There will be an increasing diversity of partnerships for IRRI in the future, and each will require attention to be able to flourish. The Panel expects IRRI to move forward in planning and executing its research agenda confident of the support and cooperation of its key partners.

IWMI

CGIAR Science Council (2008). *Report of the Third External Program and Management Review of the International Water Management Institute (IWMI)*. Rome, Italy: Science Council Secretariat.

The Panel notes that partnerships are integral to IWMI's Knowledge Center vision and the Institute has responded strongly to that need by assembling an impressive list of partner organisations. The decentralisation of IWMI offices has been an important contributor to this success. The partnerships are particularly important in allowing IWMI to stay upstream in the research continuum and thus to the generation of impacts from IWMI's research

outputs. Making the most of these partnerships will be a challenge for IWMI because of the numbers involved and their diversity. A clear strategy including a prioritisation of partners is required.

Recommendation 12. The Panel recommends that IWMI prioritise its list of partners and develop a new partnership strategy that is linked to this list. IWMI must further make its decentralised research structure work in favour of improving relationships with its partners including sharing credit for outputs.

Recommendation 13. The Panel recommends IWMI make a stronger effort to link up with top-tier universities/research institutes that have a reputation in the water resources area, and develop opportunities for their staff to play an active role in IWMI, including supervising PhD students, mentoring junior staff and assisting in the development of a strengthened research program.

IWMI Strategy 2014–2018

The strategy included a small section on Partnership Strategy but it only outlines a few generic next steps:

IWMI will strengthen its and WLE's partnerships in line with the Institute's strategic objectives. Future partnerships must be tailored to complement the strengths and information demands of diverse organisations, including partners in research and uptake, and the users of IWMI's products and services. Early in the strategy period, IWMI will revise its partnership strategy. It will examine new ways of collaborating, and suggest methods to enhance and cultivate these partnerships at project and institute levels.

WorldFish

CGIAR Science Council (2006). *Report of the Third External Program and Management Review of the WorldFish Center*. Rome, Italy: Science Council Secretariat.

The Panel makes several recommendations on WorldFish approach to Partnerships:

2. To broaden the staff resource base and maximise its efficiency, the Panel recommends that, within the framework of strategic alliances and the growth strategy of the Center, a pragmatic strategy is designed for leveraging additional resources through a range of joint ventures, including but not limited to co-financing of PhD grants, postdoctoral grants, associated scientists/laboratories in ARIs and calls for joint research proposals.

5. In order to ensure that its development oriented partners are better equipped to scale out methodologies and technologies for enhancing outcomes and impacts, the Panel recommends that WorldFish:

- Continue to make conscious effort to move away from downstream development activities and explore opportunities for development-related activities to be executed by local or bilateral entities, where available, while the Center continues to monitor and evaluate the activities/developments in order to analyse the impacts and also to identify constraints and bottlenecks which might require further research;
- Undertake a scoping exercise to identify its partners' strengths and weaknesses in order to better target capacity building, especially of NGOs, to advance the development spectrum of its work;
- Synthesise and package existing information, including frameworks, manuals, protocols and guidelines to ensure greater dissemination and use of its products.

12. In view of the importance of partnerships as a vehicle for achieving the goals of the Center, the Panel recommends that WorldFish:

- Elaborate a Partnership Strategy focusing on, among others, the modus operandi for establishing strategic partnerships and alliances that would add significant value to the current research activities undertaken by the Center;
- Explicitly define the role and responsibilities of

the Center relative to its partners in all major projects;

- Determine its positioning on the research-to-development continuum, within the framework of an impact pathway analysis, for all major projects;
- Elaborate a human capacity building policy for its staff and partners taking into account, as appropriate, the suggestions that have been provided.

Note: The WorldFish Center Policy on Partnerships, approved in 1997, mentioned in the document could not be identified.

The WorldFish Strategy 2011. How we will achieve our goals.

The Strategy outlines WorldFish Partnership Principles (Equality, Transparency, Results orientation and Responsibility) how the Center will approach partnership and how it will leverage impact through partnerships (in terms of outputs, outcomes, direct and wider impacts). Different approaches for working with partners and communicating the results of our research to partners in research sites and focal countries, and at regional and global levels will be tested.

1.6 CRPS – CGIAR RESEARCH PROGRAMS RELATED DOCUMENTS

This section includes the review of CRPs Annual Reports, in particular the dedicated section on PARTNERSHIPS BUILDING ACHIEVEMENTS. Many CRP only present selected examples of partnerships operative in 2013 and only a few CRPs provide additional information and analysis. In the reports only one indicator partially related to partnerships is provided: Number of technologies/NRM practices released by public and private sector partners globally.

Partnerships strategies, where available (only A4NH, AAS, GRISP and L&F have a dedicated strategy or guidelines on Partnerships) or Partnership sections in CRPs' strategic documents or websites.

The Consortium Office overview of CRPs Program Portfolio for 2013 and the recent IEA Review of CRPs Governance and Management conclude the section.

CRP – Agriculture for Nutrition and Health (A4NH)

Annual Performance Monitoring Report for 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

An integral part of A4NH's partnership strategy is establishing and strengthening partnerships with actors – development implementers, private industry, and policy enablers – that are essential for nutrition and health impacts. As many of the concepts in integrating agriculture and food systems with nutrition and health goals are relatively new, one important partnerships activity in 2013, has been in increasing awareness and knowledge among the very different groups that need to develop a common understanding and coordinate their efforts.

In 2013, important progress was made in developing partnerships that will be critical for achieving impacts at scale. To better understand how to support development banks, an A4NH researcher was seconded to IFAD to support nutrition-sensitive strategy and programming. The report describe a number of examples of progress in scaling up biofortification with public-private delivery partnerships, including national programs and seed companies in eight target countries. Looking forward, A4NH is actively exploring partnerships to link agriculture with food systems.

In 2013, A4NH invested in collaborations with a coalition of business schools, pulse grower associations and private sector processing equipment and ingredient companies to develop models for speeding up technical, marketing and policy innovations for producing more nutritious pulse-containing foods. Likewise, HarvestPlus has been discussing with food companies their testing and subsequent large-scale use of biofortified crops. These emerging partnerships are considered critical for a more coordinated support to developing small- and me-

dium-sized enterprises in target countries that can accelerate both overall economic transformation through agri-food systems and the availability and accessibility of more nutritious foods to expanding urban and net-food purchasing rural populations.

One of the priorities of the CRPs in 2014 is to work with other agriculture-nutrition-health (ANH) research partners in accelerating learning and evidence and to support the development of capacity for this research in Africa and South Asia. The report also underlines that A4NH will continue to strengthen all of these critical linkages and will invest approximately \$2 million in partnership development.

Strategies and principles for transformative partnerships – DRAFT September 2012

The document begins by briefly describing the research program and its components. It then addresses the principles for partnerships around the program and then identifies four broad categories of partners: enablers, development implementers, value chain partners, and research partners. Some key steps for moving forward in the planning, development, and management of transformative partnerships are listed and a Framework for Smart Partnership Identification (SPI) for identifying partners is outlined.

Strategies for Transformative Partnerships – November 2013

The document is only a summary of the 2012 draft with no additional information or update.

CRP – Aquatic Agricultural Systems (AAS)

2013 Annual Report

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

Effective partnerships are considered central to the AAS approach and an essential dimension of its impact pathways and theories of change. Reflecting this focus, national partners have participated in program scoping, diagnosis and design in each

focal country and are now playing central roles in implementation. Similarly strong partnerships are being developed at regional levels in Africa, Asia and the Pacific. At global level a wide range of research and development partners play key roles in the program, including CARE and Catholic Relief Services who are represented in the Program Leadership Team. Similarly the program has worked closely with colleagues from a range of universities and research institutes in pursuing key strategic initiatives on gender and innovation systems. As the program moves forward it is expected that these collaborations to grow into strong institutional relationships. The report provides a few highlights at national, regional and global level.

Program Partnerships – 2012

The policy brief provides a general overview of AAS approach to partnerships highlighting the importance of two groups of partners: core institutions and key implementing partners.

It outlines three distinct pathways along which the program will work to achieve impact at scale:

1. direct engagement with partners in specific research sites in selected program hubs.
2. learning alliances and impact networks that the program will develop in these hubs.
3. expanding program networks nationally, regionally and globally, as well as by working through these networks to foster the dissemination and wider adoption of the learning, methods and technologies harnessed through the program.

CRP – Climate Change, Agriculture and Food Security (CCAFS)

Annual report 2013

E. PARTNERSHIP BUILDING ACHIEVEMENTS

CCAFS was designed as a collaborative programme between CGIAR and the Earth System Science Partnership (ESSP), to bring CGIAR's agricultural expertise and local networks together with the climatological and other expertise of the Global En-

vironmental Change academic community. In 2013 the ESSP transitioned into a new body known as Future Earth.

The report highlights that at national and regional levels, CCAFS continued to work with NARS, farmers' organisations and regional research bodies while at the global level, CCAFS focused on strategic engagement with a small number of high impact agents of change (IFAD, FAO).

Key partners have taken up multiple CCAFS outputs in 2013 to bring about outcomes for policy, livelihoods and food security. CCAFS participants have reported evidence of direct influence of CCAFS outputs on policies in several countries. The partnership model used for CCAFS governance and management was praised in the CGIAR commissioned external reviews of governance and management.

The achievements are generally a result of partnerships – co-design, coproduction and co-dissemination with major development agencies, private companies (e.g. insurance), farmer organisations, communication services (e.g. rural radio) and other CRPs.

No partnership strategy could be identified

The partnership page on the website mainly provides the list of CCAFS partners.

<http://ccafs.cgiar.org/node/24757#.VLEQJ1qX-prM>

The CCAFS Strategy for Priority Setting, Monitoring and Evaluation makes only a general reference to partnerships

CRP – Dryland Cereals

Annual report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

The report underlines that Agricultural R4D in Dryland Cereals involves activities along the entire value chains of the target crops. The strengths and expertise necessary to address these are distributed across a large number and range of partners

in the target regions. Consequently, the active engagement of these partners is critical to deliver the planned outputs and outcomes of the program.

Dryland Cereals builds on the momentum of existing partnerships of the participating centers, IC-RISAT and ICARDA, along the various parts of the dryland cereals value chain while also building new partnerships. In the various focal regions and nations of the program, R4D is implemented in close collaboration with the NARS, Advanced Research Institutes, NGOs, Farmers' Organisations, Seed Cooperatives and Civil Society Organisations.

Representation of partners in the governance and management of Dryland Cereals facilitate active partner involvement and engagement in the planning and implementation of the program.

One of the lessons learned listed in the report is that existing partnership structure for Dryland Cereals needs to be synthesised into a single diagrammatic representation of partners along the complete value chain of dryland cereal crops. This is critical to identify and rectify gaps in key partnerships required for seamless and efficient execution along the entire pipeline.

No partnership strategy could be identified.

The partnership approach is only outlined at:

<http://drylandcereals.cgiar.org/how-we-do-it/partnerships/>

CRP – Dryland Systems

Annual report 2013

E. PARTNERSHIP BUILDING ACHIEVEMENTS

The establishment of 15 innovation platforms covering most Action Sites, bringing international and national researchers, local policymakers, academia, NGOs and the private sector is listed amongst the key achievements in 2013. These platforms are put in place through agreements that bring together all partners along the impact pathway needed to link research innovations with benefits at community level.

Two of the lessons learned in 2013 relate to partnerships:

Integrated research approaches are good for network building. Outcome-oriented participatory research ensures timely and quality outputs, builds strong networks, attracts donor interest and enables impact. CRP integration is still highest between activities done by programs in individual CG Centers; followed by single Centers working with NARS; followed by joint research involving more than one CG Center and including NARS.

To achieve systems-based research activities, the CRP aim for all partners along the impact pathway to be involved. There is a tendency to quickly call the involvement of a few often traditional partners an “innovation platform”. In the extension phase and beyond the CRP will try to sharpen the innovation platforms in several ways, feeding on lessons learned. Effective innovation platforms include, at the least, representatives of all partners along the impact pathway, strong engagement in involving policy makers early on, and use of the platforms to drive outcomes – or “follow the impact pathway backwards”. In this way each platform will be a forum to identify and understand constraints between agricultural practitioners, and work backward from this point to set the research agenda.

The complexity of systems research requires careful management. Managing and coordinating system research requires patience, new insight and a high degree of coordination. Care is needed in putting in place the key roles and relationships of such a program, in areas such as: identifying stakeholders, and motivating them to work to common goals – often outside their core profession, working in teams with others with divergent interests.

The report also describes selected examples of partnerships and included an exhaustive partners list with international centers, with development actors and research institutions, with other CRPs.

No partnership strategy could be identified.

The partnership approach is only outlined at

<http://drylandsystems.cgiar.org/partner-focus>

The Program's core strategy is two-fold: 1.To establish international partnerships across target regions, countries, and agro-ecosystems which facilitate learning and knowledge sharing, 2.To strengthen links between organisations and networks at a regional and sub-regional level, enhancing technology transfer and informing the development of strategies to scale up proven interventions.

CRP – Forests, Trees and Agroforestry (FTA)

Annual Report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

The FTA achieved major new partnership milestones in 2013, with the formal integration of two new partners (CIRAD and CATIE) into the FTA's Steering Committee. The range of national and regional partners that have bought into and are contributing to the elaboration of the joint CRP site initiative is significant and provides the basis for further expanding the joint CRP site concept to other locations.

FTA's research partnership approach ensures national ownership of knowledge products and a much more targeted dissemination in national policy arenas, where partners themselves are active members. Partners from domestic civil society organisations and national research institutions have successfully published papers based on FTA core methodology.

CGIAR, Independent Evaluation Arrangement (2014). *Evaluation of the CGIAR Research Program Forests, Trees and Agroforestry (FTA).*

The FTA is the first CRP to be evaluated by the Independent Evaluation Arrangement.

Partnerships. FTA itself recognises the importance of connecting the program firmly to its boundary partners and to place the entire program and its components into the larger and complex network of processes and actors involved in development issues around forests, trees and agroforestry and into the context of other relevant research.

The IEA acknowledges that existing project-level partnerships and partnership networks established by some country and regional offices of FTA Participant Institutions seemed well-justified and generally value-adding. However, partnerships with national organisations require strengthening both from the perspective of capacity building and for developing more effective impact pathways. To date, FTA remains little known in the wider development arena, especially *vis-à-vis* a number of relevant global and regional players, and to its bilateral project donors.

Summary Recommendation 7: FTA increases and makes more systematic its efforts to reach out to and involve partners on all levels: program donors, relevant actors of strategic importance for FTA, and boundary partners. FTA must further increase its efforts to include boundary partners into research priority setting, design, and implementation, develop their capacity, and ensure that FTA results targets respond to concrete needs of development partners.

No partnership strategy could be identified across the three different CRP websites (!)

GENEBANKS CRP

2012 Annual report (2013 not available)

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

Genebanks CRP key partnerships are with their users. These partnerships are highly individual and crop or region specific. The CRP contributes to strengthening partnerships through improving the quality of the genebanks' operation and through enhancing the genebank-user interaction.

Genebanks have strong relationships with developing-country NARS. Partnerships with ARIs and major genebanks around the world (USDA, EMBRAPA, INIFAP, IPK, CGN, Millennium Seed Bank etc.) are increasingly important as a more cohesive global system takes shape. Collaborations involve all aspects of genebank management: collecting, safety duplication, sharing of data and software, sharing

descriptors, comparing accession data, joint characterisation or evaluation, etc.

CRP – Grain Legumes

Annual Report 2013

The document makes only marginal reference to partnerships, stating that the Grain Legumes CRPs engages with partners at all levels of activity. Partners are represented in the Lead Center Governing Board, the Steering Committee, the Independent Advisory Committee, the Research Management Committee and for the implementation of many projects. These partnerships are required for the management, priority setting and implementation of the program.

No Partnership Strategy could be identified

The Partnerships page of the website describes the CRP's Inclusive-Market Oriented Development (IMOD) approach to Partnerships. <http://grainlegumes.cgiar.org/how-we-do-it/partnerships-in-action/>

While the Impact pathways page outlines how Grain Legumes CRPs implements the IMOD and Innovation platform strategies. Some key SSACP learnings on innovation platforms are also presented.

<http://grainlegumes.cgiar.org/how-we-do-it/impact-pathways/>

CRP – Rice (GRiSP-Global Rice Science Partnership)

Performance Monitoring Report 2013

In 2013, GRiSP published a special partnership report explaining in detail the modalities of its partnerships. A variety of partnership arrangements operate under GRiSP (consortia, platforms, networks, and (grant) projects) that evolve in size and composition across the impact pathway. Partners are actively engaged in agenda setting and guidance of GRiSP through participation on GRiSP's Oversight Committee and on the Steering Committees and boards of the subpartnership arrangements.

GRiSP employs several mechanisms for alignment with national rice programs and with the priorities and strategies of its partners and interacts closely with all major regional fora and economic communities that have a major interest in development of the rice sector. For what concerns public-private partnerships GRiSP has three main mechanisms to engage in them: i) through Scientific Knowledge Exchange Programs, for engagement in joint R&D on specific topics, ii) for effective dissemination of GRiSP products, iii) GRiSP works with local small and medium enterprises to develop business models for GRiSP technologies.

A new PPP is the Sustainable Rice Platform: a global multi-stakeholder platform, co-convened by UNEP and IRRI, to promote resource efficiency and sustainable trade flows, production and consumption operations, and supply chains in the global rice sector. Partners include the food sector, international traders, agro-input suppliers, public R&D, and national government agencies.

Collaboration with partners from all sectors is probably at an all-time high in terms of numbers, diversity and effectiveness – in terms of science, agenda setting, and product development, delivery, and impact.

GRiSP: Partnership in motion – 2013

The report outlines key GRiSP partnership principles distinguishing three major types of partners: Research partners (playing an active role in research and product development in GRiSP Themes); Development partners (involved in more adaptive research and/or playing a significant role in the dissemination and adoption process) and other partners not directly involved in developing, adapting, or disseminating GRiSP products, but in need of information on GRiSP and its outputs for various purposes. Then the report presents the partnership mechanisms and structures that operate under GRiSP, shedding light on the functioning of the many partnership arrangements under GRiSP distinguishing three groups of purpose-driven partnerships: Regional consortia and networks for development, Global consortia, networks, and plat-

forms and Large Time-bound projects. The report also explains how the GRiSP coordinating partners align GRiSP's strategy and activities with those of rice-growing nations and with regional multinational development bodies.

CRP – Integrated Systems for the Humid Tropics (Humidtropics)

Annual Report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

Partnership building in Humidtropics revolves around the R4D and Innovation Platforms, and spans the research-to-development continuum, as well as covering the value chain and impact pathways. During 2013, Action Area and Action Site workshops were organised as instruments to initiate R4D Platforms involving multidisciplinary and multi-sectoral partners but also to engage in local, national, regional and global functional partnerships related to the R4D agenda of Humidtropics. Efforts at expanding partnerships with ARIs and with International and Regional Agricultural Research Centers were made. Another dimension of partnership that was strengthened during 2013 relates to the links with regional and sub-regional organisations.

The research portfolio also includes systems research initiatives based on integrated approaches, and requiring broad stakeholder participation through system actor coalitions such as R4D and Innovation Platforms. This latter category of research is seen as the core of the Humidtropics research paradigm, and is expected to grow and progress into the future.

No Partnership strategy could be identified.

The Partnership section of the website makes reference to the partnership strategy of Humidtropics and identifies three levels of partnership engagement (<http://humidtropics.cgiar.org/at-a-glance/>):

1. The first level, "Core Partnerships" involves the partnership among the founding members of Humidtropics.

2. The second category of partners consist of institutions that take some active leadership roles in the implementation of Humidtropics research or in the facilitation of research processes in particular Action Sites or research domains. Such responsibilities include R4D Platform co-ordination, Action Site facilitation, or leading a sub-component in research.
3. The third category of partnerships involves the wider collaboration of implementation partners who engage in the R4D Platforms and participatory research, at the various Action Sites.

CRP – Livestock and Fish (L&F)

Performance Monitoring Report 2013

One of the key messages of the report relates to the new model proposed by the program to enhance the relevance, urgency and impact of its research. It is designed to bring together collective capacity with CGIAR and other partners to develop and deliver appropriate integrated solutions for the pro-poor transformation of selected value chains. As part of the model, the program works with development partners to translate these solutions into large development interventions likely to achieve sustainable impact at scale.

E. PARTNERSHIPS BUILDING ACHIEVEMENTS

The program has adopted a very intentional partnership strategy that recognises the differences between tactical collaboration and more fundamental strategic partnerships, and the different nature of partnership with research versus development actors. While scanning widely and engaging in numerous tactical collaborations, particular attention is being given to establishing the foundation for selected strategic partnerships, both globally and within the selected value chains. The program is dedicating particular attention to the challenge of working more closely with development partners, critical to its theory of change. At value chain level, scoping exercises have led to a number of MoUs being initiated with local development actors.

Alignment with national and regional priorities is being achieved mainly through direct involvement

of relevant national authorities such as the Ministries of Livestock and Fisheries, their line departments, and the national agricultural research system during stakeholder engagement events in each value chain, as well as often being directly involved in research activities.

CRP L&F – A Strategy for Development Partnerships – Revised October 2014

The strategy paper outlines approaches for engaging development and private sector actors within an agricultural research for development (AR4D) trajectory, and defines a rationale for multi-stakeholder learning across value chain systems, as a basis for framing engagement with value chain actors and with development partners. L&F examines how focused work within value chains becomes transformational when such work is undertaken more closely with development and private sector partners. The model places research centres as knowledge partners within large-scale development interventions in ways that enable participant research centres to take active responsibility for development impact.

Development Partners are distinct from the wider array of institutional and research partnerships held by respective centres. Informed by ILRI's "Partnership Strategy and Management System" lessons gleaned from early attempts within the program's life have been used to frame a specific focus on partnerships with development organisations, be they NGO, private sector or government based.

Sections of the document include Nesting L&F Development Partnerships within the Program Structure; Defining a Strategy for Development Partnerships; Principles Underpinning Development Partnership; and Implementation Steps.

CGIAR Research Program on Maize (MAIZE)

Annual Report 2013

E. PARTNERSHIP BUILDING ACHIEVEMENTS

The report underlines that the CO-commissioned study on CRP partnerships found MAIZE ranked

either 1st or 2nd on 12 of 26 partnership criteria. MAIZE collaborates with over 300 partners (NARS, universities, regional and international organisations, ARIs, private sector institutions, NGOs, CBOs and host countries), of whom 153 are funded/with formal agreements.

To improve knowledge about partners' key priorities, MAIZE conducted and analysed a Partner Priorities Survey in 2012 that drew 67 responses. The two top priorities identified by partners were: food security (based on stable and affordable prices); and capacity building to create a new generation of scientists and other professionals.

No partnership strategy could be identified.

The Strategy section of the website includes a page on Agricultural Innovation Systems (AIS) describing the attempt of MAIZE to integrate AIS approaches in its projects. In 2012 MAIZE engaged the Royal Tropical Institute (KIT) to take stock of the MAIZE projects using Innovation Platforms. The results of the stock-taking exercise found that whereas many MAIZE project work with Innovation Platforms, these are regarded mainly as scaling-out mechanisms for newly developed technologies. Innovation Platforms' other potential functions such as channeling feedback to research, or helping in research agenda setting, are often underutilised. <http://maize.org/agricultural-innovation-systems-in-maize/>

CRP – Policies, Institutions, and Markets (PIM)

Annual Report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENT

The report describes the changes in 2013 PIM activity reporting template and the inclusion of a new section on partnerships. This was done to help activity leaders further their thinking on the role of their partners at early stages of their activities, document their interactions with partners, and collect evidence on how partnerships have led to outcomes. The program work is organised into seven flagships plus one cross-cutting flagship addressing partnerships, capacity building, and stand-alone gender work.

LESSONS LEARNED: *A rigid schedule for programming resources and submitting annual work plans impedes meaningful coordination with key implementation partners, each of which programs on its own schedule.* Meaningful collaboration often requires parallel design of complementary programs with boundary partners. Opportunities to do so arise at different points throughout the calendar year, and can be lost through strict adherence to the time frame for budget allocation required for the CRPs.

No partnership strategy could be identified.

CRP – Roots, Tubers and Bananas

Performance Monitoring Report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENT

The short section describes a few partnerships and highlights the collaboration with the CRP on Humidtropics and the Global Cassava Partnership for the 21st Century (GCP21) created in 2002 to bring diverse stakeholders together to improve cassava productivity toward the goal of alleviating hunger and poverty that has evolved into a partnership platform fully supported by and engaged with RTB.

Planning for impact: current thinking – June 2013

The Stakeholder Participation section of the document explains the role of three different categories of stakeholders (partnerships, other CGIAR Research Programs, and regional organisations) within the overall theory of change and underlines the need for partners to understand their accountability within the framework.

For regional and sub-regional organisations the document outlines a set of criteria to improve engagement of critical R&D partners: their contribution to achieving flagships and realising outcomes, their commitment and accountability, geographic location (in relation to RTB targets), and potential for going to scale.

CRP – Water, Land and Ecosystems (WLE)

Annual Report 2013

One of the key messages of the report relates to WLE strategic planning meeting of all partners, regional and thematic leaders and regional planning meetings in the four priority regions. The aim of these meeting is to ensure a stronger thematic and regional focus. The progress was documented in 2013 through a number of success stories; the approved WLE gender strategy; a proposed monitoring, evaluation and learning strategy; a communication and knowledge management strategy; a draft ecosystem and resilience framework; and a draft partnership strategy.

E. PARTNERSHIPS BUILDING ACHIEVEMENT

WLE recognises the critical role partners play in achieving its vision of sustainable and equitable agricultural intensification. WLE outcomes and theory of change depend on an effective partnership strategy. More than 340 partner organisations were identified in the 2014 WLE workplan, amongst which government institutions and authorities, which are key partners for any policy-related impact pathway. The report then describes examples of successful government partnerships, public-private partnerships and global strategic alliances, the latter considered vital in order to transform opinions and investments, and to ensure that innovations developed by WLE are adopted at scale.

Strategic Plan – 2012

The need for a partnership strategy to identify gaps in the capacities of existing partners is mentioned in the document but is still not accessible/available.

CRP – Wheat (WHEAT)

Annual Report 2013

E. PARTNERSHIPS BUILDING ACHIEVEMENT

The section provides an update on some key partnerships with ARIs, NARS, Wheat for Africa (W4A).

It also describes the key results from the CGIAR Stakeholder Perceptions Survey and the follow up by WHEAT: the results of the CO-commissioned survey show WHEAT receiving above-average scores in all categories evaluated except for “involving partners in decision making,” where it scored roughly at the mean of all CRPs. WHEAT will address this in 2014 partly through a global partner meeting to get partners’ input for the design of WHEAT CRP Phase II. “Sharing credit” and “distributing funds fairly” were two other key areas for improvement and will be addressed in 2014.

In 2012 WHEAT launched a Partner Priorities Survey and received responses by ninety-two R&D partners from 40 countries. Summary of Result and the Final Report of the survey are available at: <http://wheat.org/partner-institutions/partnerships/wheat-partner-priority-survey/>

Independent Evaluation Arrangement (2014). Review of CGIAR Research Programs Governance and Management FINAL REPORT.

The aims of the review were to assess the extent to which the structures and functions of the existing CRP governance and management support the achievement of the CGIAR’s strategy, to take stock of experiences so far, and to identify issues and provide lessons that are applicable across the CRPs.

The review relied on the *Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards* (IEG/World Bank 2007), from which the majority of the main criteria were drawn.

Key Findings

Existing partnerships and collaborations provide a foundation and starting point for a more extensive and inclusive partnership strategy. CRP governance overall is heavily influenced by lead and participating centres. External partners have limited roles at the governance level, and women and individuals from target regions are significantly under represented.

Amongst the eight recommendations that emerged from the review, which are intended to highlight a core group of principles that support good governance and effective management, one is especially relevant to partnerships:

1. Create a single, balanced governing body for each CRP that reports directly to the lead center board on the performance of the program. The CRP governance body should bring together appropriate expertise, include a majority of independent expert members, and accommodate lead center and partner representation.

IEA considers that partners are generally underrepresented in CRPs governing bodies have little or no external participation. The lead centre, in consultation with other participating centres will establish: a Planning and Management Committee composed of a representative of the lead centre, a representative of each participating centre, and are representative of other partners that have substantial responsibilities in the implementation of the CRP. This Committee will oversee the planning, management and implementation of the CRP.

Conclusions

The review highlights the need for clarifying and streamlining CRP governance and management functions to reduce the demands on human and financial resources as well as facilitate meaningful partner engagement.

The dominant role of centres, in particular lead centres, in CRP governance and management may be attributable to the level of centre resources committed to the CRPs, but it negatively affects the legitimacy of decision-making. In addition to raising issues of conflicts of interest, it risks creating imbalances in influence and authority among centers and partners, and contributes to the insufficient participation of women and the failure to include at meaningful levels the perspectives of key stakeholders, including partners and individuals from target regions.

Particularly for programs that are intended to engage partners at every level, governance bodies must protect the confidence of partners in the legitimacy and fairness of decision-making. This is particularly true when governance bodies cannot reasonably bring all stakeholders and interested parties to the table. The composition of governing bodies needs to convey a balance of perspectives and also a balance of interests.

If CRPs are intended to build and leverage partnerships to achieve results, the CRP leader should not be accountable to a single partner for performance. Similarly, if partnership is a critical element in the successful realisation of the SRF, clear accountability for an effective partnership strategy, that includes centres as well as other partners, should rest with CRP leadership and management.

While economies may be achieved through these efforts and accountability improved, collaborative programs that rely on substantive engagement with partners to build relationships and align research activity have inherently higher transaction costs than programs implemented by a single entity. The nature of the CRPs may inherently increase transaction costs compared to the former CGIAR because of the investments needed to engage partners, build capacity, and achieve development outcomes. The value and cost of managing for these results should be acknowledged, measurable, and susceptible to comparison.

CGIAR Consortium Office (2014), *CGIAR Research Program Portfolio Report for Year 2013*

The report distinguishes three types of CRPs that may lead to different approaches to partnerships:

The first CRP category includes programs built upon a strong research base initiated decades ago by two or three Centers, each researching one cereal crop. (GRiSP, MAIZE and WHEAT). These CRPs have been (i) integrating work across the 2 to 3 Centers concerned, (ii) developing new approaches to research for development along their impact pathways and (iii) enlarging the scope of their external partnerships to better tackle research and development issues.

Key messages: Type 1 CRPs have created as part of their impact pathways expanded networks with public development partners and private companies and have enlarged the scope of their partnerships to facilitate outcome delivery.

The second CRP category builds upon some dimensions of CGIAR pre-reform research to create new research synergies by enlarging partnerships and framing the work from a research-for-development perspective (RTB, L&F, Grain Legumes; Dryland Cereals; FTA; WLE and PIM). These CRPs have developed partnerships with upstream researchers and with downstream development partners to scale up their results. Some of the most striking and significant outcomes thus produced show the capacity of the relevant type 2 CRPs to leverage their new partnerships to respond more effectively and rapidly to challenges.

CRPs in the third category work in areas that have fewer connections to pre-reform research and cut across research domains, requiring new scientific approaches and research partnerships, in addition to formulating a research-for-development perspective. (AAS, Humidtropics; Dryland Systems; CCAFS and A4NH). The new partnerships and the new scientific approaches that characterise type 3 CRPs have allowed the effective scaling up of significant results. The three system CRPs implement their work through a network of innovation platforms.

The report includes an analysis of *Factors influencing progress towards outcomes and outputs, associated risks and overall effectiveness of partnership strategies*. The discussion of outputs and outcomes in section 2 provides many good examples of the important role and leveraging effects of research partnerships and cross-CRP collaboration. The discussion highlights how strategic development partnerships contribute to the successful delivery of substantial outcomes. CRP partnerships are constantly evolving and unevenly developed across the portfolio. The most recently created CRPs, such as Grain Legumes and Dryland Cereals, acknowledge that their strategic partnerships for value chain approaches and innovation platforms need to be strengthened over the coming two years to position the CRPs well for responding to the second call for proposals.

CRP annual reports provide many examples of outputs and outcomes successfully produced through partnership. Monitoring changes along CRP impact pathways will provide the information necessary to determine how effective these types of partnerships are. However, monitoring processes for scaling up is complex and new to CGIAR, and it requires dedicated resources.

One of the lessons learned emerging from the report relates to the transaction costs of working in large multi-institutional partnerships and of working in a consortium mode, in which the CO is learning to facilitate a number of changes within the Centers and the CRPs, should be assessed by an external party to determine where and how to institute improvements.

2. OTHER STAKEHOLDERS' PARTNERSHIP STRATEGIES AND GUIDELINES

2.1 WORLD BANK

World Bank Operations Evaluation Department (2004). *Addressing the Challenges of Globalization: An Independent Evaluation of the World Bank's Approach to Global Programs.* Washington, DC.

On global public partnerships, one of the most extensive studies has been the World Bank's independent evaluation of its global partnerships. It involved close examination and comparison of 26 global partnership programs, including its partnership with the CGIAR (see also Meta-evaluation of the CGIAR in the first section of this document). The five lessons drawn from the independent evaluation of World Bank global partnerships are offered as a "best practices framework":

1. A global strategy is an essential precondition to partnerships.
2. Financing requirements for partnerships need to be tightly linked to programs and program priorities, and the requirements for achieving success must be clearly presented.

3. Effective management is imperative.
4. Universally accepted standards of good governance need to be applied.
5. Measurement and evaluation need to be explicitly negotiated and stipulated in advance, as a foundation for partnerships and to establish a schedule of independent evaluations.

World Bank (2006). *Strengthening the World Bank's Role in Global Programs and Partnerships.* Washington, DC: World Bank, Operations Evaluation Department.

The volume is based on presentations made at a conference held by OED to discuss the Bank's current and future role in global partnership programs. The starting point for the discussions was a very comprehensive review by OED of the effectiveness of 26 programs, including the CGIAR, and programs in health, environment, infrastructure, and trade, together representing 90 percent of the Bank's total spending on global partnership programs. Participants at the conference shared cross-cutting lessons about program design, implementation, and evaluation, and about how the Bank can best assist in building commitment and assuring financing for high priority global public goods that benefit the poor.

World Bank, Independent Evaluation Group (2007). *Sourcebook for evaluating global and regional partnership programs: Indicative principles and standards.* Washington, DC: The World Bank.

The purpose of the Sourcebook is to help improve the independence and quality of program-level evaluations of global and regional partnership programs (GRPPs) in order to enhance the relevance and effectiveness of the programs. The Sourcebook draws on previous work by the Evaluation Network of the Development Assistance Committee of the Organization for Economic Co-operation and Development, the United Nations Evaluation Group, the Evaluation Cooperation Group of the Multilateral Development Banks, evaluation associations, and others to develop principles, norms and standards for evaluating development assistance programs, projects and activities.

The sourcebook presents a detailed set of guidelines under the broad headings of evaluation governance issues, participation and transparency in monitoring and evaluation processes, planning and conduct of evaluations, and evaluation content and criteria. This last section – the main one in the Sourcebook – outlines standards and guidelines for evaluating a program’s relevance, effectiveness, efficiency, management, resource mobilisation, financial management, sustainability and impact. Checklists are provided for developing evaluation terms of reference and for the contents of evaluation reports.

IEG (Independent Evaluation Group), 2010. *The World Bank’s Involvement in Global and Regional Partnership Programs: An Independent Assessment*. Washington, DC: World Bank.

This biennial report on the World Bank’s involvement in GRPPs – its third since 2004 – synthesises the findings and lessons from 17 GRPPs completed since 2006. It assesses the progress that the Bank has made in promoting effective partnerships

Similar to the previous two reports, this report has three major purposes:

1. To update the Bank’s Board on progress in implementing the recommendations in the 2004 evaluation that were directed at IEG (then known as the Operations Evaluation Department) itself;
2. To synthesise the findings and lessons from the first 17 regular Global and Regional Program Reviews (GPRs) that IEG has completed since 2006;
3. To assess the progress that Bank management has made in implementing Bank-wide systems and accountabilities for managing and overseeing its portfolio of GRPPs.

The evaluation finds that many task teams have brought extraordinary dedication and ownership to their programs, despite constraints on their time and insufficient budgetary resources for oversight. The Bank has successfully convened and mobilised resources for new programs, but it has contributed less to other institutional aspects of partnership formation, growth, and sustainability.

This report makes a set of recommendations to strengthen the Bank’s management and oversight of GRPPs. The intent is to improve the development effectiveness of the programs themselves. The recommendations follow the same logical framework as those in IEG’s 2004 evaluation of the Bank’s involvement in global programs and are organised under four headings: 1. Strategic and policy framework (and the need to develop a formal policy on engaging with GRPP), 2. Financing, 3. Selectivity (and the need of an engagement strategy for each GRPP in which the Bank is involved), 4. Oversight and risk management.

World Bank (2013). *Management Framework for World Bank Partnership Programs and Financial Intermediary Funds*. Strategic Engagement, Oversight and Management (Internal Report).

The management framework for partnership programs provides the basis for more consistent decision-making related to Bank participation in Partnerships, including stronger risk management based on greater clarity about the Bank’s roles and accountabilities and about the choice of financing mechanism, with special attention to financial intermediary funds. It takes a “life-cycle” approach based on three phases: (a) identification, preparation, and approval; (b) operational and portfolio management of ongoing partnership programs, including robust results frameworks and ongoing risk management; and (c) planning and managing possible exits. The framework emphasises strategic alignment, oversight, and risk management.

The World Bank Group (2014). *The World Bank Group Strategy*. Washington, DC.

Partnerships feature prominently in the new World Bank Group strategy with a full chapter dedicated to Partnerships “Working with Partners towards the goal”. The strategy highlights the need to ensure better management, oversight, and selectivity in World Bank Group partnerships and promises to manage global engagements as “business lines” with policies for budgeting, cost recovery, and results monitoring.

Meeting the goals demands deepening partnerships across the development spectrum. The WBG

will ensure that its partnerships are well aligned with the goals and will draw on its comparative advantages; to this end, the Bank has launched the next phase of trust fund reform and developed a management framework to strengthen the strategic alignment of its partnership engagements.

Independent Evaluation Group, World Bank (2014). *Opportunities and Challenges from Working in Partnership: Findings from IEG's Work on Partnership Programs and Trust Funds*. December 2014.

This recent report summarised the finding of an IEG review of more than 23 global partnership programs, as well as the Bank's approach to the trust funds that finance such programs. These reviews have found that most partnership programs tackle relevant problems – often making solid contributions to development – yet confront a pattern of similar weaknesses leading to missed opportunities and compromised effectiveness. The report identifies four common challenges related to selectivity, oversight, linkages to country operations, and results frameworks and recommends a set of reforms to help the Bank address these challenges.

2.2 FAO

The organisation's website includes a specific section on Partnerships with detailed information on FAO approach to Partnerships and easy access to all relevant information. The Partnerships and Advocacy Branch is responsible for developing and strengthening partnerships with non-state actors that will help to accomplish FAO's mandate while the Corporate Partnerships and UN Relations Branch acts as Organisational focal point, at the policy level, for UN system matters.

Partnerships are guided by several strategies:

1. the Organization-wide Strategy on Partnerships and the guiding principles of mutuality, effectiveness, comparative advantage, flexibility, neutrality and impartiality;
2. the FAO Strategy for Partnerships with Civil Society;

3. the FAO Strategy for Partnerships with the Private Sector;
4. the Directions for Collaboration among the Rome-based Agencies (WFP and IFAD); and the FAO Organization-wide Strategy on Revitalizing Collaboration within the UN System which is presently under development.

These strategies provide a framework for FAO's collaborative work with its partners. An important element of the strategies ensures that key stakeholders in the field of food security are identified and involved at global, regional, and country levels in support of FAO's work. The strategies identify six main areas of collaboration: policy dialogue; normative work; technical and field programmes; advocacy and communication; joint use and mobilisation of resources; and knowledge sharing; and two main levels of interaction: global level and decentralised level.

2.3 IFAD

AfDB and IFAD (2008). *A Joint Evaluation of AfDB and IFAD Operations in Agriculture and Rural Development in Africa. A Review of Partnerships between AfDB and IFAD – Benchmark Study and Evaluation Template*.

The objective of the partnerships review is to assess how well IFAD and AfDB have been partners with each other and with other key players in development in the past, and to provide recommendations on how to develop and maintain partnerships most effectively in the future. The review is limited to partnerships formed for or related to ARD in Africa. To identify good practices and subsequently the determinants of successful partnerships (according to both theory and practice) the report analyses a range of existing partnership case studies, ranging from agency-driven bilateral partnerships to Global Public Policy Networks. The authors recommend structuring partnership evaluations alongside the three core dimensions of collaborative arrangements:

- (i) The partnership structure and governance – How is the partnership organised and how is it tak-

ing decisions on its work? (Organisational set up, Partnership strategy and Partnership governance)

(ii) The partnership process – How do the different actors interact and learn in the partnership? (Formal interaction, Partnership culture and Learning and Innovation)

(iii) The partnership performance – What are the results achieved in terms of outcome and sustainability? (Relevance of Objectives and Partnerships, Efficiency and effectiveness, Impact and Sustainability)

Accordingly, the generic evaluation template proposed is based on these three dimensions and provides a set of questions for evaluation which will serve as a reference questionnaire for the evaluators applying the template to specific partnerships.

Partnership Strategy, 2012

The objective of strategy is to enable IFAD to have greater clarity about why it should enter into specific partnerships; what it wants those partnerships to achieve; and which organisations it should partner with.

More specifically, enable IFAD to: (a) use its corporate strategic priorities as the basis for determining its partnership requirements, and be selective in its identification of partners; (b) develop, manage and monitor its partnerships effectively and efficiently; (c) be a partner of choice for others; and (d) through its partnerships, assist other rural development stakeholders to become more relevant, effective and efficient.

The strategy defined four categories of partnership (for better programmes and projects; for better inputs into policy dialogue; for increased mobilisation of resources; and for increased organisational efficiency) and identifies a number of specific, cross-cutting partnership priorities (the scaling up agenda; better assessment of the impact of IFAD-supported projects; closer engagement with the private sector; an emerging sustainable development agenda; engagement in middle-income countries and fragile or post-conflict states; and

brokerage of partnerships among other development actors).

While partnership development and management are a diffused responsibility within IFAD, the newly established Partnership and Resource Mobilization Unit will have overall responsibility for the implementation of the Partnership Strategy. The implementation of the strategy will rest on actions to be taken in seven broad areas: (i) assessing potential partners; (ii) facilitating formal partnerships; (iii) effectively managing partnerships; (iv) promoting knowledge management – capturing and managing the learning from partnerships; (v) internalising partnerships in IFAD's business processes; (vi) upgrading staff capacity and skills and strengthening IFAD's institutional culture for partnerships; and (vii) communicating for partnerships.

Note: IFPRI is one of the benchmarked organisations selected for an exercise aimed at understanding how organisations working in a similar environment to IFAD are facing and responding to similar challenges. The new explicit partnership strategy just developed by IFPRI is not easily accessible on the Internet.

2.4 CSIRO

CSIRO's approach to partnerships is outlined on the website:

<http://www.csiro.au/Portals/Partner/Collaborate/Our-approach-to-partnering-and-co-investment.aspx>
(no specific documents on partnering available)

Partnering for impact

CSIRO co-invests with partners on the basis of: complementary capability, capacity, resource access, and experience. Each partner's investment is determined based on how the above factors are leveraged to maximise the success of the project. CSIRO engages in a variety of co-investments, from one-off projects to 15+ year strategic partnerships. These collaborations enable partners to achieve a wide variety of benefits through the application of jointly developed technologies. These benefits range from

cost savings from a new process through to development of new products for new markets.

Guiding principles

Some of the principles that guide CSIRO co-investment activity are:

- **Strategic fit:** CSIRO operates by the directions set out in its Strategic Plan. Each partnering opportunity is reviewed against the existing strategy and the co-investment decisions are made based on “strategic fit”. Typically, for activities within CSIRO’s strategy, a co-investment approach may be proposed based on the existing plans and obligations relating to that technology or activity.
- **Capability matching:** CSIRO seeks partners with complementary capability, capacity, resource access and experience. The investment typically includes R&D effort and access to CSIRO’s wealth of background intellectual property.
- **IP management:** As a serial innovator, CSIRO has significant experience and capability in IP management and a wealth of background IP. A well-designed IP management strategy is considered essential to delivering benefits from the co-investment activity.
- **Benefit sharing:** CSIRO believes all parties participating in co-investment projects are entitled to a fair proportion of any benefits, based on the value they bring to the activity or technology.
- **Commercialisation:** CSIRO believes that responsibility for commercialisation of IP developed in co-investments should typically reside with the partner best equipped to manage the process.
- **Value pricing:** CSIRO expects the partners to receive benefits from the application of the research outcomes that reflect the value to the user.
- **Risk sharing:** CSIRO believes that each party should be responsible for the risks associated with the activity that it controls or is in the best position to control.

2.5 IDRC

The Partnership approach of IDRC is outlined on the organisation’s website: (http://www.idrc.ca/EN/Programs/Donor_Partnerships/Pages/default.aspx) and further described in a set of documents.

Partnership arrangements at IDRC can take three forms:

- Co-funding, where one or more donors fund all or part of a project or program that is managed by IDRC,
- Parallel funding, where resources allocated to a project initiated or co-initiated by IDRC go directly to the research recipient institutions or networks,
- Knowledge sharing, where the focus is on exchange of information through individual or institutional activities that do not involve financial commitment.

IDRC (2010). *IDRC Donor Partnership Framework 2010–2015: Partnering for Development*

The Framework describes IDRC’s Partnership objectives and guiding principles providing a context for determining subsequent internal evaluation criteria.

Partnership objectives:

1. *To increase IDRC resources available to research for development through donor partnerships*
IDRC intends to a) nurture existing relationships with Canadian and International research funders, b) develop partnerships with emerging international donors, and c) enter into co-funding and parallel funding arrangements as appropriate.
2. *To enhance IDRC’s engagement with key international organisations and networks interested in research for development*
IDRC will collaborate with networks and organisations that are interested in, or are supporting, research for development. IDRC intends to support and monitor corporate relationships that a) facilitate IDRC’s contribution on particu-

lar development problems, b) unite the development research funding community around shared concerns, and c) create policy linkages and opportunities or research partners.

3. *To strengthen the capacity of research organisations and networks to form partnerships and mobilise resources*

IDRC remains committed to a) disseminating learning and training material, b) building a solid network of locally/regionally based resource mobilisation trainers and institutions, c) focusing on research networks and universities on issues of financial and organisational sustainability.

4. *To learn and contribute to good practice in the field of partnering for development.*

Guiding principles for IDRC decisions to pursue donor partnerships are:

- Program fit: Initiatives must be complementary to, and consistent with Centre priorities and programming directions
- Co-investment: IDRC leverages its own funds, which can be less than, great than, or equal to those of other funders
- Equal footing: The Centre is an equal partner in all decision-making processes
- Benefits outweigh risks: Early assessments indicate that partnership risks can be managed to capitalise on opportunities.

IDRC's Donor Partnering Model

The Partnership and Business Development Division (PBDD) designed a model that describes the development and management of co-funded projects and programs at IDRC.

More specifically, the objectives of the model are to:

- Provide a practical and comprehensive framework for developing and managing donor partnerships in the Centre;
- Provide a common terminology to describe the steps to build donor partnerships;
- Improve the efficiency of the partnering process

by identifying the activities required, as well as the tools and resources available at every stage of the process; and

- Highlight the importance of managing the relationship with donor partners.

Although every partnership is different and follows its own unique development pathway, IDRC normally follows six general stages: Exploration, Initiation, Planning, Signing, Implementation and Monitoring, Closure.

Hollow (2011). *An academic review of the evaluation of partnerships in development*. IDRC Donor Partnership Division.

The objectives of the study are to provide: a preliminary review of the key issues in partnership evaluation and a summary of the main toolkits and frameworks relevant to partnership evaluation. The review collates research from different sectors that are grappling with the questions of how to make partnerships work better, and how to evaluate their effectiveness. The extensive literature review on effective partnership provides a foundation of understanding regarding how partnership evaluation can be approached. By implication, as a list of principles for effective partnership, it also provides a valuable overview of potential assessment criteria when partnership evaluation takes place.

The review then outlines the dominant role of evaluation frameworks, as the primary means by which partnership evaluation is currently conceptualised. It identifies the challenge and opportunity that such approaches provide, and then focuses on a range of different innovative methods that may provide a useful contribution. The different types of organisations involved in partnership evaluation are also reviewed. In order to be of most use, the review does not focus on how organisations describe their approach to evaluation but instead refers to and draws on specific evaluations that organisations have conducted in relation to partnerships. In the annexes the document provides a list of frameworks, toolkits and resources for partnership evaluation.

2.6 THE PARTNERING INITIATIVE

TPI provides a range of practical tools available to support cross-sector partnerships and other collaborations reaching their full potential including a Toolkit series, The Partnering Agreement Scorecard, A Fit for Partnering Framework and 12 Steps towards successful cross-sector Partnerships.

The Training and Service page of the website (<http://thepartneringinitiative.org/training-and-services/>) provides information on The Partnering Initiative's strategic advice and support to leading international companies, development agencies, governments, and civil society organisations to help them rethink and adjust their approaches and harness the power of partnership to support their missions to develop Partnering Strategies, to build and assess organisational capacity to partner, and to review their Partnering Portfolio.

Tennyson, R. (2003). *The partnering toolbox*. London: International Business Leaders Forum and the Global Alliance for Improved Nutrition. 4th edition (republished in 2011).

The partnering toolbox offers a concise overview of essential elements of effective partnering.

The toolbox identifies 12 key phases in partnering processes that correspond to scoping, identifying partners, building working relationships, planning activities, developing management structures and arrangements, mobilising resources, implementing planned activities, measuring and reporting on results, reviewing the partnership, revising the partnership, institutionalising appropriate structures and mechanisms for the partnership, and sustaining or terminating the partnership. The toolbox offers guidelines for good practice in the critical areas of building partnerships, developing partnering agreements, managing the partnering processes, delivering successful projects, and sustaining partnerships.

Case Study Toolkit – Partnership case studies as tools for change

The Case Study Toolkit aims to provide insights into the process of successful cross-sector partnering, create better case study collection and dissemination methods and deepen understanding of how case studies may be used more effectively as tools for change.

The Partnering Agreement Scorecard

The Scorecard addresses a key factor in the creation of successful partnership: the purpose and content of partnership agreements.

Fit for Partnering Framework

The framework identifies the key organisational processes, systems, commitments and capacities, crucial to an organisation's ability to partner, and maps them against four organisational areas: Leadership & Strategy, Systems & Processes, Skills & Support, and Partnering Culture. Using this framework can support an understanding of how ready organisations are to build effective and sustainable partnerships.

12 Steps towards Successful Cross-sector Partnerships

Twelve key steps to guide organisations through the process of building and maintaining a successful, sustainable cross-sector partnership. Starting from understanding the issue, and knowing and respecting one's partners, and identifying clear partnership objectives, all the way through to building in ongoing review and health checks, implementing changes to improve effectiveness, and finally planning for the long term.

Serafin, R., Bustamante, C. and Schramm, C. (2008). *What is current practice in evaluating cross-sector partnerships for sustainable development?* TPI Working Paper No. 1/2008. London: The Partnering Initiative – International Business Leaders Forum.

The Partnering Initiative (TPI) canvassed the views of partnership practitioners on current practice through a combination of desk research, literature

review, questionnaire surveys and face-to-face interviews sought to answer the following questions:

1. DEFINITIONS: Is there a consensus on the terminology related to evaluating cross-sector partnerships?

KEY FINDING: There is no consensus within or across the civil society, business and public sectors as to definitions of what constitutes “evaluation” and what does not. A variety of terms are used including evaluation, tracking, assessing, monitoring and reviewing with no consistency over the terminology used.

2. ASPECTS OF EVALUATION: Which aspects of partnering are considered to be the most important in evaluations of cross-sector partnerships?

KEY FINDING: The focus on “producing tangible results” or assessing impacts dominates current practice in evaluating cross-sector partnership performance. More intangible or unexpected outcomes resulting from cross-sector partnering are not well addressed and are often ignored altogether. Partnership performance is seldom monitored and evaluated in relation to the potential advantages or benefits, which can be achieved.

3. PLANNING EVALUATION: In what ways do partnership practitioners plan to evaluate their partnerships and what is the focus of such evaluations?

KEY FINDING: Few cross-sector partnerships are subjected to formal evaluation. Of these, only a minority are evaluated in a systematic or comprehensive way in terms of their overall performance and impact. Alternatives to partnership approaches are seldom considered in evaluations. Most partnerships are evaluated from the perspective of one of the partners in relation to financial investment and related reputation risks/benefits.

4. TOOLS: What tools are used for evaluating cross-sector partnerships?

KEY FINDING: Evaluations of cross-sector partnerships most commonly rely on the judgement of specialist consultants, who make use of a wide range of specialised tools, frameworks, techniques and approaches. There is no single most favoured or accepted tool, framework or approach. Evalua-

tors opt for the evaluation tools, which are most appropriate or relevant to meeting the needs, circumstances, purposes and organisational culture of specific sectors. Frameworks and tools are typically selected by the agency, partner or funding commissioning the evaluation.

5. IMPROVING EVALUATION: What are the most important barriers to improving evaluations of cross-sector partnerships?

KEY FINDING: The most frequently cited barrier to undertaking evaluations of cross-sector partnerships relates to securing adequate resources. The availability of resources is closely related to the way evaluations are organised and carried out. Who decides on their scope, who funds them, who carries them out and who uses and interprets the results are crucial questions that must be dealt with by the partners working together in a cross-sector partnership.

2.7 USAID

Capacity Project Toolkit for Partnership Building (USAID)

This toolkit (Gormley and Guyer-Miller, 2007) was issued in 2007 by the Capacity Project (www.capacityproject.org), a global initiative funded by the United States Agency for International Development (USAID) “to help developing countries build and sustain their health workforce, so they can respond systemically to the challenges of implementing and sustaining quality health programs.”

The partnership building toolkit offers ten tools for use by alliance and network members to assess partnership readiness, identify promising partners, deliver an effective partnership start-up meeting, create an alliance memorandum of understanding, craft an effective communication strategy for their alliance, facilitate and assess alliance meetings, assess the health of their alliance, assess alliance member competencies, diagnose alliance challenges, and build consensus.

3. AGRICULTURAL INNOVATION SYSTEMS – AGRICULTURAL R4D PARTNERSHIPS

3.1 WORLD BANK

World Bank (2008). *Agricultural Innovation Systems: From Diagnostics toward Operational Practices*. Agriculture and Rural Development Discussion Paper 38.

The Discussion Paper presents the converging views of participants at the 2007 International Workshop on Enhancing Agricultural Innovation Systems organised by the Agriculture and Rural Development Department of the World Bank and the emerging agenda for an agricultural innovation systems approach. It incorporates views and content from the Economic and Sector Work Report, *Enhancing Agricultural Innovation: How to Go beyond Strengthening Research Systems* (World Bank, 2006), case studies of the innovation systems approach in different contexts, as well as other material on AIS.

The paper includes sections on Enhancing Agricultural Innovation (Definition of Innovation Systems and Value Added of the Innovation Systems Approach), Role of Technology, Research, and Advisory Services in the Innovation Process (with evidence from case studies), Importance of Incentives, Partnerships and Coordination.

The authors conclude by providing a set of recommendations on how to invest in Innovation and in Innovation Capacity and four next steps to be pursued by the Innovation systems community:

1. Improve the Understanding of the AIS Concept
2. Communicate the Potential of the AIS Approach
3. Develop Tools for Studying and Evaluating Impact
4. Establish a Community of Practice.

World Bank (2011). *Agricultural Innovation Systems. An Investment Sourcebook*.

The content of the sourcebook is presented in thematic modules: Modules 1 through 4 discuss the main investments related to innovation capacity (coordination and organisation of stakeholders, agricultural education and training, and research and advisory services). Module 5 is concerned with the incentives and resources needed for innovative partnerships and business development, and Module 6 describes complementary investments that create a supportive environment for innovation. Module 7 provides information on assessing the AIS and identifying and prioritising prospective investments, based partly on what has been learned from monitoring and evaluating similar efforts.

Each module includes *Innovative Activity Profiles* (IAPs) describing the design and highlighting innovative features of recent projects and activities related to the area of investment described in the module and also a list of references and further reading.

Key messages of the document are:

- Agricultural development depends on innovation. Innovation is a major source of improved productivity, competitiveness, and economic growth throughout advanced and emerging economies, and plays an important role in creating jobs, generating income, alleviating poverty, and driving social development.
- If farmers, agri-businesses, and even nations are to cope, compete, and thrive in the midst of changes in agriculture and economy, they must innovate continuously.
- Investments in science and technology are a key component of most strategies to improve and maintain agricultural productivity and innovate.
- Research, education, and extension investments are necessary components but have not been sufficient for agricultural innovation to occur. Other conditions and complementary interventions are needed.
- In addition to a strong capacity in R&D, components of effective agricultural innovation are collective action and coordination, the exchange of knowledge among diverse actors,

the skills, incentives and resources available to form partnerships and develop businesses, and enabling conditions that make it possible for actors to innovate. These conditions and complementary interventions have not been consistently addressed to date.

- Innovation and business development by different stakeholders does not occur without complementary investments to create a supportive environment. Enabling conditions in a given context depend on a (innovation) policy mix, innovation governance, a diverse set of regulatory matters and other investments with synergistic effects.
- The agricultural innovation system (AIS) investments must be context-specific and respond to the stage of and vision for development in a particular country and agricultural sector. Given resource limitations, investments need to be assessed, prioritised, sequenced, and tailored to the needs, challenges, and resources that are present.

3.2 GFAR – GLOBAL FORUM ON AGRICULTURAL RESEARCH

CGIAR figures predominantly in all GFAR documents with specific sections, comments on the system and/or individual programs.

Lele, Uma, Jules Pretty, Eugene Terry and Eduardo Trigo (2010). *Transforming Agricultural Research for Development, The Global Forum for Agricultural Research (GFAR). Report for the Global Conference on Agricultural Research (GCARD) 2010, Montpellier, France 28–31 March, 2010.*

This paper was commissioned by GFAR as an input into the Global Conference on Agricultural Research for Development (GCARD) held in 2010. It builds on the consultations conducted over nearly a year as part of the GCARD process. Some 2000 stakeholders of agricultural research from different sectors participated in these consultations. The paper also draws on the team's analysis of the state of the world agricultural research undertaken. The

team reviewed nearly 300 recent and historical documents.

The report includes a full chapter dedicated to Partnerships (Chapter 5) presenting an analysis of the CGIAR reform process, a discussion on principles and lessons learned from a review of literature and also specific recommendations for Future Partnerships between the National and Regional Systems and the CGIAR. Two of the annexes are of particular interest: Annex A – Analysis and Recommendations related to Partnerships in External Program and Management Reviews (EPMRs), Challenge Programs External Reviews (CPEs) and other recent reports, and Annex C – Illustrative Partnership Performance Indicators. The latter was extracted from an EMBRAPA project and in the authors' view gives an example of comprehensive performance indicators for measuring partnerships.

The GCARD Road Map (2011). Transforming Agricultural Research for Development (AR4D) Systems for Global Impact.

It proposes a six-point plan for transforming agricultural research for development to increase its impact in development, requiring actions from all those involved in the generation, access and use of agricultural knowledge: One of the six Strategic Elements of the GCARD Roadmap – elements needed to define actions, required roles, desired outcomes and milestones – is to *Invest in ensuring equitable partnership and accountability among all stakeholders of agricultural innovation and developmental change.*

The road map identifies the stakeholders that need to be mobilised at national, regional and international levels to meet these challenges with each as an owner of the process of transforming the generation and use of agricultural knowledge and technologies for development.

GFAR Annual report 2013

The report includes several sections on partnerships underlining that the Global Forum works

to help ensure that the voices of partners are directly heard in the planning and implementation of all CRP programmes. The CGIAR Research Programs (CRPs) were discussed among a wide range of stakeholders at GCARDs 1 and 2 and CRPs now connect with many programme partners from different GFAR constituencies.

On the need to strengthen National and Regional networks towards better AR4D systems, a specific suggestion to CGIAR is given: CGIAR Research Programs should be highly complementary and focused on helping to achieve desired national outcomes. However, the priorities of CRPs are often not well aligned with those of National Agricultural Research Systems. More detailed consultations are required with regional stakeholders. The section Partnerships for Agricultural Change focuses on the creation of an International Partnership for Climate Change.

3.3 OECD

OECD Conference Proceedings (2012). *Improving Agricultural Knowledge and Innovation Systems*

This conference proceedings from the OECD Conference on Agricultural Knowledge Systems (AKS), held in 2011, discusses a large range of experiences and approaches to AKS and explores how to foster development and adoption of innovation to meet global food security and climate change challenges. The conference considered developments in institutional frameworks, public and private roles and partnerships, regulatory frameworks conducive to innovation, the adoption of innovations and technology transfers, and the responsiveness of AKS to broader policy objectives.

<http://www.oecd.org/tad/improving-agricultural-knowledge-and-innovation-systems-9789264167445-en.htm>

3.4 EUROPEAN COMMISSION

EU SCAR (2012). *Agricultural knowledge and innovation systems in transition – a reflection paper.*

The paper is the result of the reflections of the Collaborative Working Group on Agricultural Knowledge and Innovation Systems (AKIS) set up by the Standing Committee on Agricultural Research (SCAR) with the mandate to review links between knowledge and agricultural innovation in Europe. The paper discusses issues such as Innovation Policy theory and initiatives, the concept of Agricultural knowledge and Innovation systems and the drivers of the transition from AKS to AKIS. Experiences on AKIS in Member States are also described, with information on the actors, dynamics, incentives, policies and monitoring. The main aim of the report is to provide a starting point to establishing a European monitoring device of the AKIS structures and their evolution.

The Working Group concludes the report with seven major findings on the usefulness of the Agricultural Knowledge and Innovation Systems concept, the difference between AKIS in different countries/regions/sectors, their governance and incentives, the lack of consistent, overarching AKIS policies and the fragmentation of the monitoring in terms of input, output and system.

EU SCAR (2013). *Agricultural knowledge and innovation systems towards 2020 – an orientation paper on linking innovation and research.*

The paper is the result of the 2nd mandate of the WG on AKIS with the mandate to a) collect and analyse experiences in EU Member States of interaction between players in the AKIS to foster innovation that could inspire operational groups and b) reflect on how such activities in the rural development programme can be linked to the European research instruments. The paper discusses issues related to Innovation Thinking, the European Innovation Partnership on Agricultural Productivity and Sustainability and presents reflection on cross-border collaboration, Innovation policies and stakeholders' incentives.

The major findings on linking innovation and research in the AKIS are presented in the final chapter of the paper and relate to innovation and op-

erational groups, incentives for stakeholders and incentives for research.

3.5 WAGENINGEN UNIVERSITY – COMMUNICATION AND INNOVATION STUDIES

Klerkx, L. *et al.* (2012). *Evolution of systems approaches to agricultural innovation: concepts, analysis and interventions*. Chapter 20 in Darnhofer, D. Gibbon, and B. Dedieu (eds.), *Farming Systems Research into the 21st Century: The New Dynamic*.

The paper describes the evolution of systemic thinking in agricultural innovation studies, culminating in the agricultural innovation systems perspective. The chapter reviews and organises the existing literature on agricultural innovation, with the threefold goal of (1) sketching the evolution of systemic approaches to agricultural innovation and unravelling the different interpretations; (2) assessing key factors for innovation system performance and demonstrating the use of system thinking in the facilitation of processes of agricultural innovation by means of innovation brokers and reflexive process monitoring; and (3) formulating an agenda for future research. The main conclusion is that the agricultural innovation systems perspective provides a comprehensive view on actors and factors that co-determine innovation, and in this sense allows understanding the complexity of agricultural innovation. However, its holism is also a pitfall as it allows for many interpretations, which complicates a clear focus of this research field and the building of cumulative evidence. Hence, the paper suggests more work to be done conceptually and empirically.

3.6 AGRICULTURAL INNOVATION MARKET PLACE

The Agricultural Innovation MKTPlace is an international initiative supported by different partners aiming to link Brazilian, African and Latin American and Caribbean (LAC) experts and institutions to develop cooperative research projects for development. The main objective of the Market Place is to enhance agricultural innovation for

development in Africa and LAC through the establishment and strengthening of partnerships between African and Latin American and Caribbean research-oriented organisations and EMBRAPA. <http://www.africa-brazil.org/site/index.php/what-we-do/about-the-marketplace>

3.7 CGIAR-RELATED DOCUMENTS

IFPRI (2009). *Measuring Agricultural Innovation System Properties and Performance. Illustrations from Ethiopia and Vietnam*. IFPRI Discussion Paper 00851.

The paper attempts to provide a “proof of concept” that innovativeness in developing-country agriculture can be measured. It first identifies a set of indicators from secondary data sources that measure the key elements of an agricultural innovation system. Several hundred indicators are reviewed, validated, and aggregated into a unique Agriculture, Development, and Innovation Index (ADII). The paper then provides a toolkit for collecting and analysing “systems-oriented” indicators that add more process-related nuances to the ADII with both attributional and relational data. This is illustrated with data collected in Ethiopia and Vietnam in 2007–08.

ASTI/IFPRI – FARA (2011). *The role of Agricultural R&D within the Agricultural Innovation Systems framework. Conference Working Paper 6*.

This paper traces the evolution of the innovation systems framework within the agricultural sector in Sub-Saharan Africa, and presents a conceptual framework for agricultural innovation systems. The difference between innovation ecology/ecosystems and intervention-based innovations systems is highlighted, given that these two concepts are used at different levels in promoting and sustaining agricultural innovations.

The role of open innovation, innovation platforms, and innovation intermediaries in catalysing, enhancing, and facilitating the innovation process are discussed, as is the role of R&D in the innovation process. The paper goes on to consider the inter-

connectedness of the innovation systems perspective and value chain analysis in agricultural R&D processes, before summarising the current status of agricultural R&D in Sub-Saharan Africa, lessons from past experience, and implications and key challenges confronting development practitioners in institutionalising the agricultural innovation systems concept within agricultural R&D in the region. Finally, some key conclusions and areas for investment are presented.

4. META-REVIEWS OF GLOBAL MSP PRACTICE AND LESSONS

OECD (2015). Development Co-operation Report 2015: Making Partnerships Effective Coalitions for Action, OECD Publishing: Paris.

With a view ahead to the proposed Sustainable Development Goals agenda, this report reviews some existing global partnerships and comes up with ten success factors to ensure such multi-stakeholder arrangements work well and are fit-for-purpose to address the challenges of a post-2015 world.

These best practice factors include:

- Securing high-level leadership
- Ensuring partnerships are country-led and context-specific
- Avoiding duplication of effort and fragmentation
- Making governance inclusive and transparent
- Applying the right type of partnership model for the challenge
- Agreeing on principles, targets, implementation plans and enforcement mechanisms
- Clarifying roles and responsibilities
- Maintaining a clear focus on results
- Measuring and monitoring progress towards goals and targets
- Mobilising the required financial resources and using them effectively.

The report also explores the potential of networks and partnerships to drive the delivery of the proposed SDGs, given that they build accountability, coordination and knowledge sharing, and can help

take solutions to scale. It also notes the importance of choosing the right partnership for each challenge – by ensuring a strong connection between global strategy and local implementation, agreeing on clear, ambitious and attainable targets, basing funding allocation on performance and providing inclusive representation by all stakeholders.

Dodds, F. (2015). Multi-stakeholder Partnerships: Making them work for the post-2015 Development Agenda. Global Research Institute, University of North Carolina: USA.

Commissioned by the United Nations Department of Economic and Social Affairs, this paper reviews five existing MSPs (the Global Alliance for Vaccines and Immunisation, the Global Polio Eradication Initiative, the Renewable Energy and Energy Efficiency Partnership, the Forest Stewardship Council and the UN Global Compact CEO Water Mandate) in order to draw lessons on how partnerships can support the UN's new transformative development agenda, adopted in September 2015. The review found all five MSPs have solid organisational structures, clear objectives, a defined timeline, well-organised and strong facilitators and secure funding. However, the report also points out certain shortcomings in each of the reviewed MSPs – including GAVI Alliance's top-down decision-making and limited influence in vaccine pricing and the lack of strong enforcement mechanisms in GPEI.

Pattberg, P and Wilderberg, O. (2014). Transnational multistakeholder partnerships for sustainable development: Building blocks for success. IVM Institute for Environmental Studies, Amsterdam: The Netherlands.

This report surveys recent scholarship to provide an evidence-based assessment of the performance of multi-stakeholder partnerships for sustainable development, with a view to identifying the building blocks for successful and effective partnerships. Specifically, it identifies nine "building blocks" that increase the likelihood of success:

- Leadership (create momentum, guide the process, and foster group cohesion)
- Partners (combine the right skills and resources)

es, create comparative advantage and prioritise inclusiveness)

- Goal-setting (create a common vision and goals, ensure high ambitions and precision and align with global goals and norms)
- Funding (seek innovative funding solutions, diversify funding sources and invest in professional fund management)
- Management (establish independent secretariat, invest in full-time professional staff, ensure professional process management)
- Monitoring, reporting, evaluation and learning (strive for transparency, create robust and measurable indicators and learn from mistakes and adapt behaviour)
- Meta-governance (set minimum criteria for partnerships, entrust institution with vetting procedures and explore linkages between partnerships)
- Problem structure (acknowledge difference in problems, adapt expectations and design according to problem structure)
- Political and social context (identify problems, engage in capacity building and choose most favourable contexts).

The paper also draws on the literature on governance functions and New Public Management (NPM) to create typologies of partnerships, differentiating the as: service provision/implementation, knowledge transfer/learning and standard setting. The paper concludes that by and large the majority of MSPs have not lived up to their promise, so far. What it counts as successes are few and far between, and these are largely health-related partnerships (with mandates to distribute vaccines, disseminate immunisation or combat disease spread) or standard setting partnerships (such as the Forest Stewardship Council). The report also cites wide disparities in several MSPs, with activities not directly related to their publicly stated goals and ambitions.

GIFT (2012). Review of Best Practices for Multi-Stakeholder Initiatives: Recommendations for GIFT. Report prepared by Henry M. Jackson School of International Studies Task Force. Global Initiative for Fiscal Transparency (GIFT). www.fiscal-transparency.net.

This report examines the governance structures and practices of several global multi-stakeholder partnerships – including GAVI Alliance, Forest Stewardship Council, GAIN, Ethical Trading Initiative, Global Health Initiative and the Global Environment Facility – in order to make recommendations to GIFT (the Global Initiative for Fiscal Transparency) on maintaining an effective multi-stakeholder partnership. Recommendations include:

- Institutionalise diversity in the governance structure so that each stakeholder group is represented at each level. This creates motivation among all stakeholders and inspires them to be active partners.
- Clarify the absolute base level of funding needed to maintain the partnership. The report found that all the successful MSPs it reviewed had an annual budget of at least US\$1 million. Also, design a needs-based funding strategy as a mechanism for effective stakeholder communication and cooperation.
- Include a third-party auditing or monitoring party to set standards for all partners on issues such as fiscal transparency, participation and accountability. If such an arrangement is not feasible to everyone, then such standards need to be set at the outset of each partnership and all stakeholders should be encouraged to promote these norms.
- Demonstrate the urgency and relevance of the multi-stakeholder partnership at all times in order to maintain legitimacy not just among partners, but outside the MSP as well.
- Maintain high incentives and benefits for participation in the MSP through inclusion in the decision-making process, and by consistently publishing and distributing progress reports.
- Build capacity for sustainable partnership through a tool like the World Bank's Capacity Development Results Framework.

Patscheke, S., Angela, B. Herman, L., Overdyke S. and Pfitzer M. (2014). Shaping Global Partnerships for a post-2015 World. Stanford Social Innovation Review, Leland Stanford Jr. University: USA.

This report uses the principles of collective impact to evaluate a number of global multi-stakeholder initiatives, focusing on six in particular (Roll Back Malaria, Global Alliance for Improved Nutrition, Global Road Safety Partnership, the World Economic Forum's New Vision for Agriculture, Global Partnership for Education and the World Wide Fund for Nature), to make the point that successful global partnerships require (among other features): a strong backbone structure, a shared goal, shared measurement and efficient communication systems. The report points out, however, that all the MSPs it reviewed failed to prove successful across the board – future MSPs will need to learn to address the disconnect between global strategy and local implementation.

van Huijstee, M. (2012). Multi-stakeholder Initiatives: A Strategic Guide for Civil Society Organisations. SOMO (Stichting Onderzoek Multinationale Ondernemingen): Amsterdam, The Netherlands.

Written from the perspective of and aimed at civil society organisations in MSPs, this report reviews the reasons and benefits of participating in such partnerships, as well as the specific skills CSOs need to build in order to fulfil their specific roles in MSPs. Given their responsibility to civil society, CSOs require crucial negotiation and communication skills, and need to take on a significant amount of duties concerning transparency and accountability of the MSP.

Peterson, K., Mahmud, A., Bhavaraju, N. and Mihaly, A. (2014). The Promise of Partnerships: A Dialogue between INGOs and Donors. FSG: www.fsg.org.

This paper acknowledges the challenges in creating and maintaining effective partnerships, given that nearly 80% of MSPs fail to meet their stated objectives, often because they are set up without much clarity on what exactly they are seeking to achieve, or foresight and planning on how to do it. Given these challenges, the paper reviews different partnership models to come up with the following recommendations for international NGOs (INGOs) in global multi-stakeholder partnerships:

- INGOs need to shift from an opportunistic to an intentional, strategic approach to partnerships
- Incentives drive decision-making and must be aligned to the mode of partnership (joint project, joint program, strategic alliance or collective impact)
- Enabling successful partnerships requires significant non-programmatic investment
- New mindsets and skill sets are needed to implement a strategic approach to partnerships.

Adekunle, A.A. and Fatunbi, A.O. (2012). Approaches for setting up Multi-Stakeholder Platforms for Agricultural Research and Development. *World Applied Sciences Journal* 16(7): 981–988.

This paper discusses the rationale for and current practice in setting up multi-stakeholder partnerships in the form of innovation platforms in Integrated Agricultural Research for Development programs (IAR4D) – in particular the experiences of the Forum for Agricultural Research in Africa (FARA). Innovation platforms have thus far mainly been set up around particular commodity chains, where relevant stakeholders (public, private, research, NGO, farmer groups etc.) are identified and invited to join an IP, formulate a business plan for its operation, and proceed to its implementation in a partnership mode. It recognises that an IP's successful operation is contingent on effective coordination and facilitation among all members, and calls for management, facilitation and negotiation skills in the agency convening the IP.

AtKisson, A. (2015). Multi-Stakeholder Partnerships in the Post-2015 Development Era: Sharing Knowledge and Expertise to Support the Achievement of the Sustainable Development Goals. Background Paper in connection with the Expert Group Meeting being convened by the Division for Sustainable Development, United Nations Department of Economic and Social Affairs (UN-DESA/DSD), June 16 2015, UN-DESA: New York.

Prepared as a background paper for an Expert Group Meeting of the United National Development of Economic and Social Affairs/Division for Sustainable Development (UN-DESA/DSD) and the

United Nations Office for Sustainable Development (UNOSD), this paper reviews the issue of partnerships and knowledge sharing against the backdrop of the Sustainable Development Goals. The paper reviews a number of current global MSPs to draw the conclusion that while 82% of them had communication strategies that included news and information updates and, fewer than a third shared information on partnership activities and shared reports generated by the MSP, while only a handful shared knowledge within the partnership and beyond on lessons learnt and activities that worked and those that didn't. The paper concludes that in future global MSPs need to improve their understanding of systemic linkages, develop more effective ways of sharing the knowledge they aggregate, and accelerate their knowledge sharing activity and ensure that this knowledge is actually used.

Keith A. Bezanson and Paul Isenman (2012). "Governance of New Global Partnerships: Challenges, Weaknesses, and Lessons." CGD Policy Paper 014. Washington DC: Center for Global Development. <http://www.cgdev.org/content/publications/detail/1426627>.

This policy paper examines the performance and effectiveness of the governance of a range of new global MSPs to conclude that the current scenario does not accord adequately with accepted standards, practices and principles of good governance.

Among the weaknesses in governance of MSPs and global programs (including the CGIAR, GAVI Alliance, the Global Fund for the fight against AIDS, Tuberculosis and Malaria, GAIN, Roll Back Malaria, the Global Partnership for Education, the Global Water Partnership and others), the paper cites:

- Weakness or absence in strategic direction, accountability mechanisms, monitoring and evaluation systems, and management of risk
- Lack of clarity on the roles and responsibilities of trustees or host organisations
- Confusion between the roles of management versus governance
- Inadequate attention to resource mobilisation

and to the human resources required to deliver programs and achieve objectives.

The paper calls for:

- More foresight into planning new partnerships
- Anticipating and recognising the need to deal with asymmetries of power, different perspectives and conflicting interests
- Assuring through the governance structure that the aid effectiveness principles of the Paris Declaration are built into the DNA of new or existing MSPs
- Establishing a clear strategy, a baseline against which the value added of the new MSP can be measured, and effective M&E systems to track and report on progress
- Adequate resources for the secretariat or backbone agency of an MSP.

Hazlewood, P. (2015). Global Multi-Stakeholder Partnerships: Scaling up public-private collective impact for SDGs, Background paper 4, Independent Research Forum, IRF 2015.

This paper examines the potential – both opportunities and risks – for enhancing the role and effectiveness of MSPs as a modality for scaling up innovation, resources and action to deliver the SDGs. It reviews current MSPs (such as GAVI Alliance, GAIN, GPE, and UPFI) in elucidating the potential benefits of a multi-stakeholder partnership, including:

- Advancing a more integrated, comprehensive and scalable approaches to poverty eradication and sustainable development challenges
- Facilitating cross-sector dialogue towards aligning around a common agenda for action and advocacy
- Combining and leveraging complementary roles and diverse capabilities of a larger set of cross-sector stakeholders and promoting their inclusive participation
- Facilitating a shift to more programmatic approaches to planning, investment and implementation
- Providing multi-level platforms or networks for

achieving sustainable impact at scale by opening up new opportunities for collaboration and linking action across multiple scales, from local to global

- Facilitating rapid learning and efficient knowledge transfer.

Among the challenges and risks for MSPs, the paper includes:

- Imposing rigid and top-down approaches with respect to strategies and priority setting often undermines national ownership, and potentially distorts national and local development funding and investment priorities
- Reinforcing a siloed and “projectized” approach to development problems and solutions undermines the potential to address the drivers of systemic change
- Investing insufficiently in building the structures needed to manage the complexity and challenges of working effectively across global, regional and national/local levels
- Seeking to expand the development role of the private sector in MSPs without putting into place agreed rules and other measures to ensure transparency and accountability
- Powerful imbalances in the governance and operation of an MSP, and exclusion or lack of meaningful participation of stakeholders, particularly local actors
- Lack of shared measurement systems, weak M&E, insufficient focus on learning and knowledge sharing.

Severino, Jean-Michel and O. Ray (2010). “The End of ODA (II): The Birth of Hyper-Collective Action”, Center for Global Development, Working Paper 218, June 2010.

This paper looks at the advantages of what it terms to be “hyper-collective action” or is understood as a global MSP – implying new energy and resources to international development, but with it increased difficulty in managing global public policy. It offers concrete solutions in improving the management of global public policy under a new regime of MSPs,

including new ways to share information, align the goals of disparate actors, and create more capable actors for international collaboration.

It suggests:

- Progressively expanding the scope of the Paris Declaration process to deliver on other global public policies than traditional development aid, while shifting the focus away from rules and norms of harmonisation towards processes of convergence
- Devising incentives for cooperation – which implies turning multilateral actors into funders and rewarders of convergence
- Imagining “sticks” to give teeth to the coherence agenda, for instance by spreading global evaluation through the intermediary of an evaluation platform
- Creating common standards of measurement, which would allow for the measure of traditional development aid to converge with the measures of global policy finance
- Informing policy by creating common public information campaigns and cognitive frameworks, which could be confronted in yearly “Davos summits” of global policies.

Tennyson, R. and Harrison, T. (2008). Under the spotlight: Building a better understanding of global business–NGO partnerships. London: International Business Leadership Forum.

This paper explores new ways of doing business in a landscape increasingly characterised by global MSPs, with lines of responsibility increasingly blurred – given that large private sector companies are increasingly working in the development space, and with NGOs realising, increasingly, that trade and markets are the most effective drivers of development. Although there are issues of power inequalities, inefficiencies and vested interests, the report cites the endless opportunities of bringing together varying interests, resources, skills and agendas towards a common purpose.

MANNET (2013). Report of the GFAR Governance Review. January 28, 2013. GFAR: Rome.

This report to GFAR's Steering Committee analyses the issues and challenges facing the governance of the Global Forum on Agricultural Research (GFAR) while recommending immediate and medium-term action to strengthen governance.

The report then goes on to review GFAR's current governance structure in terms of what the forum is seeking to achieve. It first looks at the aspirations of GFAR to set up a strategic global agenda for AR4D, influencing policymakers in decision-making around AR4D approaches and investments, and ensuring that research organisations engage with all stakeholders. Given that GFAR's governance is the means through which a majority of stakeholders are meant to engage in policy dialogue, the review comes to the conclusion that this aspect of GFAR governance is weak and needs to be overhauled, perhaps by establishing a constituent assembly of all stakeholders. It also finds that there is often misunderstanding about the role of the secretariat in GFAR, which is simply the catalyst in providing support to stakeholders in the forum, and is not responsible for program generation and delivery. The report also calls for more transparency in decision-making, given that GFAR is a multi-stakeholder partnership of stakeholders, and not an individual agency, *per se*.

Cooke, Rodney D. (2013). A Review of the Global Conference on Agricultural Research for Development (GCARD): An Analysis of the Way Forward. March 2013, GFAR: Rome.

This report reviews the Global Conference on Agricultural Research for Development (GCARD), which is convened by GFAR and the CGIAR. Among its recommendations, the report suggests that the GCARD process needs to:

- Focus to a greater extent on partnership with the agricultural development community
- Draw more on ongoing national and regional programs in designing the conference
- Focus on providing an accountability mecha-

nism for the CGIAR SRF and the CRPs

- Involve a larger proportion of rural development practitioners to achieve more efficient meetings.



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