

Cover Note:
CGIAR Advisory Services Workplan and Budget 2020-2021

Purpose

As relevant to the CGIAR System 2019-2021 Business Plan and the Terms of Reference of the CGIAR Advisory Services Shared Secretariat (CAS Secretariat), Independent Science for Development Council (ISDC), and Standing Panel on Impact Assessment (SPIA), this document sets out in the following materials that are annexed:

- i. **CGIAR Advisory Services Workplan and Budget Update 2020-2021** which presents a refreshed 2020 workplan and budget within the context of the 2019-2021 workplan and budget materials considered at the System Council's 7th meeting and aligned with needs of the system as it takes steps to One CGIAR (ANNEX 1); and
- ii. **Companion document of recommendations on the workplan of the Independent Science for Development Council (ISDC)** relative to 'One CGIAR' by the System Council's Standing Committee on Strategic Impact, Monitoring and Evaluation (SIMEC), pursuant to its role in making recommendations to the System Council on the workplans and budgets of ISDC and SPIA (ANNEX 2).
- iii. **Companion document with an update on the Performance Management Standards** past, in progress and future activities including a recommendation by SIMEC on the workplan of the Evaluation Workstream of the CGIAR Advisory Services Shared Secretariat (ANNEX 3).

Action Requested

The System Council is invited to review the updated CGIAR Advisory Services three-year workplan and **approve** the 2020 workplan and budget, which comprises the ISDC, SPIA, Evaluation Workstream and the CGIAR Advisory Services Shared Secretariat plans, taking into account the recommendations of SIMEC.

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Annex 1 prepared by: CGIAR Advisory Services Shared Secretariat in consultation with ISDC Chair and SPIA Chair and with inputs from SIMEC.

Annex 2 prepared by: Secretariat to the System Council under the guidance of the Chair of SIMEC

Annex 3 prepared by: Programs Unit of the System Organization

ANNEX 1:
CGIAR Advisory Services
Workplan and Budget Update 2020-2021

Purpose

This document sets out progress in 2019 towards the delivery of more integrated CGIAR advisory services, and a refreshed 2020 work plan and budget within the context of the 2019-2021 workplan and budget materials considered at the System Council's 7th meeting,¹ and further to input from the Standing Committee for Strategic Impact, Monitoring and Evaluation (SIMEC).²

Document category: There are no restrictions on sharing of this document.

Prepared by: CGIAR Advisory Services Shared Secretariat in consultation with ISDC Chair and SPIA Chair and with inputs from SIMEC

¹ Refer to System Council decision SC/M7/DP7: 2019-2021 Advisory Bodies Work Plans and Budgets

² Per "SCM9 - Recap 16" issued 4 December 2019 and the draft "Information Note: SIMEC recommendations to the System Council on the involvement of CGIAR's ISDC in the steps to One CGIAR, 14 January 2020 version."

Executive Summary

1. The year 2019 was a transitional year for the CGIAR advisory services and their shared Secretariat. CGIAR Advisory Services Shared Secretariat ('**CAS Secretariat**') was established in 2019 bringing together three workstreams: advice on science and development, evaluation and impact assessment. Operationally, the year saw the move of the CAS Secretariat from the Food and Agriculture Organization of the United Nations to Bioversity International under a hosting agreement with the System Organization, and changes in staffing, with several vacancies yet to be filled.
2. In the last quarter of 2019, the new Chair of the Independent Science for Development Council (ISDC) held first engagements with ISDC's new complement of members. The Standing Panel on Impact Assessment (SPIA) concluded the inception year of its 3+3-year workplan. In concert with the System Council's Strategic Impact, Monitoring and Evaluation Committee (SIMEC), the advisory services' evaluation function began to formulate a methodological approach capable of delivering a streamlined, evaluative review of the CGIAR program portfolio, while commissioning and overseeing an independent pilot study on performance management. The CAS Secretariat has appointed its new Director from mid-October and accelerated the recruitment process for the team that will support the delivery to the System of best-in-class advisory services by ISDC, SPIA and through independent evaluation. The change process introduced workflow and staffing adjustments, some of which created knock-on effects to the planned deliverables. Nevertheless, the final quarter of 2019 witnessed a sense of excitement regarding System discussions towards One CGIAR and a burgeoning sense of stability among the CGIAR advisory services.
3. Looking towards 2020, the CGIAR advisory services will ratchet up their effort, supported by the CAS Secretariat, to align the services in order to provide increasingly timely, harmonized and relevant inputs to System Council and other stakeholders. This document sets out the workplan of CGIAR advisory services for 2020 (to the extent it can be pre-defined in light of System-wide changes), and sketches the approaches that will continue into 2021.
4. The workplan for the CGIAR advisory services that follows looks in turn at the ISDC, Evaluation, and SPIA components of an integrated plan, underpinned by the CAS Secretariat. It proposes adjustments, where these exist, to the three-year plans submitted and approved for the business cycle 2019-2021.

Independent Science for Development Council

A. Introduction

5. In 2020, with new ISDC membership in place since fourth quarter 2019, and under the direction of a new Chair, the ISDC will accelerate progress on delivering its mandate in the context of a changing CGIAR. The emphases for 2020 are three-fold and responsive to SIMEC information note dated 14 January 2020:
 - a. Solidifying the new ISDC's ways of working and delivery to the System, in coordination and frequent collaboration with other CGIAR advisory services;
 - b. Informing evolving strategies and programs for the post-CRP II program portfolio with overt interface to the Transition Consultation Forum (TCF) and its bodies; and,
 - c. Tuning the activities of ISDC to be maximally aligned with System Council's and other appropriate entities' emerging needs as CGIAR orients towards a One CGIAR model.
6. The ISDC workplan and budget refreshed for the 2020-2021 period (remainder of the business cycle) builds on learning articulated in the 2019 plan (submitted SC7) and takes note of key issues emerging at a time of transformational change for CGIAR. Given the degree of uncertainty around the precise nature of advice and support that CGIAR will require during this transition, the ISDC will operate using the principles of adaptive management (AM) by monitoring the need for input and advice (guided by the System Council and in consultation with key CGIAR entities) and adapting its mode of operating in response to these needs. **It is ISDC's responsibility to be responsive, flexible and agile, particularly at this time of institutional change.**
7. The success statement of ISDC, articulated at its December 2019 retreat, is that its **advice is valued by CGIAR and its stakeholders and drives a strategic research agenda that results in desired impacts**. The ISDC value proposition is to enable CGIAR's mission by **providing independent, timely and transparent advice on impactful science and partnerships**.

B. Overall organization and functions

8. The ISDC consists of eight members, including a Chair. By December 2019, seven of these eight positions (including the new Chair) had been filled, with one position left deliberately vacant until later in 2020. The aim is to strategically fill this position with a member whose domain expertise will be critical during the transition towards One CGIAR. The ISDC TORs (2018) set out the core functions for the ISDC; this plan is organized accordingly. The TORs may be supplemented by the SIMEC Information Note, after it is confirmed; the 14 January 2020 version is referenced herewith. The Note articulates SIMEC's position that the ISDC TOR provide scope for the system to source ISDC's independent objective advice and counsel during One CGIAR implementation – including through the chair's TCF membership.³

³ Information Note: SIMEC recommendations to the System Council on the involvement of CGIAR's ISDC in the steps to One CGIAR14 Jan 20 version.

C. Proposed activities 2020-2021 by function

9. According to the Information Note (14 January 2020 version), ISDC will focus its activities in 2020 towards **supporting the design of the future research strategy and program modalities of One CGIAR** by participating in events and processes aimed at this, leading to the provision of impactful independent advice. All of the 2020 activities according to the TORs in effect have been geared accordingly in this annual plan. A **one-year activity plan** is available in Annex 1.
10. The 2021 outcomes per function, articulated below, have been modified considering system-wide change and the referenced Info Note. However, the content of the workplan is organized, wherever appropriate, under the existing ISDC Terms of Reference core functions, for the purposes of cross-referencing to that existing mandate.

Foresight

11. The ISDC's first triannual work plan on foresight supports the design of the System's 2030 Plan, by linking overtly with the System-Level Business Plan and through its contribution to the crystallization of the CGIAR's major research themes. The ISDC will contribute to the 2030 plan by building on previous foresight work (e.g., Serraj, Rachid and Prabhu Pingali, eds. "Agriculture & Food Systems to 2050"), as well as outputs from the Science Forum 2018. The ISDC has used the 2019 transition year to develop further lessons learned from the Foresight studies conducted in 2017 and 2018. The ISDC will continue the dialogue with SIMEC, taking note of thinking emanating from the System Management Board (SMB) as appropriate.
12. In 2020, the ISDC will prepare **a translational study that synthesizes past ISPC and other key thinkers' outputs on foresight**. The purpose of this work is to provide actionable knowledge and insights on key issues shaping the agriculture and food systems innovation over the coming decades for use in decision-making, particularly in light of the move towards One CGIAR. The activity will align past foresight work with the five impact areas of One CGIAR,
 - a. Nutrition and food security;
 - b. Poverty reduction, livelihoods and jobs;
 - c. Gender equality, youth and social inclusion;
 - d. Climate adaptation and greenhouse gas reductions; and
 - e. Environmental health and biodiversity.

Targeted, brief communication products in 2020 will facilitate the translation of the foresight work to the strategic research planning underway.

13. *By 2021 and in consultation with the System Council, the ISDC will have provided advice on options for future directions of AR4D research programs to inform the new CGIAR strategy (2022-2030), in the broader context of particularly SDG 2 and its targets relevant to the Strategic Results Framework.*

Horizon Scanning

14. Similar to the foresight work, ISDC's emphasis will be translation of past horizon scanning to the proposed new vision for One CGIAR (Ending hunger by 2030 - through science to transforming food, land and water systems in a climate crisis), with emphasis on the five impact areas.

15. *By 2021 and in consultation with the System Council, and in collaboration with some of the system entities, the ISDC will have woven horizon scanning into One CGIAR transition mechanisms, informing the business planning cycle under the 10-year strategy.*

Priority Setting

16. The workstream will focus in 2020 on summarizing and synthesizing analytical work already undertaken by the ISPC on priorities and trade-offs (e.g. Science Forum 2018).; reflecting in particular on trade-off analysis and methods. **ISDC will provide advice on trade-off analysis and analytics, and how these can best serve in the research strategy and program modalities design**, relating the foresight and horizon scanning work in the aforementioned sections. Discussions with the System Council, SIMEC, and the TCF are in progress in order to mine the intellectual capital that has already been generated, to advise on priorities in the context of the development of the 2030 CGIAR strategy.

17. *By 2021 and in consultation with the System Council and other relevant System entities, the ISDC will develop guidance on priority setting at the System Level and support efforts for its implementation, with emphasis on trade off analysis, and where appropriate aligning such priority setting guidance with the five emerging CGIAR Impact Areas.*

Proposal Assessment

18. There is no envisaged work on **Proposal Assessment** in 2020 *per se*. The orientation of ISDC work in 2020 is towards providing counsel in the design of the future research strategy and program modalities.

19. *By 2021 provide input and review the new CGIAR research portfolio in line with the 2030 Research Strategy; and, in the context of the One CGIAR change process, launch and implement new guidance for proposal review befitting One CGIAR modalities.*

Other functions

20. The Quality of Research for Development Framework (ISPC October 2017) will be reframed, revised and reissued/reiterated for reference during One CGIAR transition.
21. Being responsive to the needs of the System, also cognizant of abilities outside of the system,

that we as ISDC can draw together, the ISDC will consider during 2020 whether or not to expand upon activities for independent advising related to country and regional engagement and collaboration and scaling partners. Interactions with TCF and relevant TAG(s) during the year, as well as with System Council, will inform any proposal to undertake any specific study on collaborative partnerships, to deepen independent advice on the topic of partnerships furnished through the TAGs and to the 11th meeting of the System Council.

22. The ISDC Chair and potentially some members (TBC) will contribute to TCF and Transition Advisory Groups, while upholding the ISDC operational principles to: (i) maintain the independence of its advice⁴, (ii) provide advice that maximizes CGIAR's impact, (iii) align its assessments with CGIAR Business Plans, (iv) contribute to improved and systematic linkages between science and development, and (v) communicate to and formally discuss its advice with the System Council (TOR Article 1.2).
23. The AM modality that ISDC is adopting calls for a degree of planning flexibility, in order to meet arising needs. Emerging issues that cannot be included under ongoing activities will be programmed in the ISDC work plan as needed and with accompanying budget support. The ISDC will conduct most of its business and interaction with other System entities virtually as needed, supported by relevant virtual discussion panels and through a series of bespoke webinars. Two activities of prime importance in the 2020 activity plan are publications, including the **publication of the papers prepared for the Science Forum 2018** in peer-reviewed journals; and, **formative activities with new members of ISDC**.
24. The ISDC budget request for the 2019-2022 period was USD 2.76 million. The 2020 funding requested is 868,550. Annex I supplies the revised workplan.

Evaluation Workstream

25. The proposed Evaluation 2020 workplan builds on the 2019 interim workplan, while also responding to the emerging developments towards One CGIAR. To complete the three-year cycle, the definition of the 2021 workplan will follow further discussions within CAS Secretariat and with SIMEC in 2020.
26. The proposed workplan for 2020 focuses on the following:
 - a. Review of progress and achievements of CRPs in the CGIAR Research Portfolio 2017-2021 through assessment of up to 12 CGIAR Research Programs (CRPs) of the CGIAR Research Portfolio 2017-2021 focused on streamlined, cost-effective CRP reviews that complement elements of Results Based Management (effectiveness and quality).
 - b. Based on lessons from the light-touch review modality, initiate development of a multi-year evaluation plan responding to the System's needs for timely evidence of programmatic progress and achievements.

⁴ Article 6.6 provides the mechanism by which this can be achieved on a practical basis

A. Assessment of CRPII – review of effectiveness and quality of research

27. The CGIAR Research Portfolio 2017-2021 (sometimes referred to as phase 2) is composed of 12 programs and 3 platforms. Many of the programs have undergone full evaluation during phase 1 (completed in 2016). Following discussions and input from SIMEC, the CAS Secretariat through the evaluation workstream proposes to develop a light review of CRPs from the CGIAR Research Portfolio 2017-2021 focusing on two critical areas:
- a. Progress and achievements in CRPs;
 - b. Quality of research for development.
28. The focus of the proposed reviews of current CRPs would therefore assess the extent to which the program is progressing as expected and managed for high performance. Reviews would focus largely on specific areas of performance and progress and assess effectiveness and quality of outputs.
29. To address the request for a lighter touch approach to assessments, in 2019, the CAS Secretariat began to define a standard approach that excludes an inception phase or inception report. Compared to full evaluations, the reviews will be more efficient both in terms of costs and time by limiting the review scope to two criteria. While the proposed reviews would limit the scope and depth, they provide evaluative information on achievements and progress within each program.
30. To accomplish the reviews within one year, the review schedule will stagger 3-4 reviews at a time, allowing for overlap among them. Each review is estimated to be completed within approximately 4 months from the start date of the subject matter experts.⁵ The final report will be submitted to System Management Board and the System Council, with no requirement for a formal program-specific management response stage, which has been the past, standard practice. Time commitment for each review will be a third compared to full evaluations and the costs extremely contained compared to past evaluations, in keeping with the light-touch philosophy. Efforts to further enhance the cost-efficiency and effectiveness of the reviews include concentrated efforts to better utilize and analyze current CRP reporting mechanisms (via monitoring and reporting system). In addition, to accelerate work and control costs of 12 reviews, CAS Secretariat will conduct pre-analysis (such as bibliometric analysis and project and program portfolio analysis) prior to subject-matter experts' start of reviews.
31. Annex 2 presents key elements related to information sources for light touch reviews. From late 2019, the CAS Secretariat evaluation staff and temporary analysts commenced vetting existing data sources for quality and access. Ease of access to secondary, quality-vetted data with relevant metadata is a prerequisite to proceed with the 12 light touch reviews per this proposed workplan.

⁵ Time commitment of full CRP evaluations in the past ranged from 11 months to over one year, allowing for TOR development, inception phase, consultations, review of drafts, and management responses.

32. The proposed review schedule will focus on research programs (12 CRPs) with delivery scheduled for the bulk of completed reviews by end of year. The CAS Secretariat proposes to postpone the review of the three platforms until 2021 bearing in mind that two of the research platforms have been recently, partially reviewed (Genebanks/2016 and Data Management/2016). In the case of Excellence in Breeding platform, activities started in 2018 and therefore offer little scope for assessment.

Box 1: Main Review Questions

1. Are outputs (e.g., publications, innovations and policy recommendations) of high quality?
2. To what extent have planned outputs, milestones, and outcomes been achieved between 2017 and 2019?
3. To what extent have program flagships and the programs overall made progress along the Theories of Change (i.e., towards outcomes)?

B. Performance management standards next steps

33. In 2019, the CAS Secretariat evaluation workstream was tasked with completing the pilot assessment of the performance management standards of CGIAR. The CAS Secretariat commissioned an assessment (confidential to programs during the pilot stage) in late 2019. End-of-October results of the assessment will be supplied to each program in order to prepare for the next phase of official assessment, as defined by the System Management Board and System Council. An overarching report on lessons learned and recommendations for future performance assessments has been shared with SIMEC.
34. CAS Secretariat has recommended and SIMEC endorsed⁶ reconsideration of the timing of official assessments based on One CGIAR trajectory. CAS has also put forward recommendations towards making the assessment more efficient overall and better considering applicability to Platforms and non-CGIAR entities. Hence, per SIMEC advice, there will be no activity on performance management standards in 2020. The 2021 plan may revisit the activity, once recommendations regarding efficiency and applicability are addressed.

C. Revision of the evaluation policy and development of a multi-year plan

35. Under the reconfigured advisory services and CAS Secretariat, when full staffing is achieved in the evaluation function during 2020, the CAS Secretariat Director and evaluation team member will consult with relevant stakeholders and compile the outyear workplan (i.e., 2021), ensuring tight alignment with Business Cycle and One CGIAR change process.

⁶ "SCM9 - Recap 16" issued 4 December 2019

36. The Evaluation Policy is a CGIAR System-wide policy that governs independent evaluation at different levels of the System. The current Policy dates from 2012. Given the establishment of the new CGIAR advisory services, and the upcoming One CGIAR governance reform, a revised Evaluation Policy will be developed for CGIAR to reflect the needs and arrangements of CGIAR independent evaluation. Activities under the 2020 plan will begin preparatory thinking in this respect, once full staffing of the evaluation function is achieved, entailing an in-house desk study on compliance with the current policy and lessons from the light-touch review approach. During the 2021 workplan, in alignment with the new management and governance structures of One CGIAR, CAS Secretariat envisages to undertake to revise the Policy based on lessons learned, good practice and implementation to date. By end of 2021, a draft of the One CGIAR Evaluation Policy that emphasizes learning and accountability will be available for endorsement and inclusion in the new business cycle.
37. The Evaluation workstream funding request for 2020, allowing for the CRP II evaluation peak, is 910,000 dollars.

Standing Panel on Impact Assessment

38. SPIA's 3+3-year workplan presented at SC7 is organized around three objectives:
- I. Support CGIAR's strong commitment to embed a culture of impact assessment (IA) into the System;
 - II. Expand and deepen evidence of impact of CGIAR research investments on CGIAR SRF outcomes and associated Sustainable Development Goals; and
 - III. Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data systems designed to track progress on SDGs.
39. Objective 1 is primarily targeted at ensuring that the results are available and used by key stakeholders across the system to inform decisions as it moves to One CGIAR. Objectives 2 and 3 primarily contribute to ensuring a quality portfolio of impact assessments and the regular collection of data on adoption of CGIAR innovations to inform future decision-making.
40. There has been a re-distribution of tasks/funds in the first three years of the 3+3-year SPIA plan, due to factors broached by the SPIA Chair at eighth meeting of System Council and explained further in this document.

A. Workplan 2020

41. The implementation of the advisory services reforms significantly affected both the Panel and Secretariat operations in 2019. Nevertheless, SPIA remains committed to delivering on its mandate and on the full 3-year program of work approved by System Council at SC7. Rigorous reviews of proposed study designs, feedback to study teams and capacity strengthening to these teams conducted in 2019, is leading to a set of rigorous studies and data collection ready for funding and implementation in 2020. For these reasons, this 2020 workplan includes

both new activities for 2020 as well as some activities that were planned in 2019 but will be completed in 2020. By proceeding in this fashion, the key outputs and outcomes for the period 2019-2021 remained unchanged from the 3-year work plan.

1.1 Objective 1: Support CGIAR's strong commitment to embed a culture of impact assessment into the System (3-year Budget: USD 1.2 million; 2020 budget: USD 0.5 + 0.09 million)

42. The Impact Assessment (IA) community in CGIAR includes not only IA specialists but also those who use IA results and who make decisions about investing in generating them. Key activities for engaging the broader CGIAR community in 2020 include finalizing and implementing the communication strategy to help inform decision making; engaging with different stakeholders throughout the system and using evidence to challenge conventional wisdom and influence future directions; aligning SPIA's impact assessment strategy and approach to CGIAR 2030 strategy; launching online standards and guidelines, a regularly updated resource for those who conduct and use impact assessments, to contribute to the strengthening of program performance management ; and consolidating the IA community of practice. Key activities to strengthen CGIAR capacity to conduct rigorous impact assessments include planning and implementing a fellowship program that will enable CGIAR IA specialists to work with eminent IA experts in their universities or research institutes, and targeted training. Building on the release of a new wave of nationally-representative household survey data from Ethiopia (containing data on adoption of CGIAR innovations), SPIA will, through virtual and in-person events, raise awareness of these data and how this type of data can be used and offer sub-grants for studies doing further analysis of these and other SPIA-related data sets.

43. Key Objective 1 outputs in 2020

- a. Communications (including publication) strategy finalized and implemented;
- b. Communication of results, in the form of presentations, reports or think pieces, to target audiences inside and outside CGIAR (including System Council)
- c. SPIA IA strategy aligned to CGIAR Strategy to 2030;
- d. Expanded IA guidance available online;
- e. IA community of practice formally established and at least two events held;
- f. Plan for fellowships finalized and initial cohort selected;
- g. IA training held;
- h. Events and subgrants to enable further analysis of SPIA data.

1.2 Objective 2: Expand and deepen evidence of impact of CGIAR research investments on CGIAR SRF outcomes and associated Sustainable Development Goals (3-year budget: USD 3.9 million; 2020 budget: USD 1.6 + 0.29 million)

44. SPIA will continue to identify and fund high-quality, high-priority impact studies through competitive processes, covering the five impact areas of One CGIAR. In 2020, building on the lessons from 2019, SPIA will continue to provide technical support to selected study teams to enable them to develop their expressions of interest into high-quality proposals with strong research designs that pass external peer review. Starting in 2020 SPIA will offer the possibility of proposal development grants to be used to identify, compile and analyze relevant existing data sets, to build necessary partnerships and to incorporate new methods and methodologies to underpin strong proposals. Such grants improve the quality and timeliness of proposals as well as strengthen capacity of study teams.

45. **Key Objective 2 outputs in 2020:**

- a. 4-6 studies of the long term, large scale impacts (“big wins”) of CGIAR research on SLO/SDG outcomes funded and underway;
- b. At least 4 studies funded from the call for proposals on the “environmental impacts of research on agricultural intensification”, issued in 2019;
- c. At least 4 studies funded from the call for proposals on adapting diffusions strategies to scale and sustain adoption of CGIAR innovations, launched in 2019;
- d. Project development grants funded;
- e. At least 2 methods develop papers (with focus on using new technologies for IA) published;
- f. At least 1 implementation workshop for funded studies.

1.3 **Objective 3: Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data systems designed to track progress on SDGs (3-year budget USD 3.9 million; 2020 budget: USD 1.3 + 0.77 million)**

46. SPIA will work with its partners to ensure high-quality data collection covering the CGIAR portfolio in targeted countries and to mainstream good-practice methods for data on diffusion and use of CGIAR innovations in multi-country data collection efforts (e.g. 50X2030 initiative). Development of a series of new data collection protocols will take place in Ethiopia and Uganda, through integration of remote sensing and community/market-level surveys with data collection at plot and household level, expanding the range of CGIAR innovations that can be included, as well as the geographical and time dimensions for measurement. SPIA will collect data on adoption of a prioritized set of CGIAR-related innovations at national level in Uganda through piloting and integration of new data collection protocols in the 2020 wave of Uganda National Panel Survey. Consultation and background analysis to prepare the choice of two additional countries for nationally-representative data collection post-2020, at least one of which will be in Asia, will be completed. The process for institutionalization of Objective 3 of SPIA’s work program (Objective 3) post 2024 (end of SPIA 6-year plan) will also be formalized.

47. **Key Objective 3 outputs in 2020**

- a. Dashboard of all significant CGIAR-derived innovations in both Ethiopia and Uganda;
- b. Test new methods for gathering data on adoption/use of key innovations;
- c. Results on diffusion and use of key CGIAR innovations for Ethiopia disseminated;
- d. Comprehensive data collection on diffusion and use of CGIAR innovations for Uganda;
- e. Samples collected and sent for DNA fingerprinting analysis (maize, sweet potato and beans in Uganda with CIMMYT, CIP and CIAT);
- f. Complementary (community & remote sensing) data sets for Ethiopia;
- g. Additional countries identified, through scoping exercises, field visits, and events;
- h. Draft framework for institutionalizing Objective 3.

CGIAR Advisory Services Shared Secretariat

48. The CGIAR Advisory Services Shared Secretariat (CAS Secretariat) supports the effective and coordinated functioning of the ISDC, SPIA and evaluation workstream (i.e., CGIAR Advisory Services), further to the Terms of Reference approved by the System Council with effect from October 2018.
49. The CAS Secretariat is currently (Nov 2019) in an accelerated phase of recruitment, in order to reach its full complement of professional staff as early as possible in 2020. The Director was appointed in mid-October 2019, and the target date to fill the three senior manager roles per the Secretariat's TORs is 31 March 2020. As the senior staff come on board, some work plan and budget modifications may be proposed.
50. Per its Terms of Reference, CAS Secretariat provides operational support to ISDC and SPIA and implementation of the System's multi-year evaluation plan. The focus of the Secretariat work plan is thus the operational support complemented by overarching tasks in 2020 with emphasis on knowledge management, communication and integrative functions of the CAS Secretariat, namely the work with ISDC, SPIA and evaluation workstream to identify and promote opportunities to increasingly interweave the 2020 and future work plans.
51. Key overarching activities in 2020 follow. In 2021, a more evolved variant of the activities will be defined, based on monitoring and lessons in 2020.
 - a. Secretariat support furnished to ISDC and SPIA vis-à-vis their regular interactions and inputs to the System Council, workflows and procedures, and engagement of external consultants and experts;
 - b. Secretariat formation – recruitment, onboarding and team building of an integrated secretariat;
 - c. Knowledge management – digital and physical archiving of body of work of ISDC, SPIA and evaluation workstream and their predecessors;
 - d. Communications – develop and deploy a communications strategy to enhance the uptake and absorption of key pieces of work developed by the Advisory Services, aligned with workstream specific efforts and make better known the role of ISDC, SPIA and the evaluation function;
 - e. Planning and monitoring – engage in an integrative planning process of the Advisory Services and set forth and then employ a monitoring function for the assurance of work plan delivery and CAS Secretariat performance.

Management considerations

52. The CAS Secretariat will remain in an accelerated recruitment stage to fill all professional positions from the period October 2019 to June 2020. During this period, the Secretariat will avail of additional support via short-term consultancies to ensure its base services to ISDC, SPIA and the evaluation workstream.
53. CAS Secretariat requests 2020 funding of 1.78 million, taking into consideration projected start dates of vacant positions and recruitment costs during the change period.

Annex 1: ISDC – Work planning 2020

Activity	Focal Point (FP)	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	2021
ISDC Virtual Meeting (20 Jan, 12.00 CET, and then monthly)	Holger	x	x	x	x	x	x	x	x	x	x	x	x	x
SMB 16th Meeting - Ams 28-29 Jan, and subsequent meetings	Holger+?	x				x								
QoR4D Reframe*	Andrew-Holger	x												
Big Lifts and 2030 Design WS (4-6 Feb)	Holger-Lesley-Nighisty		x											
Foresight Translational Study - Gen, Pov, Nut*	Chris-Suneetha		x	x										
Foresight Translational Study - CC, Env*	Chris-Lesley		x	x										
Trade-off Analyses (building off synthesis and trans studies)*	Chris-Suneetha-Lesley					x								
Summarizing and synthesizing Science Forum 2018 trade-offs papers for publication	Holger + ?			x	x	x	x	x	x	x	x			
ISDC Mtg - Addis (21-23 Apr)	All				x									
SMB 17th Meeting (5-7 May)	Holger				x									
Finalize advice/communications for SC10	Chair/FPs (+Secretariat)					x								
SC10 Berlin 9-10 June	Holger						x							
Science Leaders in Montpellier (2030 Strategy Shaping) 1-4 Jun – by invitation	ISDC (pot. all)						x							
TCF Research Team Workshop (5-8 June Berlin)	Holger + TBD						x							
Potential study on collaborative and scaling partnership related to TAG 4 - TBD	TBD						x	x	x					
Position Paper – Engagement/ Partnerships-TBD	TBD								x	x				
Advising TAGs for Prioritization Process coming out of tradeoff work	TBD								x	x	x	x	x	
ISDC Meeting - loc TBD (w/c 5 Oct)	All										x			
Finalize advice/comms for SC11	Chair/FPs (+Secretariat)											x		
SC11 location TBD	Holger + ?											x		
TCF/TAG engagement/advising	Holger +	x	x	x	x	x	x	x	x	x	x	x	x	x
Recruit 2 ISDC Members - make recommendations to SC	Holger				x									

*specific attention to develop briefs/web/social media provided by CAS Secretariat

Annex 2: Use of CGIAR information (appraisal, monitoring, reporting) in reviews

System Process/ Input	Focus	Integration into Evaluation
Appraisal	Feedback and assessment of ISDC and donors during the proposal process. Inputs will include documented appraisals and donor feedback on program proposals.	Evaluation to focus mainly on areas of concern noted during the appraisal and review process, and less so on areas which were deemed of good or high quality.
Monitoring	Program monitoring data and information Access to MARLO and MEL information and reports by review team for data and information collection	Evaluation to conduct analysis of programmatic information (bibliometric and mapping analysis). Mapping program achievements to Theory of Change and progress will also be conducted by team,
Reporting	CRP annual reports agreed to by SC/SMO	Access to program reports by review team to conduct necessary analysis
Previous evaluation (where applicable)	Responses and changes to program	Analysis of program developments and changes, assessing changes improvements.

ANNEX 2- Companion document to the CGIAR Advisory Services workplan and budget 2020-2021:

SIMEC Recommendations to System Council on Independent Science for Development Council (ISDC) 2020-2021 workplan relative to 'One CGIAR'

Purpose

Pursuant to SIMEC's role in making recommendations to the System Council on the workplans and budgets of ISDC and SPIA¹, this document sets out, as a companion document to the CGIAR Advisory Services 2020-2021 workplan and budget materials, SIMEC's recommendation to the System Council that ISDC be a source of independent objective advice and counsel during implementation towards One CGIAR. An appendix provides some background to how this position was arrived at.

Document category: There are no restrictions on sharing of this document.

Prepared by: Secretariat to the System Council under the guidance of the Chair of SIMEC

¹ Refer SIMEC TOR paragraph 5.d at: https://storage.googleapis.com/cgiar.org/2017/06/TOR-SC_SIMEC_11May2017.pdf

Recommendations by SIMEC

Based on the System Council's unanimous endorsement of the SRG Recommendations at its 9th meeting in Chengdu, SIMEC presents its recommendations on the involvement of the Independent Science for Development Council (ISDC) in steps towards One CGIAR, noting below each how this complies with ISDC's terms of reference (article references provided in brackets):

1. **The Chair of ISDC be included in the membership of the Transition Consultation Forum (TCF) (successor to the SRG) and ISDC members to contribute to Transition Advisory Groups (TAGs) and Working Groups as appropriate.**

Given that the ISDC TOR indicates:

- a. The ISDC's mandate is to provide rigorous, independent strategic advice to the broader CGIAR System as a whole (1.1)
- b. The ISDC will follow operational principles such that it: (i) maintains the independence of its advice², (ii) provides advice that maximizes CGIAR's impact, (iii) aligns its assessments with CGIAR Business Plans, (iv) contributes to improved and systematic linkages between science & development, (v) formally discusses its advice with the System Council (1.2)

2. **ISDC align its 2020-2021 workplan with the agreed steps and timelines towards One CGIAR.**

Noting that in the ISDC TOR it outlines that:

- a. The multi-year workplans and budget will include objectives and deliverables that are aligned to successive CGIAR Business Plan cycles to be approved by the System Council (7.4a),
- b. SIMEC serves as a key forum for preparatory conversations on workflow design and the schedule of delivery to facilitate alignment with System Council workplans and priorities (6.2.d)

3. **In planning for delivery across its functions, ISDC to focus in 2020 on supporting the design of the future research strategy and program modalities of One CGIAR by participating in events and processes aimed at this, with little to no activities in other mandate areas.**

Recognizing that the mandate of ISDC in its TOR specifies the provision of:

- a. Evidence-based, impartial and strategic advice on future critical research for development areas for which CGIAR has a comparative advantage (TOR Article 3.2);
- b. An evidence base to support research programming and major potential shifts in the focus of CGIAR Research (3.2);
- c. Robust advice on the core science and development challenges inherent in delivering on CGIAR's System goals, how these should be tackled in the System's research and innovation agendas (3.2a);
- d. Recommendations and/or proposed adjustments vis-a-viz the relative priorities for CGIAR Research in order to strengthen alignment with CGIAR System goals and the Sustainable Development Goals (3.2b);
- e. Expert contributions to the development of such other research frameworks envisioned to be adopted as CGIAR's planning cycles (3.2c)
- f. Broader guidance from ISDC on matters concerning the strategic direction of CGIAR and the value of its research agenda as formally requested by the System Council from time to time, (TOR Article 3.8)

² Article 6.6 provides the mechanism by which this can be achieved on a practical basis

Appendix A: Background to SIMEC recommendations

1. CGIAR's ISDC, Standing Panel on Impact Assessment ('SPIA'), and the Advisory Services Shared Secretariat presented, as a consultation draft for the System Council's 9th meeting ('SC9'), a refreshed consolidated workplan and budget for 2020-2021. Guidance was sought on the priorities and options on the ISDC and Shared Secretariat elements of that workplan in the context of the evolving SRG recommendations.
2. On the day following SC9, a workshop on 'connecting the dots' was co-convened by the Chair of SIMEC and Chair of the ISDC with the objective of exploring how the advisory services could be better aligned in the landscape of One CGIAR. The intention was to support the advisory services, in particular the ISDC and the facilitative work of the Shared Secretariat, in refining and finalizing their 2020-2021 workplan and budget for submission to the System Council for approval.
3. Framed by the System Council's unanimous endorsement of a future state One CGIAR, the workshop looked at:
 - a. The role that could be played by ISDC in the time of transition to One CGIAR by providing independent science advice at relevant junctures and in appropriate ways;
 - b. The valuable information and insights from impact assessment work that could be contributed by SPIA; and
 - c. The type of evaluative material which would be useful, in addition to that providing accountability on the current portfolio, to help shape the new research strategy and program modalities to be designed as part of delivering on One CGIAR.
4. The discussions further focused on how the ISDC could contribute to the steps towards One CGIAR to provide guidance to the ISDC workplan, with the following being key ideas:
 - a. Provision of advice for the CGIAR System as an independent body of experts from a wide range of relevant disciplines and making use of the ISDC's Quality of Research for Development Framework.
 - b. Providing counsel in the design of the future research strategy and program modalities.
 - c. Giving guidance based on robust trade-off analytic assessments to help identify in the design of a new CGIAR portfolio where the investment could have the biggest impact on SDG2 in terms of development outcomes. Ideally this would utilize findings from SPIA and support priority setting in geographies, crops, innovations and other aspects.
5. With SIMEC support for the value that ISDC could bring to the steps and transition to One CGIAR, it was agreed that there be a careful review of the terms of reference of the ISDC to assess the extent to which these include scope for ISDC to be involved in activities around One CGIAR, and that of the Shared Secretariat as a facilitative team.
6. Based on the review of the ISDC TOR, SIMEC's position is that ISDC could contribute advice during the transition to One CGIAR as part of its 2020-2021 workplan in the ways identified above, and that these actions fit with its mandate, functions, operation and engagement.

ANNEX 3-Companion document to the CGIAR Advisory Services workplan and budget 2020-2021:
Update on Program Performance Management Standards

Purpose

This paper provides an update on the status of the Program Performance Management Standards Pilot Assessment, and next steps, including upcoming opportunities to provide input to the next generation of One CGIAR Performance Management measures.

Pursuant to SIMEC's role in making recommendations to the System Council on the workplans and budgets of the advisory services, this update also provides the background to the 2020 workplan and budget of the Evaluation Workstream of the CGIAR Advisory Services Shared Secretariat which does not include a formal assessment of the performance management standards.

Document category: There are no restrictions on sharing of this document.

Prepared by: Programs Unit of the System Organization

Summary timeline

Key:

Past/Completed	In progress	Future/To do
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Timing	Activity/Decision
November 2018	<ul style="list-style-type: none"> - System Council approval of 2019-2021 Program Performance Management Standards - Agreed that the evaluation senior specialist in the CGIAR Advisory Services Shared Secretariat is the responsible officer for undertaking periodic independent assessment.
December 2018	SMB approval of assessment criteria for Standards 1-2 and 4-6
March-May 2019	Self-assessment against standards undertaken by 5 CGIAR Research Programs (CRPs) and 1 Platform: Agriculture for Nutrition and Health; Big Data in Agriculture; Climate Change, Agriculture and Food Security; Forests, Trees and Agroforestry; Livestock; and Rice
June 2019	Feedback from self-assessment presented to Science Leaders' Meeting and lessons incorporated into revised criteria
October 2019	The System Management Board endorsed (SMB/M14/DP4) a clarification on the information flows and roles regarding the 2019 Pilot Assessment of the 2019-2021 Program Performance Standards for the purpose of developing and delivering an effective Response Plan to the Pilot Assessment findings.
November 2019	<ul style="list-style-type: none"> - Pilot assessment completed by all CRPs and Platforms. Dalberg Advisors undertook the Pilot Assessment (September-October) under the guidance and management of the CGIAR Advisory Services Shared Secretariat (CAS). - Discussion between CGIAR Advisory Services and SIMEC (at Connecting the Dots: Workshop 2 in Chengdu, China) on proposed update to 2020-2021 workplan and budget, including on priority activities for the Evaluation workstream of the CGIAR Advisory Services shared secretariat. - Based on early lessons learnt and recommendations from Pilot Assessment and endorsed recommendations for One CGIAR, and the parallel process of the System Reference Group recommendations to the System Council on transition to One CGIAR, SIMEC recommended to conclude the current pilot on the performance management standards but not to move into a subsequent full-scale assessment.

Timing	Activity/Decision
December 2019	Dalberg Advisors delivered the “ Lessons Learnt and Recommendations for Future Assessment Exercises ” report, containing important findings about (a) The suitability of the standards; (b) The suitability for Platforms; (c) the suitability of the assessment methodology, and (d) Post-2020 suitability.
January-February 2020	Based on guidance, CGIAR Advisory Services 2020 workplan finalized for submission to System Council for approval SIMEC engaged on an early framing of the ‘Response Plan’ that will be focused on: <ul style="list-style-type: none"> a. Optimizing delivery against existing Performance Management Standards within the current Business Cycle b. Defining the process to agree new Performance Management measures applicable to the period 2022-2024 c. Defining the process required to ‘bake’ the new Performance Management measures into One CGIAR’s new research modality by end 2021
February-April 2020	<ul style="list-style-type: none"> - Development of a Response Plan, through a process of engagement with SC, SMB, Centers, CRPs, and Platforms. - The delivery of the Response Plan will be embedded in the steps to develop a new research strategy and modalities for One CGIAR and considered within the Transition Advisory Group (TAG) 2 on Research.
May 2020	System Management Board consideration of the Response Plan.
June 2020	At SC10, System Council members will be invited to review the Response Plan, and specifically to agree on the new Performance Management measures to be built into the strategy and modalities for the 2022-2024 period.
June-November 2020	Further development of research strategy and modalities including ‘baked in’ Performance Management standard measures.