

The Future of Partnerships in the CGIAR

Report of Working Group 2 (Partnerships) to the
Change Steering Team of the CGIAR

August 11, 2008

Executive summary

Creating partnerships is crucial for the Consultative Group on International Agricultural Research (CGIAR) to reposition itself within the emerging global agricultural research and knowledge system. As part of the Change Management Process initiated by the CGIAR Members to examine the current role and situation of the CGIAR System, Working Group (WG) 2 has drawn on various studies, as well as the expertise of its members, to develop proposals for establishing successful partnerships.

Building on the new visioning elements proposed by WG1, this report reviews past and current partnerships with the CGIAR to identify gaps and problem areas, and proposes ways to address these issues in the immediate and long-term future. Viewing partnerships from three perspectives – namely repositioning CGIAR in this rapidly evolving context, the importance of stakeholder consultation, and the CGIAR a research for development and knowledge management organization – WG2 outlines the framework required for a partnership policy. This includes general principles and operational guidelines, identifying areas that need new or strengthened partnerships, the creation of a Partnership Facilitation Unit, and incentive policies.

Finally, WG2 puts forth seven recommendations based on the conclusions drawn from the above, and identifies the implications of these proposals for CGIAR governance and funding mechanisms. These are outlined in detail in Chapter 6 and are summarized as follows:

1. The CGIAR needs to strengthen its recognition as a major player in the global dialogue and in the construction of global perspectives and agreements on research for development. WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board in the Performance Contract model proposed by WG3.
2. Appropriate consultative processes with relevant non-member stakeholders need to be organized at the CGIAR System level to define strategic dimensions and main priorities. WG2 considers GFAR to be the most appropriate institutional mechanism to organize this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders and the availability of sufficient resources, GFAR will need to be reorganized and strengthened.
3. As a research for development institution, the CGIAR should take an active role and responsibility in assuring that research results lead to impact and outcomes for most of its research activities. WG2 proposes four funding requirements, to be implemented by the new Fund, to meet this goal.
4. 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.
5. In response to Strategic Objective 3 (promoting policy and institutional change to stimulate agricultural growth and equity to benefit the poor) the CGIAR needs to define a clear policy of engagement and strengthen its technical capacities in this domain and in system-wide coordination.
 6. 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 as Fundable items in the International Fund proposed by WG4.
 7. A new 'Partnerships 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 to foster, monitor, and promote the use of partnerships within the CGIAR System itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR on these matters.

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1 Introduction

1.1 Purpose and limitations

This paper is the product of the deliberations of Working Group (WG) 2 (list of members below) on issues surrounding partnerships, as part of the Change Management Initiative of the Consultative Group on International Agricultural Research (CGIAR). It is built on the experience, perspectives, and specialized knowledge of the members and draws on various background papers and studies, all of which emphasize and justify the importance of partnerships.

This paper does not attempt to provide an exhaustive analysis of the many issues and themes related to partnerships in the CGIAR, nor does it present alternative options, but develops an argument for the strengthening of effective and rewarding partnerships.

We have identified areas in which partnerships need to be strengthened and further developed in the context of a new, more open CGIAR and have provided recommendations to attain this objective. These need to be further developed and tested in light of the decisions made with regard to governance and funding.

1.2 The need for partnerships

As outlined in WG1's report, "Visioning the Future of the CGIAR", the rapidly changing context of international agricultural research requires the CGIAR to reposition itself within the emerging global agricultural research and knowledge system; in doing so, it must develop a more strategic approach to nurturing effective partnerships. In essence, as stated by the Global Forum for Agricultural Research (GFAR), the CGIAR must strive to become "a primary international research system that mobilizes science and technology to enable partners to achieve the global vision" (GFAR Executive Committee, Montevideo, July 2008). The redefined CGIAR vision and mission, as outlined in Chapter 5 of WG1's report, acted as a guiding force for WG2's definition of partnership needs.

This new CGIAR vision and mission, as well as the strategic objectives and core functions identified in WG1's report (elaborated in Chapter 2 of this paper) are founded on a commitment to research for development, that is, research that results in outcomes and impacts that benefit the poor. Although, as WG1 notes in its report, "[t]he CGIAR does not have primary responsibility for, or comparative advantage in, the actual

delivery of outcomes and impacts it does have a responsibility to ensure that its research strategies and priorities align with those of its [research and development (R&D)] partners" (CGIAR WG1, 2008; p. 17).

This paper has addressed the issue of partnership from the following perspectives:

- **Definition of the agenda:** The need to define clear priorities and strategies to nurture successful partnerships, in consultation with partner organizations and developing country stakeholders
- **Purpose:** An increased focus on research that will benefit poor farmers and help alleviate poverty and hunger
- **Implementation:** An increased focus on partnerships, recognizing that no one party can deliver the required benefit along the entire value chain, but that there are existing players with the necessary skill sets who, if brought into alignment, can each play a part in the continuum from basic research to widespread uptake in the field.

WG2 has come to the clear understanding that fostering partnerships is not an optional extra. It is important to recognize the emergence and growing importance of new potential partners in the global system. Private sector firms, civil society organizations (CSOs), and private foundations are fundamental players that the CGIAR needs to align with. As well, it must address and adapt to the changing nature and capacity of national agricultural research institutes (NARIs).

In the world of agricultural research for development, there is a high level of complexity around issues such as intellectual property, commercial scale-up, and product supply to the end-user. The associated knowledge for success does not reside in one place, but is the combination of the synergistic efforts of a group of partners who are focused on clear objectives.

Our main argument and proposals are based on the conviction that there is a need for broader partnerships, drawing on the skills of each partner, in order to address the urgent and complex problems of agriculture and rural poverty. It is only through strong and extended partnerships that the CGIAR will be able to discharge its assigned responsibilities of mobilizing global research capacities and their effective use for the purpose of achieving the Millennium Goals.

The proposals that follow have significant implications for the CGIAR and for CG Center structure, governance, funding, processes, objective setting, and delivery, all of which are addressed in greater detail in this report.

1.3 Organization of the report

This paper begins with an overview of the context for rethinking partnerships in the CGIAR in Chapter 2, with an analysis of the new vision, strategic objectives, and core functions as they relate to partnerships. The history and current situation of partnerships is reviewed, potential partners are suggested, and the results and implications of several surveys are analyzed. In Chapter 3, we outline the rationale for partnerships and identify the main issues the areas in which to move forward. Chapter 4 presents three areas that are essential for the development of successful partnerships, namely repositioning CGIAR in the development dialogue, the need for stakeholder consultation, and the CGIAR a research for development and knowledge management organization. In Chapter 5, we present the general principles and operational guidelines for a new partnership policy, including the creation of a Partnership Facilitation Unit and incentive policies. Finally, in Chapter 6 we outline our main conclusions and recommendations, and their implications for governance and funding.

1.4 Members of Working Group 2

Chair: Martin Pineiro – Grupo CEO, Argentina

Co-chair: Mark Holderness – GFAR, Italy

Members:

Pamela Anderson – Centro Internacional de la Papa (CIP)

Julio Berdegú – Red Internacional de Metodología de Investigación de Sistemas de Producción (RIMISP), Chile

Pierre Fabre – International Agricultural Research Commission (CRAI), France

Kim Geheb – CGIAR Challenge Program on Water and Food (CPWF), Ethiopia

Peter Jeffries – Merial Ltd, France

Tom Remington – Catholic Relief Services (CRS), Burkina Faso

Ibrahima Bamba – Africa Rice Center, formerly West Africa Rice Development Association (WARDA), Côte-d'Ivoire

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Support to the working group:

Consultant: Monica Kapingiri, Uganda

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2 The context for rethinking partnerships

2.1 *The future CGIAR: A new vision, strategic objectives, and core functions and their implications for partnerships*

2.1.1 A broader scope for the CGIAR and CGIAR-supported programs

In the context of the Change Management Initiative, the mission and vision of the CGIAR have been revisited, three new strategic objectives formulated, and the core functions re-crafted. These provide a new framework, new demands, and new challenges and opportunities for future partnerships arrangements.

The new CGIAR mission reads as follows: “To be the proactive and forward-looking global leader, catalyst, and partner of choice in the conduct of international agricultural research for development, harnessing human ingenuity and innovation, leading to the empowerment of the poor, especially women, to overcome poverty, hunger, and ill-health and to sustainably manage and enhance natural resources in the face of climatic and socioeconomic change” (CGIAR WG1, 2008; p. 13).

The CGIAR vision ambitions: “To reduce poverty and hunger, improve human health and nutrition, and enhance ecosystem resilience through high-quality international agricultural research, partnership, and leadership” (ibid, p. 13).

In visioning the future of the CGIAR, WG1 reaffirmed that a) the CGIAR’s overarching objective is to alleviate poverty and b) the CGIAR must acknowledge that it is only one among other actors in the global agricultural research and knowledge system. These definitions reaffirm the overwhelming need for the CGIAR to re-assess its comparative advantage and to reposition itself within the global system in order to maximize synergies with a diversifying range of partners. The Change Steering Team and the Executive Council of the CGIAR have endorsed this approach.

WG1 defined the three newly formulated strategic objectives as follows:

1: Food for people – Create and accelerate sustainable increases in the productivity and production of healthy food by and by the poor.

2: Environment for people – Conserve, enhance, and sustainably use natural resources and biodiversity to improve the livelihoods of the poor in response to climate change and other factors.

3: Policies for people – Promote policy and institutional change that will stimulate agricultural growth and equity to benefit the poor, especially rural women and other disadvantaged groups. (CGIAR WG1, 2008; p. 15).

The selected strategic objectives have four main implications for partnerships:

1. Their formulation indicates that the CGIAR is ultimately about people and should deliver results that matter for people, bringing R&D solutions to meet the needs of the poor. As a result, the new CGIAR agenda cannot limit itself to research and technology generation and outputs, but must move a step further to promote the necessary partnerships that will lead to significant impacts on livelihoods.
2. One of the more innovative concepts resulting from the work of WG1 is the new CGIAR business model. It provides a framework for operationalizing the vision, explicitly recognizing partnerships requirements as a crucial component for achieving the strategic objectives.
3. The adoption of a knowledge management focus includes an implicit responsibility to go beyond doing research to articulating the use of available knowledge and technologies to address identified agricultural- and poverty-related problems. This will require the development of a new business model in which partnering with other institutions that generate technical knowledge acquires a new strategic dimension.
4. The inclusion of Strategic Objective 3, which is focused on policy and institutional support, demands the development of close associations with a new array of partners with whom the CGIAR has had, in general, marginal collaboration. Partnering with governmental policy units, research and knowledge dissemination organizations, and local governments becomes crucial for the ability to influence policy and institutional arrangements.

The three strategic objectives refocus the work of the CGIAR within the overarching development objectives related to the Millennium Development Goals. They emphasize that the ultimate objective of the CGIAR lies in delivering growth and improving the livelihood of communities and people, down to the end of agricultural production chains.

In this context, WG1:

- Invited the CGIAR to “position its research and related activities so that these have relevance to its R&D partners”.

- Recognized that “the conduct of high-quality long-term international scientific research and the resulting generation of knowledge outputs and intermediate outcomes ... [is] a necessary but not a sufficient condition ...” for achieving the type of impact needed to alleviate poverty.
- Called for the new CGIAR to “... catalyze and respond to others in this endeavor if research is to be transformed into development outcomes and impacts”.
- Realized that “impact pathways will differ for the three [strategic objectives] and their components in each region, as will the combination of R&D partners who are most likely to ensure development outcomes and impacts”.

2.1.2 CGIAR core functions

WG1 has defined six main functions for the CGIAR. Their implementation needs, in all cases, the development of strong, inclusive, and flexible partnerships. However, some of the functions are more dependent on the work of the partners that will, in some cases, be the main actors of certain components of specific programs or projects. This is especially noticeable in the activities needed to ensure the uptake of available technologies and, consequently, impact and outcomes.

Different social actors will become partners under different circumstances, but special effort should be directed to the establishment of solid partnerships with specific types of partners in some of the six selected CGIAR core functions:

Conducting research for development requires strong partnerships in two different stages of the process:

1. In the definition of the work program
2. In the performance of research and in obtaining research outputs.

During the first phase of the process, a strong mechanism that assures productive interaction with a wide array of partners and alignment with a wider development process is needed. GFAR and regional organizations and fora have a major role to play in this stage of the process.

The implementation of these needs will require:

- The construction of governance mechanisms at the CGIAR level, in each individual Center, and in the domain of major programs such as the present Challenge Programs.

- A special funding mechanism to support an effective role by GFAR and the regional fora. This funding should be considered as part of the cost of doing research with input from stakeholders and is better adjusted to the real opportunities and needs of the beneficiaries.

During the research phase, main interactions and strong partnerships are needed with universities and research institutions in industrialized and developing countries, a selected group of well developed and funded NARIs, and selected firms of the private sector. The CGIAR has long-standing experience with the first type of partnership but needs to establish new and more effective procedures for building the other two types. Codes of conduct and well-defined procedures or protocols are needed.

Conserving core collections of germplasm and related knowledge is an extremely important activity for the CGIAR; it is developed in a number of Centers and is the main mandate of Bioversity. From a partnerships perspective, these activities should encompass close relationships with the national institutions concerned with germplasm collections.

Catalyzing research and innovation (knowledge management), though it has always been a major function of the CGIAR, is one that should be greatly stressed in the future. It implies that the CGIAR will, in partnership with other organizations, take responsibility for the application of existing and available technical knowledge for the solution of important development problems.

This special function requires substantial changes in the culture of the CGIAR and in the organization and overall institutional procedures of the individual Centers and major programs. From a funding point of view, the criteria used for the allocation of funding and the procedures by which this funding is channelled and monitored to non-CGIAR institutions need to be analyzed. The CGIAR also has a special requirement to develop strong and productive relationships with two types of partners:

- Organizations that produce the required technical knowledge for the solution of specific problems that are important for achieving the objectives of the CGIAR. These organizations are the same ones that are relevant for the core function of conducting research, and the requirements delineated there also apply.
- Organizations that enable the uptake and application of the available knowledge to specific circumstances, such as local and international CSOs and the NARIs. As previously mentioned, the organization of these activities will have special requirements in regards to funding procedures, monitoring, and accountability. These are issues that need to be carefully analyzed.

Raising awareness, anticipation, and forecasting. This function is a relatively new one for the CGIAR. IFPRI and, to some extent, some of the other Centers have done significant work on anticipation and forecast, but the CGIAR as a whole has maintained the culture and habits of research institutions that are less inclined to engage in more politically sensitive activities. This implies new demands of the CGIAR in general and, in particular, of Centers that are more involved in activities that produce knowledge and information that is particularly important and useful for awareness-raising and forecasting; it also implies new partnership needs. Three types of institutions are especially important: a) inter-governmental organizations such as FAO, UNEP, etc., the international CSOs, and research partners such as NARIs, universities, and research institutions. These partnerships are more politically sensitive in relation to message content, the means used, and the selection of socioeconomic groups to which these activities are directed. In addition, they are more demanding in terms of the attribution of credit between participating organizations.

The development of strong and solid partnerships with these organizations for the development of activities related to this function will require considerable changes within the CGIAR and raises the following questions:

- Who will be in charge of carrying out these activities at the level of the CGIAR and the Centers?
- Will it be necessary to organize these activities and clear them from a content perspective; if yes, who should assume this role?
- How will they be funded?

Support for policy and decision-making. This activity has been present in the CGIAR portfolio, particularly in IFPRI and Biodiversity. However, by identifying it as one of the six core GGIAR functions, it has been elevated and strengthened as a CGIAR responsibility. It has a number of implications from the point of view of CGIAR partnerships, but also in regards to CGIAR organization and governance.

From the perspective of partnerships, the Centers will have to develop stronger relationships with public sector organizations that are important from the point of view of policy implementation, as well as with international organizations that are active and recognized in this field. Strong partnerships with FAO and regional organizations such as IICA in Latin America will be necessary. In addition, partnership agreements for this type of work require different budgetary and monitoring arrangements than traditional research partnerships.

In regards to organization, supporting policy and decision-making implies that the CGIAR will have to strengthen its human and institutional capacity in order to be a credible and significant player in this area (more so if the institutional component is added).

Furthermore, the work on policy and decision-making must be based in solid research but also needs direct action in advisory roles, which are relatively new activities to most of the CGIAR.

From a governance point of view, this presents an interesting dilemma. Agricultural research has always been considered an activity that is relatively free from ideology and value judgements. For this same reason, governance mechanisms of research institutions are, in most cases, relatively protected from political influences and dominated by technical considerations. The CGIAR is an example of this. Policy advice is not free from value judgements and ideological perspectives, and their explicit introduction in the CGIAR mandate and program of work could mobilize forces that seek a larger interaction and/or control by politically oriented policy-makers.

Capacity development has been an important activity in the CGIAR, especially in earlier times. More recently however, capacity activities have dwindled in many Centers following funding difficulties. If capacity building is to develop into a core function, a number of strategic decisions need to be made within the CGIAR and the individual Centers, an appropriate business model has to be designed, and new and more extensive and innovative partnerships need to be developed with universities, advanced research institutions and the NARIs. This requires a strong commitment to developing capacities of partners as a key outcome of CGIAR activities.

2.2 Partnerships in the CGIAR: Evolution and new perceptions

2.2.1 Introduction: Some elements of the history of partnerships in the CGIAR

In its early years, the CGIAR defined a clear mission that focused on increasing food production and availability. The strategy that followed was built on research and technology dissemination activities, based on three main elements:

1. A focus on the genetic improvement of major world commodities to increase the productivity and adaptability of these species to environments that had been, or could be, changed by human actions

2. The mobilization, adaptation, and utilization of basic research that was produced and available in the agricultural research institutes (ARIs) of some developed countries, and
3. Collaborating with the NARIs in conducting the necessary applied research, multiplication, and dissemination of the new germplasm. The CGIAR, given the lack of adequate financing of many of the NARIs, contributed funding for these activities.

In many ways, this strategy and organization was an efficient process of knowledge management, despite its linear client–supplier perspective and the fact that it pre-dated these concepts. It implied two main types of partnerships:

1. Informal working relations with some ARIs based on the free exchange of scientific information; this was mainly for public goods, as well as some specific and relatively minor collaborative research. These partnerships were focalized in the collaboration for the production of outputs that were within the main mandate of the CGIAR.
2. A close association or partnership with the NARIs based on a clear division of labor and a dominant position of the CGIAR in the nature of the relationship and the rules that applied to the partnership. This collaborative relation was useful for the production of outputs, but also for achieving outcomes (adoption of technologies produced by the CGIAR Centers).

The NARIs in many countries were under-funded, so the CGIAR contributed significant funding for the development of the agreed activities and implemented substantial training activities to increase their technical capacity. The focus of this support was on improving the efficiency and impact of the CGIAR mandate.

In the 1980s, the CGIAR made a significant strategic decision and incorporated into its mission and mandate the objective of strengthening the NARIs. It created ISNAR as the specialized center for this work, which was also incorporated – at least informally – in a number of the other Centers. The CGIAR was a channel for funding the strengthening of NARIs.

In the 1990s, three new perceptions were incorporated into CGIAR concepts and strategies:

1. First, changes in the way science is developed and funded and in the international economic context made obvious that the CGIAR needed to alter its research modes and expand and amplify its partnerships strategy to incorporate

the private sector. It made considerable effort system-wide to establish working relations with the private sector; a main element of this effort was the incorporation of private sector into governance (e.g., the Private Sector Committee participation at the AGM). This participation, however, did not extend to the Centers and did not have a significant impact on the partnerships they developed with the private sector. It did, however, improve the exchange of information and the mutual knowledge and goodwill between the CGIAR and the private sector (see Bezanson, 2004).

2. Second, it was felt that the CGIAR was no longer as closely connected to national systems, and the NARIs needed additional mechanisms to more clearly identify and express their technological requirements to the CGIAR. GFAR was created for this purpose and to create an objective platform on which to mobilize the global agricultural research for development system. Where they existed, GFAR built on the already existing network of regional organizations with a similar purpose. However, it is our impression that GFAR's success in this function has been limited. It has never had sufficient resources to fulfill this role and it has drifted towards program implementation. Furthermore, it has not been used effectively by the CGIAR as a mechanism for engagement with others and has itself yet to engage effectively with the private sector and the ICSOs. However, there are signs that this situation is beginning to change.
3. Third, the CGIAR recognized the growing importance of NGOs in the diffusion and adoption of innovations, as well as their role in mobilizing public awareness. As with the private sector, NGOs were also granted a role in governance (also in committee participation at the AGM) and working relations were established at some Centers. At the CGIAR level, the relationship did not improve and NGO representatives felt that their participation in governance did not meet their expectations (Bezanson, 2004).

In recent times, the evolution of partnerships has been influenced by system-wide organizational changes, such as the adoption of the Ecoregional Programs and Challenge Programs, which have provided ample grounds for extended and successful partnerships such as those reported by Kim Geheb for the CPWF (notes prepared for WG2, 2008).

2.2.2 The present situation of partnerships

While NARIs have become stronger in a number of countries such as, for example, Argentina, Brazil, China, India, South Africa, and Vietnam, they have become weaker in

many others. Their relative role in the innovative process has diminished, and their capacity to effectively relate to CGIAR's work has also decreased. Enhanced partnerships with the CGIAR could act as a catalyst for improving the quality of their work and also for increasing their share of national public funding.

The clear division of labor that had been central to the initial partnership with NARIs has become blurred. Some Centers have increasingly been engaged in development projects where they compete – or at least are seen to compete – with NARIs and NGOs for resources and turf.

The weakening of NARIs in many countries has been accompanied by the emergence and strengthening of other public and private organizations that have now become major players in the innovation process. This process is giving way to the slow consolidation of National Agricultural Research Systems (NARS). The CGIAR in general and ISNAR in particular, recognized this process and have given great importance to working with NARS.

Agricultural research and innovation has grown in complexity. Its use of basic scientific information and knowledge and the possibility of private appropriation of economic benefits derived from new technologies have resulted in the emergence of a number of diverse players with whom the CGIAR needs to establish new and more productive partnerships:

- In order to access basic science capacities, the CGIAR must form new, more focused and more formal partnerships with the ARIs and other research facilities in industrialized – and in some developing – countries.
- The growing role of the private sector in research and technology development, especially so in biotechnology and germplasm improvement, makes imperative for the CGIAR to find its new role and niche and to establish strong working relationships with the private sector, including economic transactions and intellectual property rights agreements.

Furthermore, the CGIAR mission, which was once clearly focused on agricultural research for development, lost some relevance with the emergence of new world problems, such as climate change. This has created new interrelations between agricultural production, natural resources use, climate change, and the energy world matrix.

The square formed by these four vertices, and the recognition of the importance of policy and institutions in the final outcome, define new areas of concerns for the CGIAR. The new vision and strategic objectives defined by WG1 fully incorporate these new

areas and point to the fact that they will also require even more extensive partnerships with a widening set of organizations, all of which also need different modalities. An example of this is the growing importance of international agreements and international organizations, which play a role in defining normative frameworks that are crucial not only to agriculture but also to interrelated issues such as climate change.

2.2.3 Mapping our potential partners

Who are the main potential partners in this new and more complex world, given the new vision and core functions that are being defined for the CGIAR? There are many potential types of organizations with whom the CGIAR can relate and has had, or could have, some collaboration. Following are the relevant types of institutions with which the CGIAR could establish collaborative activities:

- NARIs of developing countries
- Other research institutions, besides NARIs, in developing countries that can provide research capacities and facilities
- Strong NARIs that can provide advanced research capacities
- Research institutions and universities in industrialized countries
- Private sector firms who are leaders in technological innovation
- Private firms that produce, sell, and disseminate technologies
- International NGOs
- Local NGOs
- Public institutions involved in decision-making on policies that are relevant to CGIAR goals
- Organizations that specialize in capacity building, whose programs may complement those of the CGIAR
- Regional organizations
- International organizations
- Farmers and professional organizations.

This rich universe of potential partners provides a wide range of opportunities for successful partnerships to be optimized by the CGIAR. The nature of these partnerships,

the preferred partners, and the specific business model to be used will vary for each individual Center and with specific issues and countries. The main challenge for the CGIAR is to develop an institutional culture, the appropriate institutional context, and the necessary incentives appropriate to an open and participatory organization.

2.2.4 How the CGIAR sees partnerships: Results from two surveys

A number of studies on partnerships have been developed within the CGIAR. Two surveys developed by the Science Council and by the ongoing External Review present information that elicits several interesting observations:

- The main objectives of partnerships belong to two broad categories: a) accessing disciplinary expertise and material resources, and b) facilitating testing and dissemination of information.
- All Centers have a large number of partnerships and the frequency does not seem to be correlated with the main focus of the individual Center. The most frequent partners (78% of total organization with which the CGIAR Centers have established partnerships) are institutions in the developing world. This could suggest that, although one of the main reasons mentioned for establishing partnerships was access to science and technology, the most frequent objective of partnerships is related to the low end of research and technology dissemination activities.
- Most of the organizations that collaborate with the CGIAR have relations with one Center; only 13 % of them have developed multi-Center partnerships.
- In spite of being less frequent, partnerships with the universities and research institutions in the North are thought to be, by those interviewed, the most valued and successful. This is confirmed by the survey carried out by the External Review, which indicates that the most valued partnerships are those with the ARIs and the NARIs.
- Partnerships with the private sector are few (only 4% of total partnerships, and these are concentrated in only four Centers, which work mainly in breeding) and they are the least valued, according to the External Review survey. Only 10% of respondents think that partnerships with the private sector are effective.
- The picture in relation to partnerships with CSOs is not totally clear, but the surveys suggest that, in the eyes of the CGIAR persons who were interviewed,

they have not been as successful as they could have been. Other studies have documented examples of very successful relationships.

- A few research organizations in the developed world appear to be the strongest and most frequent partners. This evidence brings forward the potential usefulness of the 'Strategic Partner' concept described in Chapter 1.
- In general, all groups interviewed indicate their belief about the importance of partnerships. However, all groups – with the partial exception of Challenge Programs – indicate their dissatisfaction about the usefulness and productivity of partnerships at present.

2.2.5 How partners see the CGIAR: The case of civil society organizations

It is important to listen to what our partners say in conversations that take place around the partnership issue. Following are three different examples of dialogues from which we gained a sense of our partners' thinking. They are all examples of CGIAR-initiated conversations, which could imply some biases; on the other hand, they represent the opinions of people who are very familiar with the CGIAR.

A virtual conversation between CGIAR staff and research partners¹

Throughout November 2006, a diverse group of researchers and development professionals discussed its partnerships with CSOs. Nearly 160 people registered for the conversation, and about 65 posted more than 200 messages in English, French, and Spanish.

The conversation prompted participants to express views on key issues underlying their partnerships. Much of the discussion centered on the respective roles and responsibilities of CSOs and the CGIAR, and there appeared to be a consensus that these are reasonably clear and complementary. Participants agreed on a set of commonalities, such as the joint goals of poverty reduction, equity and environmental sustainability. Many expressed agreement on the need for action and participatory research to empower farmers and their communities. Participants generally felt that

¹From the CSO-CGIAR Virtual Forum on partnerships between civil society organizations (CSOs) and the Consultative Group on International Agricultural Research (CGIAR), at: <http://www.dgroups.org/groups/cgiar/cso-cgiar-forum/index.cfm>

the deeper the relationship, the more productive it is likely to be. They highlighted the need for joint decision-making and the involvement of private partners.

The strengths of CSOs were seen as their capacity to implement change at the grassroots level, to promote policy advocacy, to coordinate short-term actions that benefit clients, and to assure continuity. CSOs have strong linkages to national systems, are good at taking initiative, and actively involve research institutions. They are usually good at reaching out to farmers. For these reasons, they are more effective in a development context.

CGIAR's strengths are perceived to be in research, specifically related to germplasm. CGIAR leads cutting edge science that builds new knowledge based on methodological rigor and technical capacities. The CGIAR should do more capacity building and provide training on the technologies it develops.

The forum also provided space for discussion on how CSOs and the CGIAR, with their differing roles and responsibilities, can best create partnerships that offer maximum benefit to rural people. Comments on this question highlighted the heterogeneity of the organizations and individuals involved. Some argued that successful partnerships depend mainly on strong relationships between the individuals who actually perform research and development work. Others, in contrast, emphasized the importance of positioning partnerships within strong institutional frameworks through formal agreements between CGIAR and CSO managers. Stronger CSO alliances at the international level, it was suggested, could facilitate the creation of such agreements. Many participants stressed the importance of inclusive, participatory processes at every level – from decisions about project design to interaction with farmers in rural communities.

The CSO-CGIAR Forum that took place at AGM 06²

During the 2006 CGIAR Annual General Meeting (AGM), the first CSO-CGIAR Forum was held. The focus of the forum was on finding common grounds, sharing lessons from experience, and creating avenues for working together. Approximately 300–400 stakeholders participated in the forum. Participants stated some guiding principles for CSO-CGIAR partnerships, such as mutual respect, trust and commitment, and the

² The CSO-CGIAR Forum was held at the 2006 CGIAR AGM in Washington, DC. Details at: http://www.cgiar.org/csos/cso_agm06_main.html

need to work together to define our common priorities; these priorities should be demand-driven in order to increase their impact. Participants also reflected on the lessons learnt from CSO-CGIAR collaboration, such as the need to generate appropriate incentives for inter-institutional collaboration, or the fact that successful partnerships happen when there are synergies between farmers, CSOs, national and international research organizations, and policy-makers. The value of engaging farmers' input through participatory research methods was highlighted. Participants raised five major avenues for working together:

1. Focus on areas of common interest
2. Invest in better communication between CSOs and CGIAR
3. Engage in mutual capacity building and learning
4. Raise funds together for developing and implementing collaborative work
5. Expand collaborative mechanisms for expanding engagements and relationships.

A virtual conversation around a Science Council study on partnerships

In 1995 the Centers, supported by the CGIAR, recognized linkages with CSOs as imperative to a fully effective CGIAR system. A decade later, a survey of CGIAR Center collaboration made by the Science Council found that although 17% of Centers' collaborators are CSOs, Centers rarely consider them 'highly relevant'. To shed light on the paradox revealed in the 2005 survey, a recent CSO-CGIAR partnership study looked at six partnership projects between CSOs and Centers. The Science Council led a CG-CSO partnership study in 2007. The findings of the study were discussed by CGIAR Center staff and CSO partners through an online dialogue that was open for two weeks in November 2007. Key points raised in the discussion included:

- Communication and methodological problems with current partnerships may be the root of the perception that CGIAR Centers own the partnership process, and should be reconsidered.
- Good methodologies for monitoring and evaluation, process documentation, and capturing and sharing knowledge should be built into partnerships in order to enable joint learning processes.
- The process of engagement is important for achieving innovations. Partnerships should contribute to the research-for-development process, not just to delivery.

- Under the current CSO funding model, building local capacity is difficult and doing world-class development work is almost impossible.
- Beyond time and resources, another key constraint is 'know-how', i.e. ideas and approaches.
- The tools, approaches, formats, and mechanisms used by 'articulate' partnerships should be shared.
- There is no single recipe for successful partnerships, and time is needed to develop sustainable partnerships that produce sustainable results.

Based on these three studies, WG2 has come to the following conclusions regarding partnerships with CSOs:

1. CSOs consider partnerships with the CGIAR as an important vehicle to link research to development and to achieve impact at scale: they should be flexible, clear in purpose, inclusive, and based on synergies and participatory approaches.
2. CSOs wish to see more equitable partnerships through joint fund raising.
3. The roles of CSOs are to represent the demand side by providing a voice for the needs of the disadvantaged, bring in the local knowledge, link to national systems and reach out to farmers, do policy advocacy, and assure continuity.
4. CSOs emphasize the need for more capacity building and training on the technologies that the CGIAR develops.
5. CSOs suggest improving/increasing interaction with the CGIAR from two sides: formally, through stronger CSO alliances at the international and regional levels, and informally by encouraging and rewarding fruitful relationships between the individuals who are actually conducting the research and development work.
6. CGIAR and CSOs need to invest in facilitated collaborative processes, such as regular dialogue, M&E of partnerships, communication, and sharing knowledge of best practices over the long term.

2.2.6 Challenge Programs as a special case of partnerships

Challenge Programs were established in 2001 as a means to deal with complex issues of global or regional significance, help mobilize a critical mass of scientific expertise and resources, improve the focus of research activities, and increase the likelihood of

attaining impacts and outcomes. Thus, in many ways, they were a big step in the implementation of a 'research for development' strategy.

In addition, they were designed to be time bound and have independent governance, which could bring together a large group of partners with different views, approaches, and capacities. Thus, they attempted to integrate more fully a large number of partners and gain distance from the 'silo' concept attributed to the individual Centers. In one way, Challenge Programs attempted to promote inter-Center cooperation.

Available evidence suggests that the success of the Challenge Programs has been mixed. On the one hand, they have not extended as a major way of organizing activities in the CGIAR. After eight years there are three or four Challenge Programs in operation and their acceptance by the CGIAR community is mixed.

The results of the survey carried out by the External Review indicate that only 26% of respondents think that Challenge Programs have been successful. Especially low ratings were provided by Board Chairs and Center executives, who rated them at 13%. On the other hand, 82% of Challenge Programs participants considered them effective.

These differences are interesting and perplexing. One main explanation is that Challenge Programs, because they have independent governing mechanisms, are seen by the Center executives and Boards as resources that escape their influence. In addition they are seen as a source of additional work and potential problems, especially when things go wrong, with few direct rewards when things go well. This resistance probably explains why the number of Challenge Programs is very limited and why they have not become a major system for organizing research activities in the CGIAR.

From a partnership point of view, Challenge Programs have been an important step forward and have provided many practical experiences and capacity building in the art of forming solid and productive partnerships. As mentioned previously, Challenge Programs participants are more interested, more aware, and have a more positive view about the importance and the relative success of partnership arrangements than their peers in the CGIAR.

2.3 Some conclusions

1. Partnerships have always been an important element in the overall strategy of the CGIAR. In the initial stages, the partnership strategy was relatively simple and emphasized relationships with some universities and research institutions in

industrialized countries and the NARIs. The CGIAR directly funded an important proportion of these partnerships, which were effective and played an important role in its early successes.

2. The global agricultural milieu has changed. Agricultural research problems are more complex and interrelated with other issues such as climate change and natural resources conservation. In addition, many new institutional actors are present, and CGIAR now has a smaller proportion of the total global investments in agricultural research.
3. Partnerships have grown in complexity and the CGIAR mandate has also expanded into new areas. The evidence suggests that partnerships are considered to be very important within the CGIAR, but a majority of its members is dissatisfied with the efficiency and effectiveness of partnerships. The opinions of partners are not very positive, either.
4. In this context, which is characterized by a new situation in terms of substantive issues, institutional settings and global needs, the CGIAR needs to define a new partnerships strategy that is more open and collaborative, in which the CGIAR can fully use its comparative advantages to build on the synergies and capabilities of potential partners.
5. This strategy must start by recognizing the present problems and by fully assuming the new mission, strategic objectives, and core functions that are being proposed for the CGIAR, as well as the opportunities and challenges that emerge from the new global context.

3 Main issues and areas to move forward in CGIAR partnerships

3.1 Why partnerships and for what

Globalization, the food crisis, the growing complexity of science, and the emergence of new and diverse social actors involved in R&D activities define a new and more complex international context for the CGIAR. The newly defined strategic objectives and the incorporation of new core functions as put forth by WG1 is its suggested response. It is quite clear that in this context the need for successful partnerships becomes more crucial and, at the same time, more demanding. Responding to these demands requires substantial changes to the CGIAR business model; it needs to become more open and inclusive, to allocate resources to priority programs, to embed the notion of networking in the operational structure, and to place development impacts and outcomes as its ultimate objective.

The analysis in the previous chapter suggests that, although partnerships are considered important and desirable by all participants, the results have been less than satisfactory from the perspective of the CGIAR and also from the partners themselves.

Partnerships must be an essential element of the new CGIAR. However, it is important to define the objectives and purposes of partnerships and how they can contribute to the research and related activities included in the mandate of the CGIAR. WG2 proposes the following:

1. Mutual support for positioning the product (in this case, agricultural research for development) in the wider market (in this case, society and policy-makers)
2. Gaining social and political legitimacy for resource mobilization and access to beneficiaries
3. Greater relevance in the work by internalizing the perspective and knowledge of partners in the definition of strategic objectives and main priorities
4. Greater efficiency in attaining the desired objectives through collaborative work that generates a critical mass of scientists, optimizes synergies, integrates complementary capacities, and improves information sharing and knowledge access

5. Mobilization of greater financial resources by accessing sources that are available to only one of the partners
6. Augmenting the potential reach to beneficiaries by accessing relationships and location advantages of one of the partners
7. Increasing the strategic flexibility and scale of activities with a potential gain in economies of scale and response capacity
8. Generating an institutional culture of openness to cultural, ethnic, and gender diversity
9. Strengthening behavioral habits and operational procedures that emphasize sharing and a strong commitment to social and development objectives
10. Making a contribution to the construction of social and institutional networks that are dedicated to the public good and to socioeconomic development.

Taking advantage of all of these potential contributions requires the development of strong partnerships that may contribute to achieving the overarching mission and strategic objectives of the CGIAR. This process requires the development of an institutional culture, appropriate institutional structures, and operational policies that facilitate and promote effective partnerships.

WG2 has analyzed the accumulated experience on partnerships, lessons learned recorded in several documents and the opinions, and perspectives that can be derived from the recent CGIAR surveys and consultation processes with partners (see Chapter 2). By contrasting the results of this analysis with the possible contributions of partnerships, we have identified ten areas in which there are substantial shortcomings or that require new actions as a consequence of the context outlined above.

3.2 Main issues and areas to move forward in partnerships

In order to improve the quality and impact of partnerships and to move forward in the construction of a global research and innovation capacity with the potential for high development impacts, the CGIAR needs to define new modes of operation and appropriate institutional mechanisms. The CGIAR must:

1. **Reposition itself as an active participant in the global development dialogue** by raising awareness, providing information and inputs to such discussions, and linking research contributions and needs to development issues and outcomes.

2. **Recognize itself as an integral part of a global agricultural system** with a growing number of institutional actors that interact in many different ways. The CGIAR has a unique role to play within this system and needs to develop an explicit effort to mobilize and support this system. It needs mechanisms at the system level to insure the participation of developing country stakeholders, including partners, in the definition of its work plan through open and equitable dialogue and action.
3. **Strengthen the regional dimension**, especially in regards to the selection of priorities and problems to be resolved. This will imply a closer collaboration with regional institutions and fora and with international programs that are being shaped by local demands and clear addition of value.
4. **Fulfill its role as a research for development organization**, which implies that most of its research activities need to respond to clearly identified development problems. The CGIAR must take responsibility for developing the necessary partnerships with organizations that can contribute to the dissemination and uptake of its research results in order to improve the likelihood of achieving outcomes.
5. **Recognize itself as a research and knowledge management organization** that contributes to agricultural innovation. One implication of this perspective is that not all of its activities need to be research only. In some cases, the main role of the CGIAR may be to mobilize and apply knowledge and technologies that have been developed by other organizations. This implies a new type of partnerships with research organizations all over the world, including the private sector.
6. **Develop an institutional culture that values partnerships**. Partnerships are essential for achieving and sustaining development impact. However, they may carry considerable costs, which need to be recognized as part of the real cost of doing agricultural research for development. They require an explicit policy of appropriate institutional and personal incentives and appropriate funding mechanisms, as well as a recognition of the role and value of partners in achieving efficiency in research and effectiveness in development impacts.
7. **Build new and stronger relationships** with private sector organizations, the international CSOs, new private foundations, and the strengthened research organizations of some developing countries. The CGIAR has a long and fruitful working experience with the NARIs and local NGOs, but there is less experience

accumulated in the CG system in regards to the four other partners. Establishing overall frameworks would save time and effort.

8. **Identify and develop new partnerships for policy and institutional innovation.** Although the CGIAR has always been involved in policy advice, its inclusion as one of the main strategic objectives and the additional emphasis on institutional change that is not restricted to research institutions implies new responsibilities, and the need of new types of partnerships and partners that do not respond to the logic and culture of the traditional ones. The CGIAR needs to identify these new partners and learn to work with them.
9. **Identify and develop partnerships with organizations outside the agricultural research system** that generate knowledge and technologies for agricultural innovation. Medicine and information and communications technologies are examples of areas of research and technology development that are relevant for agriculture. In addition, in a growing number of countries, research and innovation fall within the purview of ministries of science or councils that have a large influence on the allocation of research budgets and the definition of national research priorities.
10. **Enable institutions through capacity building**, which has been included as an explicit function of the CGIAR. This creates new markers of performance whereby the CGIAR is assessed in terms of its value to other institutions as a source of technical knowledge. This requires further consideration on how this function will be developed, to what extent and depth, with which partners and within which business model.

In the following sections, we examine these issues and areas of work in detail and make recommendations based on these analyses.

4 Three crucial areas for achieving successful partnerships

4.1 Repositioning the CGIAR in the development dialogue

CGIAR's main purpose is to contribute to agricultural development through research and knowledge management. This role, however, must be integrated with the wider development goals and activities performed by a large constituency made up by the countries themselves, the international organizations that support their development efforts and a large variety of other social actors. For this reason, the vision and strategic objectives proposed by WG1 correctly made an explicit reference to the Millennium Development Goals as the formal expression of the vision, aspirations and commitments for collective action made by the members of the development community.

The CGIAR is a small player in this wide community, but is the main international organization with a clear mandate and essential capacities to work in the field of research for development. It needs to reposition itself in the agricultural development community and actively participate in the international dialogue and awareness-raising activities suggested by WG1 to be a new core function of the CGIAR. This dialogue could emphasize issues such as: a) the potential contribution of research and innovation to development, b) the needs of international and national agricultural research, and c) options and opportunities in terms of the international agricultural research agenda.

In order to be able to play a strengthened role in the international dialogue, it is necessary to position the CGIAR as an active participant in an international coalition that addresses, in a consistent and informative way, the main strategic issues that are at the Center of the agricultural development problem. In order to participate in this process, the CGIAR needs to introduce some new elements in the area of partnerships and structure.

First, a new style of more vigorous partnerships is needed with the international organizations and, in particular, the intergovernmental organizations that have a mandate that includes agricultural development; these include FAO, FIDA, UNEP and others. In addition, new and stronger partnerships are necessary with international CSOs, research organizations and NARS in order to join forces to reposition the agricultural research agenda within the broader discussions on development.

Second, the CGIAR needs to assign this responsibility to someone within the organization that has the authority and the means to represent the CGIAR as a whole. **WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board of the performance contract model proposed by WG3; alternatively, in the other two models that are being considered the responsibility would be assigned to the Chair of the equivalent boards.** Furthermore, to fulfil this responsibility, the Chair will need the following:

- Financial and human resources to study the problems and develop proposals
- To develop strong coordination mechanisms with other areas of the CGIAR, in particular with the Chair of the CG and the Director of the Corporate Office
- To consult and interact with CGIAR members who need to participate in articulating a clear global dialogue strategy
- To consult and interact with other stakeholders and partners – especially with GFAR and the global and regional ARD partners brought together under the GFAR mechanism – so that proposals are transparent and knowledgeable of their positions on the issues.

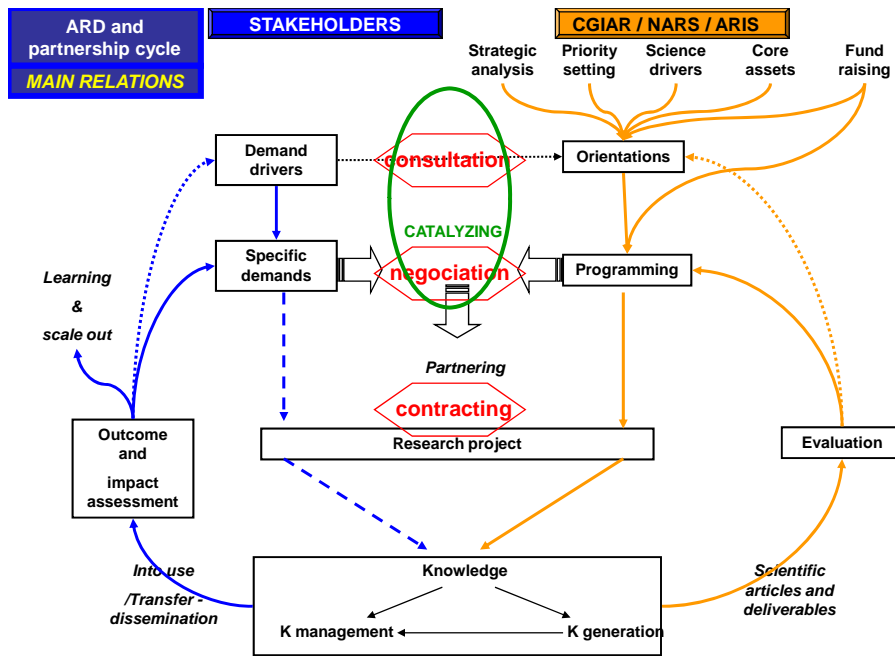
4.2 The CGIAR in the global agricultural research and knowledge system: The need for stakeholder consultation

The CGIAR is part of a global system with many and diverse partners. Its relative size of about 4% of total investment is small, but large in terms of potential impact and synergies if the appropriate partnerships are established. In addition, because the CGIAR's main function is research for development, there is an explicit need to articulate most of its work to clearly identify development objectives and targets.

The identification of clear and relevant development objectives and targets has to be done at the system level, as well as at the Center and program levels, through appropriate institutional mechanisms that allow for constructive and effective stakeholder participation in the definition of the CGIAR's strategic objectives and higher order priorities. Stakeholders also should have a say in the periodic assessment of the relevance and impact of the CGIAR and its work. The same is true at the level of the Centers and programs. Such consultation and input provision should be organized and implemented according to international standards and best practice.

Figure 1 presents, in a schematic form, the agricultural research for development (ARD) cycle and emphasizes three points in the process at which the participation of stakeholders is especially important. (This does not imply that these are the only points at which stakeholders may participate or that they are necessary in all cases, nor is it meant to have normative significance.)

Figure 1. ARD cycle



The figure emphasizes the components and interrelations that make up the cycle and the entry points where stakeholders should play – in most cases – an explicit and important role:

- Consultation on defining the general orientation and demand drivers
- Partnerships for research and knowledge generation projects, and
- Transfer and dissemination.

Points b and c will be discussed in Chapter 4.3.

4.2.1 Stakeholder consultation for defining the general orientation and demand drivers at the system level and in the selection of system-wide programs

The process defining an overarching strategy for the CGIAR and for identifying the most appropriate demand drivers requires widespread consultation with stakeholders. CGIAR has traditionally organized a broad range of activities designed to satisfy this need. The main and more institutionalized mechanism that has been used at the system level is represented by GFAR, created by the CGIAR a number of years ago with this explicit objective.

WG2 has found that the mechanism as it now exists is insufficient to adequately interact with the stakeholders and to fully integrate their views into the CGIAR's programming system. The main weaknesses are the following:

- Developing country participation in AGM and other governance bodies has been weak and their voices are not strongly heard, in part because they have not been able to follow the complex decision-making processes in the CGIAR and prepare adequately to participate and influence the decisions. Those that participate tend to represent the larger and more powerful developing countries.
- A process of consultation requires continuity, appropriate preparation, technical backstopping and strong follow-up activities in order to internalize the recommendations, perceptions and lessons learned from the interaction with stakeholders and partners.
- Non-member participants should not be hand picked or selected by the CGIAR. They need to be seen as truly representative of the constituencies that are important for the CGIAR. This is essential not only for assuring the interest and motivation of stakeholders but also to give the process political legitimacy.

The process could be organized within the following general phases:

1. The development of regional agricultural research strategies identified through the regional fora. These strategies should be built on existing national strategies, whenever possible.
2. An interregional meeting.

3. A final proposal, prepared and discussed with the appropriate institutional locus of the CGIAR (Secretariat, Science Council, and the System Board included in Model 3 proposed by WG3).
4. Representatives of the global forum discuss with the CGIAR at the AGM.

WG2 considers GFAR to be the most appropriate institutional mechanism to organize this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders (in particular the private sector and the CSOs) and the availability of sufficient resources, GFAR needs to be reorganized and strengthened.

GFAR has not been in a position to organize the process as described for a number of reasons:

- GFAR has not been provided with the necessary human, financial and institutional resources to be able to organize the consultation process in an effective manner.
- GFAR is dominated by the NARIs' perspective, while other important actors are not sufficiently represented or do not participate as needed.
- The relationship and interaction with the regional fora and regional organizations is not sufficiently strong in order to fully incorporate the regional dimension in the strategic planning process.

In order to fulfil this function, GFAR must resolve its present limitations. This includes:

- The explicit recognition by CGIAR members and the governance structure that they are the official and accepted institutional mechanism by which the stakeholders are consulted in regards to the strategic directions and priorities that will guide CGIAR's work
- The construction of necessary mechanisms to facilitate the participation of all the relevant stakeholders, and
- The provision of the necessary human and financial resources to allow GFAR to implement the assigned responsibilities.

Strengthening GFAR will require the active participation and support of the CGIAR and other GFAR partners. The CGIAR, through the secretariat, (or whatever unit replaces it in the new structure) will need to:

1. Recognize GFAR as a forum for mechanisms being proactively used at global and regional levels by the CGIAR and its Centers for consultation on strategic guidelines, priorities, and research for development demands and needs
2. Ensure that existing global and regional platforms, including GFAR, participate in an appropriate manner in internal processes leading to strategic orientations, selection of priorities, global programs, etc.
3. Take responsibility for the strengthening of GFAR, including a stronger participation of sub-regional, CSO, NGOs and private sector existing platforms.

4.2.2 Internalizing the regional dimension

The consideration of how the CGIAR should deal with the regional dimension has been analyzed successively by the Technical Advisory Committee and the Science Council on various occasions, particularly in the context of priority and strategy exercises. The issue, however, has not really been formally recognized by the group. There is ample evidence that the CGIAR has approached this issue with great caution and has not clearly included it in its mode of operation. Two reasons are probably responsible for this. First, CGIAR work has been dominated by the concept that its main responsibility is the production of global public goods. Second, the belief (and the reality until very recently) that regional institutions operating in agricultural research were not effective enough to engage into a fruitful and efficient dialogue.

The current CGIAR includes a series of global and/or regional research networks with strong links to national agricultural and innovation systems, although these networks have not led to the development of new ways of supporting global research for development programs and effective collective actions. The revised CGIAR mission and strategy will benefit from more inclusive processes and research tools involving advanced research institutions and NARS at regional and sub-regional levels. As described by WG1, the impact pathways through which the CGIAR will contribute to achieving its vision necessitate complementary actions by partners. A new type of dialogue with regional organizations, in particular, would help the CGIAR in rethinking, better prioritizing, and implementing its international research agenda. Up to now, the regional dimension was timidly incorporated in CGIAR governance through geographical representation of the world's different regions (or sub-regions) at different levels – CGIAR Executive Council, Science Council, International Agricultural Research Centers Board – but has not been used as an operational tool of the system.

In a number of regions, for example Latin America and Sub Saharan Africa, regional and sub-regional organizations have gained in strength considerably and have reached a level where they constitute much more efficient and effective institutions, better equipped and empowered by NARS to represent their views and interests in addressing research and development priorities. These views, complemented with those of other stakeholders including the private sector and CSOs, need to be internalized in the consultative process.

Some possible actions

Dialoguing with regional organizations and sub-regional organizations in an attempt to align its programs with relevant regional/national priorities constitute a valuable objective for the CGIAR. On one hand, its mandate is to deliver international public goods that are also relevant to national situations; on the other hand, the CGIAR cannot obviously adopt a country-by-country approach to assess research constraints and priorities that have to be incorporated into its research agenda to ensure continued national/local relevance while addressing global issues. With agricultural development being largely location-specific, and the need to include this dimension in the international agricultural research agenda, the CGIAR has certainly much to gain in deciding to use the channels provided by regional and sub-regional organizations as a single avenue to coordinate its activities with NARS in strategy formulation, priority definition and program implementation. Other avenues are also needed for nurturing partnership relations with other constituencies and organizations.

From an operational point of view, the appropriate consideration of the regional dimension needs three major actions:

1. The first action is related to the development of mechanisms that allow for the regional dimension to be factored in, through the participation of appropriate partners, and aligned with regional political mechanisms in the planning and programming processes within the CGIAR, as has been proposed in the previous section. This suggestion is consistent with the proposals articulated by the last two system-wide external reviews, the CDMT, and more recently the Task Force on programmatic and structural alignment in SSA.
2. The second action is that the regional dimension is incorporated in the composition of GFAR and should be strengthened in the repositioning of GFAR, as suggested in Chapter 4.2.1. One issue to be resolved is the weak representation of non-public institutions and organizations in the existing

regional mechanisms. The absence of these stakeholders limits the value of the interaction that could be constructed and the legitimacy and inclusiveness of the regional strategic plans to be prepared.

3. The third action is related to the structure and mandate of the CGIAR Centers in relation to strengthening the regional mandate focus and responsibilities of some Centers, a subject that is being discussed by WG3.

4.2.3 Centers and programs

The next step to be followed by the CGIAR, after the definition of the common analysis of demand drivers and the resulting general research orientations, is to identify how these general orientations can be translated into actual research programs. This requires a discussion between appropriate partners and CGIAR research decision-makers and can be carried out in different ways: at a regional level (see next paragraph), at the Center level, or, in the case of the 'programmatic' options of a new governance model, at a program level (either global or thematic definition).

The purpose is to determine the concrete goals and objectives assigned to CGIAR research programs and to establish what they require in terms of resource allocation and fundraising. Stakeholders and scientists enter into a process of discussion – and eventually of negotiation – on the research outputs that are expected to meet both the demand and the scientific orientations selected at the previous (higher, i.e. more general) level. Stakeholders here should be understood in a very broad sense as a large variety of possibilities exist: farmers' organizations, professional organizations, consumers' organizations and other CSOs, private sector, public services and ministries, research institutions (national and regional), and universities.

The goal is to transform the global 'macro-objectives' and general orientations into operational scientific and technical objectives, with the expected outputs and broad resource allocation, including the human skills required. It is at this level that calls for proposals can be prepared.

From an operational point of view one can consider:

- **Elaborating the targets and objectives for the medium-term plans (or what will replace them) of the CGIAR Centers:** Establishing these objectives in a discussion with stakeholders will ensure that they are designed in a way that allows not only for inclusiveness in the research process but, moreover, an effective appropriation of the results as uptakes or inputs by the

actors that will scale up and scale out the technologies and institutional progresses to come out of the research process. Although the Centers have always kept in the forefront of their strategic thinking the applicability of their research, such a process negotiated with the stakeholders will be a major step forward in the inclusiveness and capacity building of these stakeholders.

All major orientations and programs set up by a Center should go through a 'partnership quality process' to ensure that stakeholders are involved, even if the final decision remains the sole responsibility of the Center.

- **Global (or thematic) programs addressing global (or thematic) issues** should follow the same path, either through a Center selected to carry out the work at the system level or through a similar process than the one followed by Challenge Programs. However, it is the conviction of WG2 that this programmatic approach should draw on the lessons of the heavy transaction costs and operational limitations met until now by the CP process. From a partnership point of view, the selection of these global programs should go through a mechanism of consultation convened by GFAR, as discussed in the previous section.

4.3 The CGIAR as a research for development and knowledge management organization: Responsibility for impacts and outcomes

The CGIAR forms part of a wider continuum of agencies concerned with the generation and management of agricultural knowledge for development in a complex system of inter-linked and inter-related knowledge-generation and management institutions. The realization and harnessing of this diversity of agricultural knowledge should make world agriculture better able to sustain growing needs and populations. The challenge among knowledge generators and managers at all levels is often the absence of clear and proactive strategies for working in partnership and keeping focused on the ultimate agricultural knowledge users – the producers.

Three main questions are addressed in this section:

1. What are the main roles and responsibilities of the CGIAR in the innovation process and how should or could it relate to other agencies through partnerships to improve the effectiveness of the global agricultural innovation process?

2. How do these responsibilities and partnerships vary under different institutional conditions, as determined by the relative development level of the countries involved?
3. What requirements need to be met from an organizational point of view to make this perspective and the needed partnerships possible?

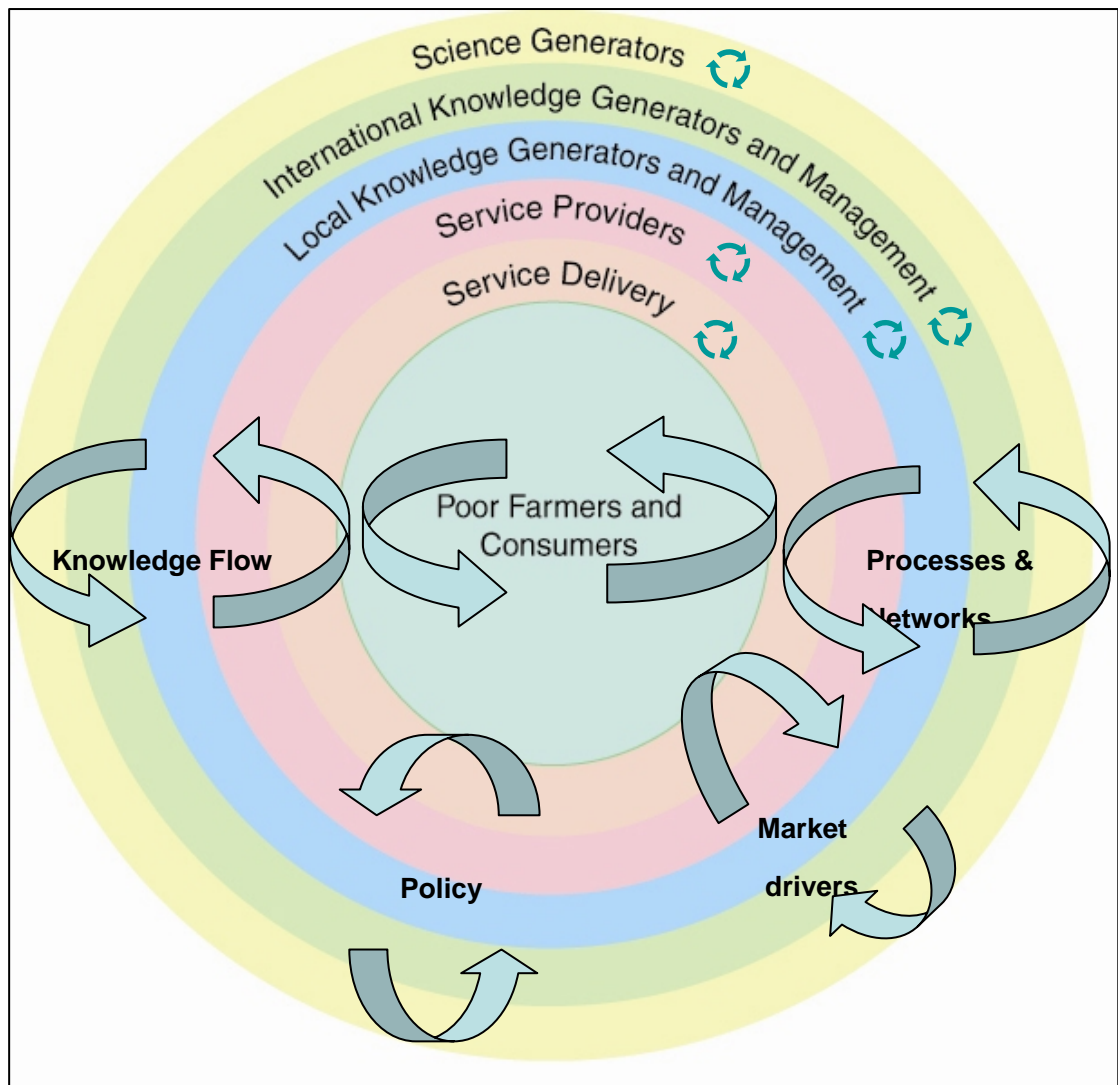
4.3.1 The global agricultural research for development system

The ARD system proposed in this document places poor producers (farmers, pastoralists, fisher folk, foresters) and poor consumers at the Center as both the drivers of demand and context for poverty-focused research (whose needs inform the focus and magnitude of the deliberations of others in the system) and ultimate beneficiaries of research for development processes:

Key partner organizations considered in the global ARD system are shown schematically in the diagram below. This establishes the role of international agricultural research (principally the CGIAR) in the overall frame, but also recognizes that innovation happens among all stakeholders and that working linkages can and do occur between any of the partners concerned. Turning innovation into impacts on development requires the actions and interactions of multiple partners, but there is no assumption that linkage between partners requires simultaneous involvement of all.

Figure 2 illustrates that drivers and processes of knowledge generation operate at all the various levels of agricultural knowledge generation and management. Six levels have been identified for purposes of the change management process (see below for details of each).

Figure 2. Innovation process and institutional participants



NB circular arrows denote cycles of learning

Agricultural producers

The system recognizes that agricultural producers are themselves innovators and have been for generations, developing and adapting technologies to fit their particular agro-ecosystems and circumstances, taking up those that suit their overall needs. They work in a continually risk-aware environment and trust interventions founded on personal and communal knowledge.

Service delivery

Producers are innovators, but these processes are greatly enhanced (at times in a revolutionary way) by access to external knowledge from outside the community and by access to associated inputs that enable change. Knowledge needs are met by a variety

of external information sources and directly by connection through 'service delivery' groups (farmer associations, community organizations, input retailers, extension officers etc.) serving the needs of a wider community. These groups create an interface between knowledge that is gained through science and knowledge from the community, acting as 'innovation brokers', mediating the language and requirements of uptake in either direction. These innovation brokers play a fundamental role, but they rely also on access to both local and external knowledge to develop appropriate combinations of the two that can be taken up at scale.

Service providers

Service delivery groups are in turn supported by wider networks operating at national or regional scale. These are not themselves directly in contact with the communities concerned but work through others to address community needs. These include larger NGOs, national farmer's organizations, support services such as plant and animal clinics, and regulatory bodies, thereby creating the frame and mechanism for knowledge flow. These bodies are often focused on development agendas that make use of research, rather than doing research *per se*.

Local knowledge generators and management

National/local agricultural research/innovation systems provide the framework by which innovation is institutionalized within a country to address national needs. They include the public-funded national agricultural research institutions and universities, private enterprises that commission and undertake research, and those charged with creating the national policies, frameworks, and sustainable institutions by which agricultural research addresses national development needs. The framework has changed in recent years, with increased focus on commercially supplied technologies, while the poorest remain dependent on the public and civil society sector to enable access to many recent advances. Although investment and capacity in these systems in the least developed countries is currently well below that required, they are of fundamental significance in ensuring national ownership of agendas and alignment with national policies, as well as in ensuring post-project sustainability and scale-out of approaches.

The above partners all define and address national development needs via processes that draw on agricultural research (*sensu lato*) and build from the perspective of the communities concerned. Each has comparative advantages in fulfilling different roles.

At regional level, countries face many common needs and constraints. Cross-learning and exchange of knowledge within a region can bring significant advantages in efficiency and returns on research investment. Regional research fora and regional and

sub-regional organization provide an institutionalized basis through which the diverse partners that make up national systems can voice their needs and demands for research and join efforts gaining efficiency and synergies, as discussed in Chapter 4.2.

International knowledge generators and managers

International knowledge generators and managers provide a rapid mechanism for the application of knowledge from one region to another, creating rapid advances, as was seen in the case of the Green Revolution. The CGIAR Centers (operating across regions or internationally) fall under this category. Other development-focused research organizations, such as CIRAD, are also important. Although their main strength is to generate knowledge to address specific needs emerging from specific priorities, they also are in a position to harness and manage knowledge from other knowledge generators for agricultural development, have the opportunity and capability to pull in new ideas from external technology generators (in and beyond agriculture from science and technology generators), and make these accessible to the agricultural sector in the form of basic research or targeted applied research.

Science generators

The knowledge generators of international science in the broad sense may not have a focus on international agricultural development at all, but develop technologies that can bring benefit through their application in development contexts. Examples include advanced research institutions in agriculture, IT companies, and medical research. Many of these are now privately-funded commercial operations for which the CGIAR can provide an essential bridge to development opportunities and ultimately to new and sustainable markets for companies as an incentive to focus on development needs.

These partners in agricultural research for development each have different constituencies, and each has its own cycles of innovation, including processes of learning, adoption, and feedback. It is important to emphasize that while this diagram defines relative niches and roles within the system, the 'layers' of this system do not have tangible boundaries and players in one context may link directly with many or all of the others. **What is important is that the process is driven from the center (i.e. the development context) outwards, so that each layer adds value to the next, all contributing to meeting the needs of the poor.**

A number of partnership mechanisms cut across these relationships and link these actors in the development of demand and the implementation of ARD:

- Knowledge flow needs to occur both from science to producers (and consumers) and from wider society to science. This cross-learning is essential to truly sustainable innovation, as this requires the perspective and knowledge of multiple actors.
- Policies and regulations created in regard to agriculture impact on the strengths and weaknesses of each type of player and determine the shape of their interactions.
- Markets of all forms (e.g. agricultural input and output chains, consumer markets and markets for research investment) shape the demands of agricultural innovation and the form of knowledge generation and management required, as well as who has control of knowledge and who stands to gain.
- Processes and networks serve to cross-link different players in the system and provide the mechanisms and opportunities for disparate partners to link and interact.

Working against the ability of any of these players to connect are: real challenges of institutional failures, negative policies, non-conducive environments, distorted funding arrangements, and unequal power relationships. These are the constraints that need to be overcome to achieve successful partnership for development.

4.3.2 Implications for the CGIAR change process and future partnerships

The fundamental shift here is to a system of knowledge generation, management, and use that is centered on the explicit development needs of the poor. *The role of the CGIAR thus becomes clearly defined as: responding specifically to the needs of the poor and those who cannot be reached or who are excluded by conventional established markets (expressed in national poverty reduction strategies and via partners directly connected with their needs), generating and managing its knowledge in the wider context of development, and recognizing and adding value to the roles, objectives and needs of other players in the system.* Having been formed to address food security needs of the very poor, the CGIAR then becomes a torch bearer for the poor among international knowledge generators and managers whose objectives are focused elsewhere.

This does not negate the generally accepted principle in the CGIAR considering that most of its work concentrates in the production of public goods. It does imply, however, a few practical qualifications:

- The public goods to be produced will be defined, in most cases, in response to clearly identified problems and articulated demands.
- In some cases the public goods will have a definite regional dimension.
- In most cases the public goods will apply to the more specific conditions of small poor producers and will be made available to them. Thus, they are public goods that apply mainly – or are useful to – potential users with special characteristics.

Furthermore, we argue that the CGIAR must assume responsibilities for organizing/catalyzing the necessary partnerships to increase the likelihood that the obtained public goods will be translated to concrete technologies through adaptive research and the production of such technologies, that they will be disseminated, and that impacts and outcomes will be achieved.

This basis fundamentally shapes the nature of partnerships entailed. It requires:

- The alignment of research with development processes implemented by countries and regions themselves. Research support and research activities should take greater account of prioritization of agricultural development within poverty reduction strategies and work to support local institutions in their influencing these strategies where required. It is not the role of research funding to support the entire uptake pathway, but constructive engagement is required with bilateral development support processes from the outset.
- Innovative partnerships to be formed in advance of funds being controlled by any one agency, so that equitable partnerships result, based on mutual understanding and perceived comparative advantages in different sectors.
- Principles of subsidiarity: international research for development is driven by the common needs and contexts of a number of countries or regions. It has no role and no justification in replacing, displacing, or competing with national capabilities.

The Fund must support the research for development processes of the CGIAR and its partners to the point and scale at which, according to the impact hypothesis, the development partners become themselves directly responsible and accountable for resourcing and scaling research outputs up

and out into development outcomes, according to ex-ante concepts of partnership.

The principles of development funding, as encapsulated in the Paris Declaration, place strong emphasis on subsidiarity and ownership of national development programs by the countries themselves. Research under the CGIAR should reflect and enhance these principles. Its purpose is to generate international public goods that add value to what can be achieved nationally and regionally and respond to demands from key partners in the countries concerned. It can do much to constructively influence the development agenda, recognizing that **fostering the development of institutional capabilities that can catalyze, sustain and disseminate change on a national scale is every bit as important in development terms as is producing a successful research outcome.**

This means moving away from agendas based on research project outputs and towards the role these play in achieving development impact, of itself requiring the development of local capabilities. This is illustrated by the Green Revolution itself; the yield gains achieved depended on a combination of international research thinking, inspired champions, and the conversion of these processes into development impacts by commitment to creation of an enabling environment (policy, institutions, finance) by the governments concerned.

Effective and equitable partnership is thus identified as a key factor for the success of the CGIAR in development terms. A corollary of this is that the system needs to develop markers of success in developing abilities in others to take forward research outcomes into development, rather than seeking to document direct impact with farmers. The latter approach may appear good for a project, but leaves little in terms of sustainable development.

The successful generation, management and access to knowledge for development requires all of these parties to be strong and effective. In reality, the role of the CGIAR varies between that of research partner and capacity development partner. However, it should resist the temptation of subsuming the role of the NARS as this runs counter to development sustainability.

CGIAR interfaces with many partners who operate internationally, nationally, and at the community level. From the above, rather than itself acting directly in each of these roles, the system needs to identify capacity needs in advance of research for development programs and work to ensure these are met from whichever mechanism is appropriate.

This greatly increases the likelihood of successful development outcomes, in addition to research outputs.

4.3.3 The need to adapt to different institutional contexts

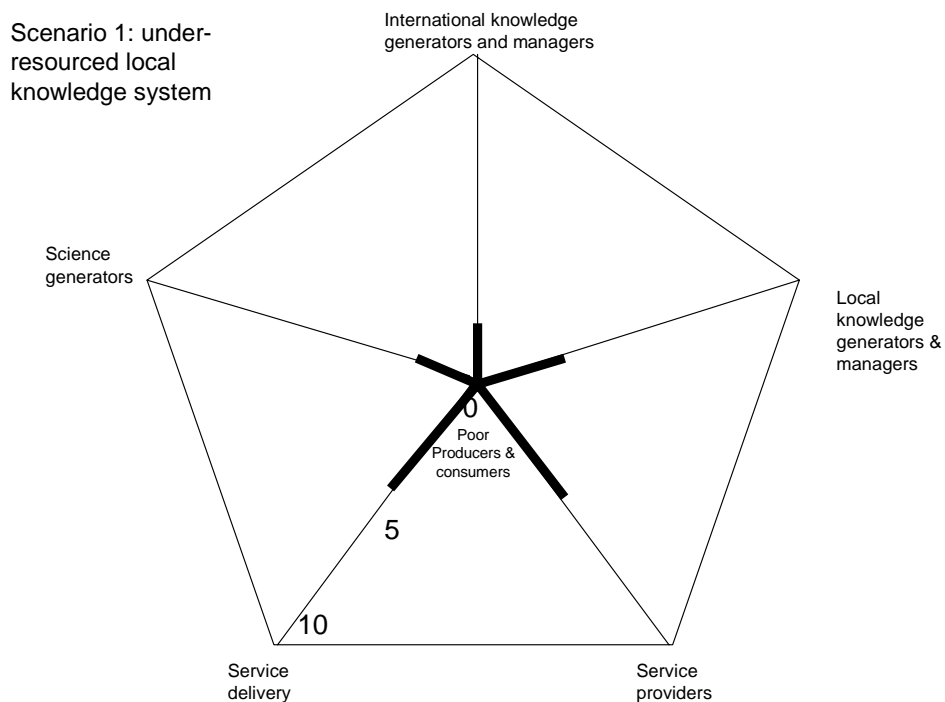
Recognizing the strengths and weaknesses of the ARD system is an essential part of ensuring appropriate positioning of CGIAR's research efforts. The following spider charts illustrate some generic scenarios among the partners above and their implications for the types of partnerships required of the CGIAR. Partnership is highly context-specific and this means that the CGIAR has to adopt many dimensions in its own role and that of partners, and must agree on the basis for these relationships in advance of programs.

Interpreting the diagrams

In each case, partners are described in terms of their ability to generate and manage knowledge for development in that context and therefore help deliver change.

Successful systems should have strength (high scores) at all levels:

Post conflict: In cases where national systems have completely collapsed, such as after conflict, there are major blockages to the transfer and use of knowledge, and the role of the CGIAR becomes one of supporting the rehabilitation of national systems. Supply of research products can help the regeneration of national systems here, but the research function here becomes secondary to that of technology provider, driven by those who are organizing redevelopment efforts. Key partners will be big international NGOs and community organizations, with a focus on rapid provision of technologies as direct inputs.

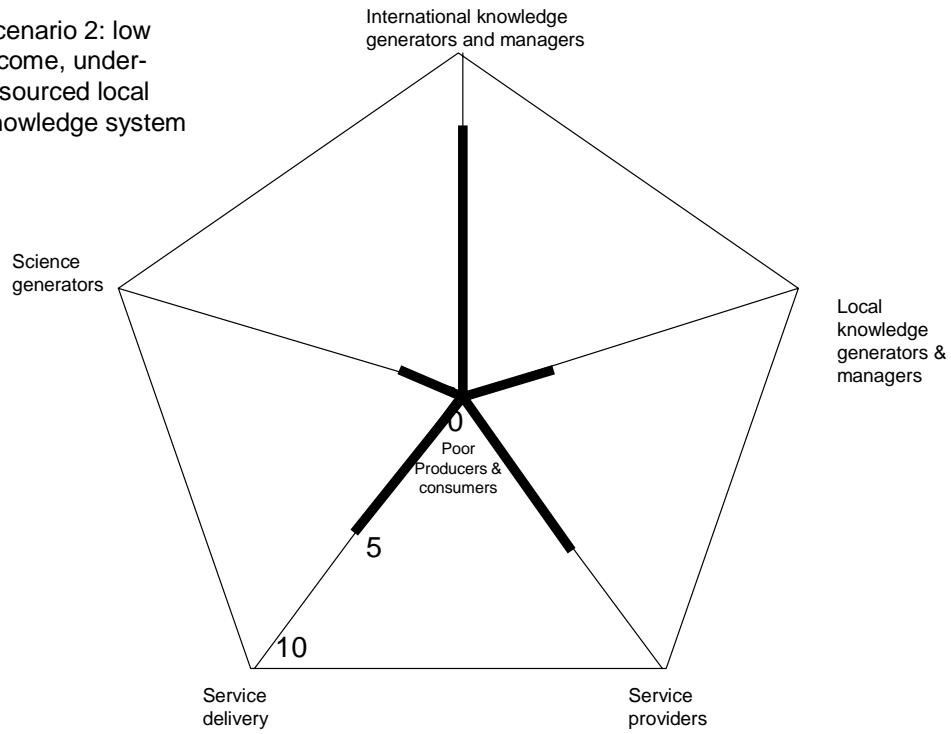


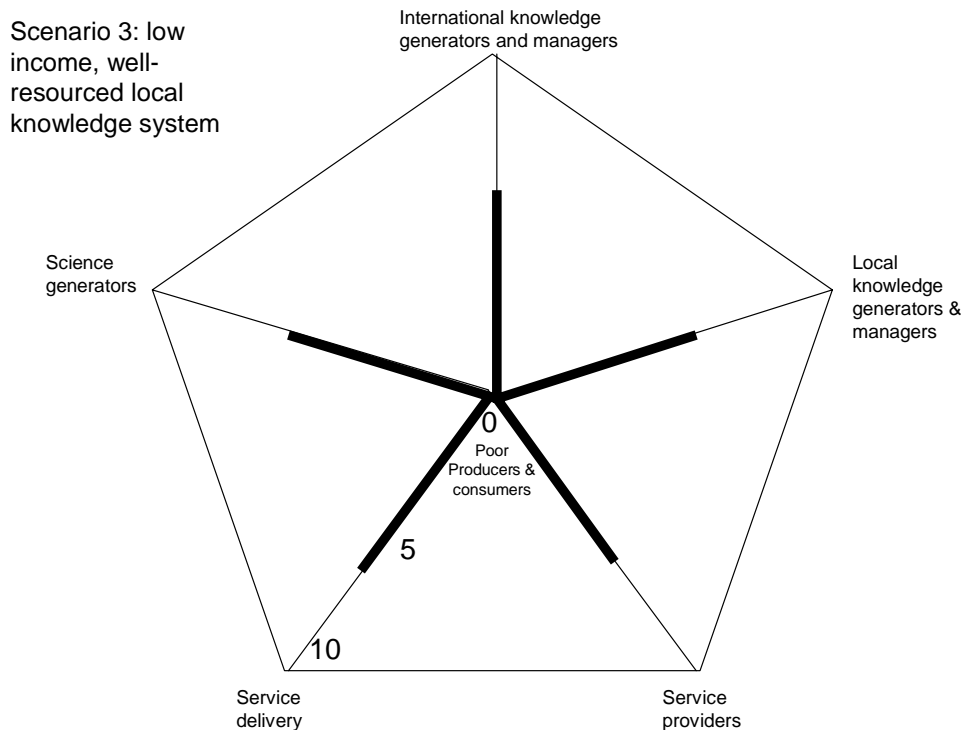
Least developed countries: A lack of investment and capacity in national/local knowledge systems creates real blockages to the generation, access and use of knowledge in development. This is not just a question of low investment due to the relative size of economy, but also of the proportion of available funds devoted to agricultural research and the use to which these are put. Achieving sustainable development outcomes that recognize national sovereignty and build from the communities concerned requires international partners to support and strengthen not displace or replace these national systems. Effective ARD demands that alongside support and capacity building there are clear strategies by which research outcomes from international work are taken up or adapted into national systems through partners who are themselves resourced to deliver these to the target groups.

The value system of international agricultural research needs to be adjusted to take account of these local contextual realities and needs. *The value of the CGIAR should be seen not just in research quality but also in how it has helped to deliver sustainable development outcomes **through** its partners.* This calls for a fundamental shift in the present markers of CGIAR research effectiveness from the number of farmers reached directly by the CGIAR to effective partnerships and these measured in terms to

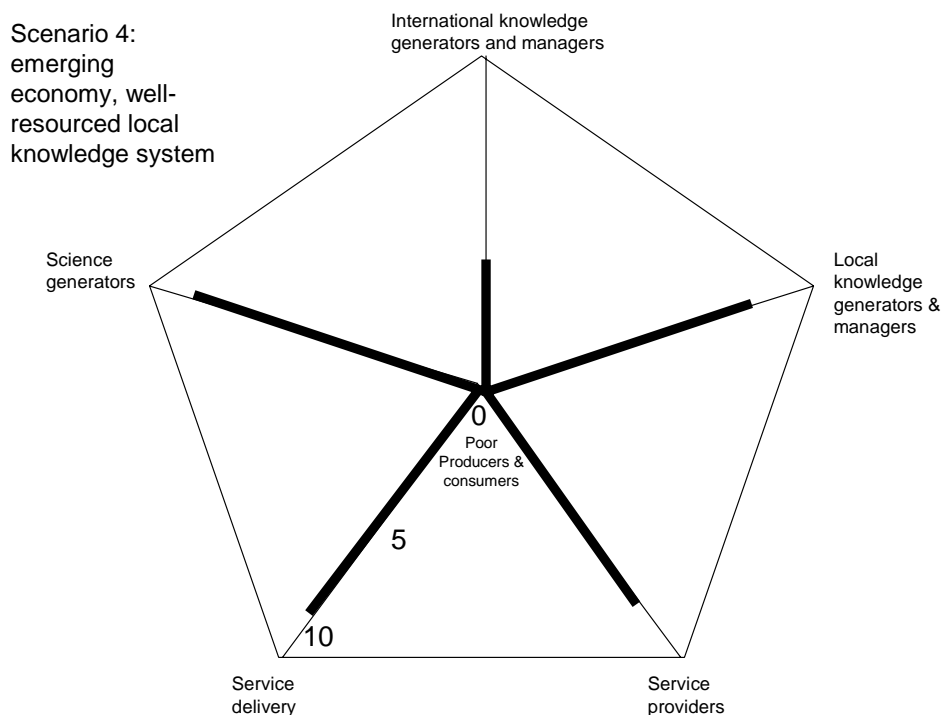
enhanced capacity to receive, re-package (where necessary) and deliver CGIAR research outputs to poor producers.

Scenario 2: low income, under-resourced local knowledge system





Emerging economies have invested in research and usually have strong national research systems. The CG here should play the role of an equal partner, brokering knowledge (as well as safeguarding the quality of knowledge) between knowledge generators, creating opportunities for its partners to access international knowledge, and harnessing knowledge for sharing with less privileged partners. National systems can here work directly with others as they may choose. However the maintenance of international resources and international mobilization of research remain key functions here. Strong local knowledge generation and management systems create locally appropriate technologies and are able to draw in ideas from the international pool, either directly from science generators or via the international research system. Such systems are also able to readily contribute technologies out to the wider international scientific knowledge pool and act in international development roles themselves.



4.3.4 Governance and funding implications

This way of seeing the role and responsibility of the CGIAR in the innovative process as a research for development organization has profound implications on how partnerships are seen and developed. Additionally, in order to facilitate these processes and the establishment of the needed partnerships, it is important to have procedures and funding mechanisms in place that allow and facilitate the joint funding of partners that have agreed to participate in the implementation of a program or project.

Regarding this theme, WG2 recommends the following:

1. **The CGIAR decides that in order to be eligible for funding (by the International Fund proposed by WG4) a significant proportion of projects and programs – those intended to deliver development impact within the next decade – must include in their design the necessary partnerships for research collaboration, dissemination, and the initial stages of uptake.**

- 2. The Fund explicitly allocates funds to activities to be developed by relevant partners that have committed their participation to a particular project or program, including those that are involved in dissemination and early uptake up to the point and scale at which the development partners become themselves directly responsible.** In these partnerships the CGIAR roles and responsibilities and the assignment of resources should recognize and be consistent with the institutional context in which the project will take place.
- 3. The Fund accepts that, based on comparative advantages, the management of the approved program or project be made by CGIAR Centers or other participating institutions.**
- 4. The Fund accepts to fund research initiatives by other research institutions within CGIAR initiatives and priorities, but recognizes that a fair implementation of this recommendation would require that the CGIAR Centers receive predetermined core funding in order to position themselves on an equal basis with other potential competitors.**

It is important to note that a decisive advantage of point (2) above is that in applying this recommendation it will be possible for the International Fund to attract existing pledges and future restricted funding, which in most cases is earmarked to applied research and/or development work for that same purpose but in relation to research activities that have been identified as priorities within the CGIAR. In addition the CGIAR could play a role in articulating the activities developed by itself and its partners with bilateral resources that could be channeled directly to the partners within overall agreed activities.

5 Towards a partnerships policy: Operational guidelines, new and strengthened partnerships and incentive policies

In the previous chapter, we analyzed the three main areas of relationship with non-member stakeholders and those who would characterize a new approach to partnerships in a more open CGIAR, within the global agricultural research system. In this chapter, we focus on the operational components of an emerging partnerships policy.

5.1 *Some general principles*

Four areas define the partnership process, each requiring different resources, skills, and institutional capacities:

1. Identifying and evaluating partnership opportunities
2. Structuring individual partnerships
3. Managing of the partnership, and
4. Learning from partnership experiences to improve over time.

Partnership opportunities will arise from a variety of processes. Specific priorities, goals, or needs may be articulated at the Center level, the system level, by donors, or from other sources. The CGIAR Centers will often be a part of an agenda-setting process (while not leading it), identifying where the CGIAR can add value. Partners can then be selected based on their ability to effectively achieve the goals. It should be recognized that partnerships will often involve multiple partners from different sectors – public, private, civil society, etc. Mechanisms for selecting goals will depend on both direct and indirect expression of needs, as well as on hypotheses for impact in alleviating poverty. Then, an evaluation of each particular partnership must then be made that considers the costs and benefits at several levels.

The skills and resources of CGIAR Centers are currently insufficient for effectively participating in agenda-setting, identifying partnership opportunities, and evaluating partnerships. There needs to be both an increase in the capacity of the Centers and ability to access external resources. Within the Centers, there is a need for greater product delivery discipline and to focus on output objectives, as well as the ability to identify specifically where the Centers' work can add value when complemented by other partners. The skills involved in the evaluation of partnerships are likely to be found

externally, and there are opportunities to engage existing outside resources. In addition, there is a role for Center Boards to evaluate certain aspects of partnerships, including their alignment within the broader objectives of the CGIAR system.

The second stage in the partnership process involves the **structuring of individual partnerships**. This will differ case-by-case and will require project-specific solutions to many issues including, for example, intellectual property, confidentiality, and governance of the partnership, as well as the definition of roles, rights, and responsibilities. The skills to structure partnerships are most efficiently accessed externally, at least in the short term. It is not efficient to create this capacity at the Center level.

Each partner will bring a set of specific requirements (commitment to public goods, ownership of results, and management of intellectual property, etc.) and these needs must be considered when establishing the partnership. A structure that has proven to be effective for involvement of the private sector is the public-private partnership, which, if well constituted, can ensure the needs of all partners are met.

The third stage outlined here involves the **management of partnerships over time**. The responsibility for managing a partnership from start to finish must be clearly defined and assigned at the start of the partnership. However, the CGIAR Centers will benefit from increased capacity in this area. For example, the private sector will often not be willing to commit the resources needed for this level of project management. Partnership management will extend beyond pure project management and include conflict resolution processes, the allocation of resources, ongoing management of the budget, decisions on intellectual property that arise during the project, termination issues, etc. Good partnership management will involve investment in capacities at the Center level, as well as supporting the Centers where they play a role in steering committee management.

Lastly, the effective use of partnerships within the CGIAR system will involve **mechanisms for learning** as well as incentives for improvement. Currently, potential lessons learned are not recorded, but investment in this area will allow the entire system to benefit from individual Centers' experiences. To support learning, processes must be transparent (however, this does not need to restrict the ability of Centers meet their partners' confidentiality requirements). While donors will demand monitoring and evaluation in terms of delivery on targets, additional system-wide evaluations can be beneficial. There are also good reasons to promote a better understanding of partnership issues in general. For example, the system would benefit from the perspective and experience of its partners. These skills, and the functions discussed here, are very different from the case-by-case structuring of partnerships. The capacity

to support learning and create incentives for improvement would be most efficiently created at the system level; however, incentives for improvement will need to be internalized at the Center level.

5.2 Operational guidelines

At the Center and program levels, WG2 recognizes the diversity of needs, programs, and operational contexts. Rather than being prescriptive, WG2 proposes some operational guidelines that complement the general principles outlined in the previous section and that can ensure mutual learning and added value in practical and concrete partnerships.

1. Innovation and partnerships are complex social processes. Building capacity, experience and lessons learned is a major part of the process.
2. Identity and a sense of belonging are vital in creating a good 'community of practice'. Attention must be given to how this may be achieved.
3. Partnerships must be strategic, in the sense that we need to understand what we want from the partner and what the prospective partner might want from us. Realistic expectations among all partners should be articulated and agreed upon.
4. For this reason, understanding the sequence or cycle of research programming and identifying the moments and procedures for interaction with partners is useful. These include, at the very least, the establishment of mechanisms to discuss, negotiate, and agree with other partners on:
 - The specific reasons and justification for the collaboration
 - The objective of intended outputs and outcomes
 - The specific roles and contributions of each partner including the CGIAR
 - The governance and management of the partnership
 - The way in which the partnership and each partner will be accountable, the appropriate codes of conduct are specified and how agreements will be enforced, and
 - The way in which the rules of engagement and prior agreements can be changed as the partnership and its work develops.

However, in the new environment of the emerging global agricultural research and knowledge system, these are properties of the specific partnerships that

emerge and are agreed with the construction of the partnership itself; they cannot and, indeed, they should not be predefined by any one single partner.

1. Partners in the region must recognize that the proposed strategies converge and are aligned with their higher agricultural development priorities and, when possible, relate to activities initiated by partners.
2. Clear pathways by which development impacts will be subsequently attained should be clearly defined.
3. Not all programs/projects need to include players who fill all potential roles from the farmer's field or ecosystem along the continuum to the basic research institutes. But all partnerships in which the CGIAR engages should be justified by a very clear potential to add value to the achievement of development goals. Partners are especially important for the CGIAR in scaling up impacts and outcomes.
4. In building up partnerships, it is important to recognize that a major issue is the asymmetry of power, influence, capabilities, experience, and credibility that frequently exists between partners. The CGIAR needs to face this problem with transparency and generosity and must make special efforts to build trust among partners.
5. Some partnerships are amenable to being governed by clear, formal contracts or contract-like agreements. Others – in particular partnerships aiming at complex objectives, those in places with less developed legal and political institutions, those that involve partners with different backgrounds or who work at different scales – are likely to be 'messy partnerships' and cannot be governed by log frame-like protocols; these will require innovative accountability and administration mechanisms.
6. Some strategic partnerships under the umbrella of the CGIAR could be supported by medium-term contracts. These contracts need to define objectives, expected results, codes of conduct management, administrative rules, accountability procedures, and levels of funding. Each contract must be negotiated and adapted to each particular case.
7. Systems of contracts work only if there are efficient and effective mechanisms to enforce such agreements, and if all parties have effective access to the approved mechanism.

8. Sharing information is a basic step in building networks. The means of communication should be clear and mutually understood, and the necessary equipment and costs involved should be considered in the agreed budget.
9. Transparency and sharing responsibilities in management and decision-making is an essential component of good partnerships.
10. A solid and mutually agreed monitoring and evaluation system, of project results and of partnership functioning, should be established from the beginning of the partnership.
11. Dissemination of results and attribution of credit and responsibilities must be carefully designed from the start, and the agreed procedures carefully followed.

5.3 Areas that need new or strengthened partnerships

The redefinition of the core functions of the CGIAR and the emergence of new institutional players in the global innovation process imply that a greater attention must be given to some of these new players.

5.3.1 Partnerships with institutions involved in policy and institutional innovation decision-making

WG1 has proposed that this type of work be greatly strengthened. Not only it has been identified as one of the six CGIAR core functions, it has also been elevated to one of the three strategic objectives.

As already mentioned in Chapter 3, the new emphasis given to this area of work implies a new dimension for the CGIAR. Its program of work needs to extend beyond the important work done by IFPRI and Bioversity and, to a lesser extent, by a few of the other Centers. This implies not only that CGIAR will need to allocate more resources and strengthen its existing capacities in this field – a process which might have implications for the present physical and organizational structure of the CGIAR – but it also will demand the construction of special partnerships with new and different players.

Main partners in this field will be, in addition to the international organizations (including the lending agencies), the policy units in developing countries and NGOs and consulting firms that have essential experience in advisory work on policy and institutional matters in the developing world. These organizations, both public and private, have a different institutional culture than the research institutions. They are interested in advisory work

that, while it may be based in solid research, includes the location of specific practical work that is not by definition an international public good.

This dilemma has two possible solutions:

1. **To incorporate this type work as a regular activity of the CGIAR Centers**, as it was the case of ISNAR in the more restricted field of policies and institutional innovations with regard to research institutions. This implies a strong effort in capacity building by the CGIAR itself and the acceptance by CGIAR Members that this type of work is a legitimate activity by the Centers.
2. **To build new partnerships with organizations that are ready and capable to** provide the direct advice and to respond to the specific demands for advisory services by policy units in developing countries. The CGIAR Centers would participate by providing information and tailor-made research developed jointly with the governmental units involved and the partner organizations **that will perform the hands-on work**. In many cases this research will not necessarily respond to the characteristics of an international public good.

5.3.2 Partnerships with institutions and organizations in the area of science and technology and other areas related to agricultural issues and concerns

In a growing number of countries, especially middle-income countries that are potential CGIAR members, the main decisions on research priorities, resource allocation and international collaboration fall within the purview and responsibility of Ministries and/or Secretaries of Science and Technology. The CGIAR, who has traditionally privileged its institutional relationships with Ministries of Agriculture and the National Research Institutes that they supervise, is relatively unknown in the wider science and technology communities.

WG2 considers this situation a serious limitation for three reasons:

1. First, because it limits the political visibility of the CGIAR in the local scientific communities and in the relevant governmental units that make decisions regarding funding, participation in international events, and in the end, the possible incorporation of these countries to the CGIAR as members.
2. Second, because it has been difficult for the CGIAR to interact with and influence the wider science and technology discussion and hence the countries' policies on research for development in agriculture, including the organization, funding, and responsibilities of NARIs, who are essential CGIAR partners.

3. Third, because it has limited the articulation and cross-fertilization of agricultural research (performed by the CGIAR and its partners) with other research areas that are increasingly important sources of knowledge, such as medicine and health sciences, environmental science, climate change, and natural resources.

WG2 is of the opinion that the CGIAR and its Centers need to make a new effort in establishing working relationships with these areas of developing country governments and transcend the more limited institutional connectivity that exists at present. These actions would require a CGIAR mechanism to coordinate the overall process of establishing these new relationships, which are essential for implementing the awareness-raising and policy decision-making support that are now defined as core functions of the CGIAR.

5.3.3 Partners for capacity building

Capacity building has been restated by WG1 as a core function within CGIAR, a proposal that is consistent with the demands and expectations voiced by many of our partners. WG2 supports this recommendation based on the importance of these activities in increasing the overall capacity of the global research for development system. Fostering the development of institutional capabilities that can catalyze, sustain, and disseminate innovations and research outputs on a national scale is a crucial element of development.

WG2 proposes that the main objectives of the capacity building function be the following:

- To develop the institutional capacities of our partners to catalyze, sustain, and disseminate research results and outputs
- To promote academic exchange programs to contribute to the growth of scientists from developing countries, and
- To seek synergies and complementarities with universities from the developed and developing world by having students do their research within the CGIAR research programs.

In order to implement these objectives WG2 recommends that:

1. The CGIAR redefines its capacity strengthening strategy, including a wider partnership with universities in developed and developing countries

2. Projects include activities for fostering processes that equip those partners concerned with the uptake chain with the necessary skills and capacities to bring about development impacts
3. The CGIAR rewards capacity strengthening activities by its scientists, and
4. The International Fund, proposed by WG4, incorporates capacity-strengthening activities that are within approved programs and projects as fundable items.

5.3.4 International civil society organizations (ICSOs)

ICSOs are key players in development work and are increasingly gaining recognition for their participation in the dissemination and application of research for development objectives.

In its analysis, the CG Secretariat elaborates the domains of value added by partnerships with ICSOs as:

- Improving research effectiveness and development impact
- Bringing innovative ideas and new perspectives to CG research agendas, and
- Enhancing CGIAR's ability to meet public accountability and transparency needs in global public program.

These three domains present areas of important collaboration that have been dealt, in a more general way, in other parts of this report.

In specific relation to ICSOs, WG2 makes the following recommendations:

1. Partnering with ICSO is major element in project and program execution. As indicated in Chapter 4.3, where national government research and extension systems are underfunded or emerging from crisis the ICSOs are extremely important partners that should be drawn in for the implementation of programs. They have the resources and capacity to play a bridging role and to ensure that the management and use of agricultural knowledge can be maintained and can continue to reach the poorest people. A more systematic approach to engaging with ICSOs will help to streamline research delivery and foster accountability and institutional learning among partners. The operational guidelines presented in Chapter 5.2 provide potentially useful insights on how to build these partnerships in each particular case.

2. The development and conceptualization of demand-driven program at the system level must be a multi-stakeholder process, facilitated through the networks of GFAR. WG2 endorses Recommendation 5a of the 2006 CGIAR Strategic Framework, namely to develop GFAR-CGIAR collaboration in conducting CSO consultations, with specific attention to linking with regional dimensions. This will require the CGIAR to work through the mechanisms of GFAR and the regional fora (as described in detail in Chapter 4.2), giving considerable attention to policy processes of the ICSOs at their headquarter level and engaging with their agendas as they relate to agricultural development. This will enable mutual support and learning between ICSOs and the CGIAR, as well as aligning research demands with those of other partners.
3. ICSOs play an increasingly important role in awareness raising and agenda formulation for development issues at the global level. They are important strategic partners for the CGIAR, and consultation mechanisms should be developed, as described in Chapter 4.1.

5.3.5 Strong NARIs

Partnerships with public sector research systems in industrialized countries have been important for the CGIAR in the past. Developments in various fields of science and technology make it important that such partnerships be strengthened and renewed. Such radical new developments commonly occur outside the view of the development-oriented groups in such institutions, requiring a continuous search for novel linkages. Challenge programs have proven useful in several cases, but novel mechanisms may need to be developed in new situations.

The public sector research organizations in emerging countries – such as Brazil, Russia, India, and China (BRIC), as well as Argentina, South Africa, and Vietnam – need to be recognized as essential partners for the CGIAR, in roles that are more ample and complex than what has been recognized until recently. These NARIs are becoming most important players in public sector agricultural research for development and are responsible for the most significant proportion of the global resources allocated to this objective. A main goal for the coming years should be to stimulate the already significant presence of the advanced NARIs in CGIAR matters so that they reaffirm their role as active members in the CGIAR. It also means that the CGIAR needs to experiment with modalities of cooperation with these NARIs to mobilize their substantial and

growing scientific capabilities for the production of international public goods that could be essential in the development processes in other less favored countries.

Challenge programs have proven useful in several cases to develop partnerships between NARS, CGIAR Centers and northern research organizations, however, in addition, novel mechanisms may need to be developed. One essential new strategy for both the northern and southern strong research organizations is to support the participation of CGIAR Centers in initiatives developed by these organizations, rather than CGIAR taking the lead in such partnerships. An example is the participation of CGIAR scientists in EU-funded (or Brazil-funded) research that is primarily directed to the European (or Brazilian) agenda, but which may create important spin off for the development goals elsewhere.

WG2 recommends that the already initiated effort to attract and involve these partners be strengthened.

5.3.6 Public-private partnerships (PPPs) as a special case

Private sector involvement and contributions to global agricultural innovation have become extremely important. Their involvement can be seen in the production of knowledge and technologies and in dissemination and uptake (in their role as service providers). However, PPPs in the CGIAR have been relatively scarce. Of the 3000 institutional collaborations that existed in 2006, only 6% were between a CGIAR Center and a private sector firm.

The potential benefits of PPPs for the CGIAR system include:

- Access to private sector technologies
- Improved delivery, and/or commercialization of CGIAR products
- Leveraging new sources of funding
- Knowledge sharing, reducing costs, and gaining synergies, and
- Promoting organizational change.

Achieving these potential benefits requires addressing reputational issues and the need for transparency in embracing PPPs within the historical 'public good' mission of the CGIAR system. In addition care must be exercised to maintain the focus on serving the poor in order to remain 'user driven' and to clearly address the high transaction costs inherent in establishing and sustaining effective PPPs.

The greatest challenge for the CGIAR is to leverage the substantial investments made by the private sector in agricultural research and to integrate the expertise, technologies, and facilities into its own work, while recognizing the specific constraints under which the private sector operates (particularly as it relates to intellectual property issues). The art of identifying strategic opportunities for PPPs lies in finding areas of common ground where public and private interests are aligned and where private sector resources can be adapted to serve the poor.

There are three areas where work is needed and where specific actions should be taken:

1. **Identifying opportunities and partner selection.** Robust partnerships begin with a collective recognition of the benefits of collaboration and by identifying the scope of a project, evaluating partners and projects, agreeing on common goals and objectives, and negotiating the details of the working relationship. This must also include due diligence as well as benefit–cost analysis of the project and its potential impact.

There is some evidence that third party facilitation in partnership formation may be useful, a function that could be played by the Partnership Facilitation Unit proposed in next section. From the Private sector perspective it has been mentioned that companies are deterred by the complex structure and procedures of the CGIAR – a question that needs to be addressed.

2. **Structuring and managing partnerships.** Clearly defined roles, goals, rights, and obligations need to be defined from the outset. Intellectual property rights remain one of the most challenging issues. The CGIAR Centers must be able to articulate – and be prepared to negotiate – project-specific intellectual property strategies that will support their goals. There is an increasing complexity in the intellectual property rights landscape and the Centers need to access the adequate legal capacities for each particular case. Finally, PPP agreements, in some cases will have to address a range of downstream issues that are not related to the research itself. These include product stewardship, biosafety regulations, and product liability.
3. **Alignment with CGIAR goals. Private sector companies are driven by objectives that are inherently different than those of the CGIAR.** Creating PPPs requires flexibility, but it also needs supervision to ensure that they do not compromise the basic principles of the CGIAR system. Transparency is a major issue to be considered. Monitoring and evaluation of these agreements

to promote learning from accumulated experience and successes is important. This function is included in the responsibilities of the Facilitation Unit recommended in next section.

5.4 The Partnership Facilitation Unit

The development and implementation of an explicit and evolving partnership policy in the CGIAR will require a long-term institutional effort including clear responsibilities, appropriate incentives and promotional efforts. In a revitalized CGIAR, engaging in partnerships must be a guiding principle that leads to the strengthening of a wide network of institutions and people who contribute to agricultural research and the well-being of the poor.

To help in the construction and implementation of such a strategy **WG2 recommends the creation of a 'Partnership Facilitating Unit' comprised of independent persons with extensive experience in partnership-building and who are knowledgeable about the different constituencies engaged with the CGIAR.**

Their role would be to foster, monitor, and promote the use of partnerships within the CGIAR system itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR as a whole – and in its various components – on these matters. It would have a supervisory function on system-level partnership quality in the CGIAR, similar to the way in which the Science Council oversees science quality. In fulfilling its role, the Unit should be in close contact and consultation with GFAR. One example of this work is the development of lessons learned and of operational guidelines for partnerships with important partners such as the private sector, CSOs and private foundations. The Unit could be seen as an element that contributes to the strengthening of partnerships through the implementation of the recommendations proposed by the Change Management Initiative, and thus could have a temporary nature.

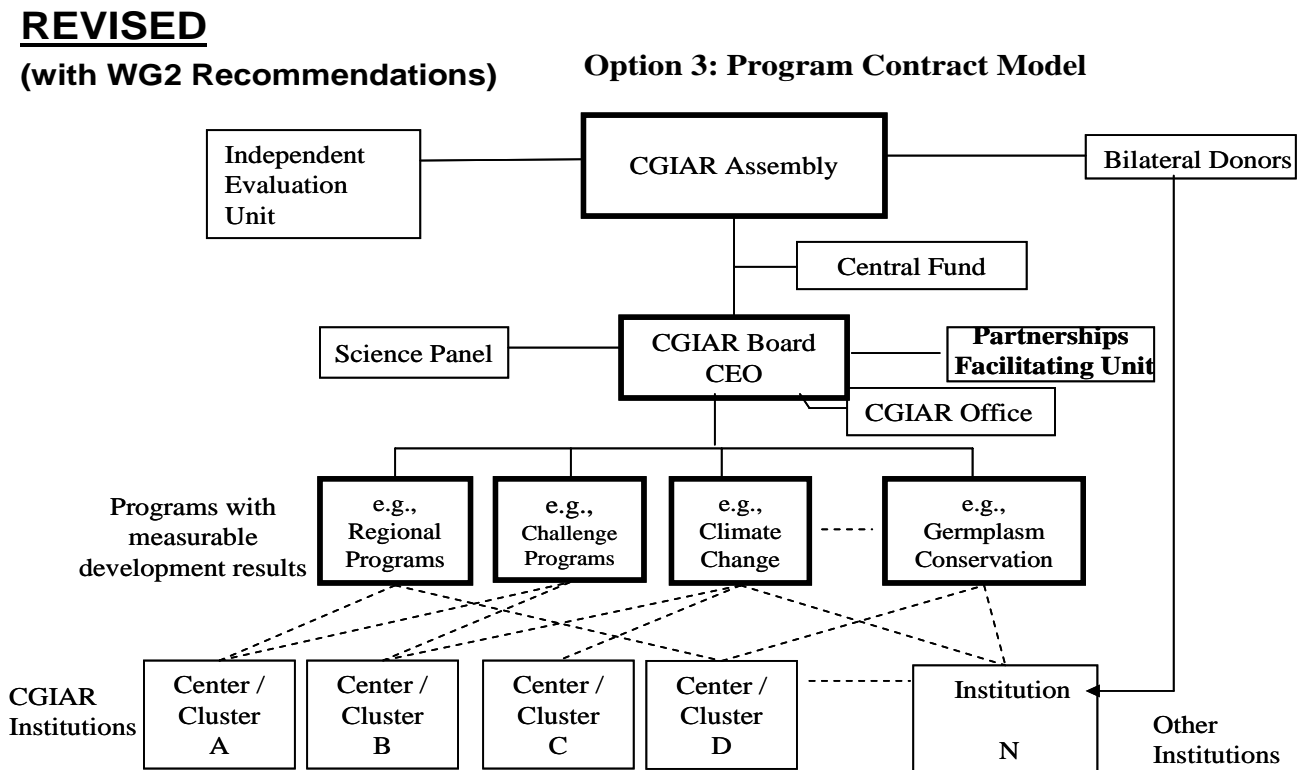
The Unit's reporting structure would vary according the different organizational models that are being considered:

1. In the present structure, to the CGIAR Executive Council
2. In the Performance Contract model proposed by WG3 there are two options:
 - a. To the CGIAR Board as an independent unit, (the option preferred by WG2) or
 - b. To the CGIAR Board through the CGIAR Office

3. In the Alliance model, to the Partnership Board
4. In the model proposed by the External Review, to the Fund Council.

The following figure depicts the position of the Unit within the structure of the proposed performance contract model:

Figure 3: Revised performance contract model



5.5 Incentive policies

The construction of a strengthened partnership mode of operation needs a number of concerted and long-term actions to promote healthy and successful partnerships and to provide incentives and institutional signals to its members. In this section we describe some of the functions to be performed by different institutional components of the CGIAR.

5.5.1 The Partnership Facilitation Unit should:

1. Review Centers' strategic plans for an explicit partnership strategy and suggest possible actions
2. Review Centers' policies for an explicit Board-approved (i.e. framework) policy on partnership principles
3. Review Centers' websites for partnership toolkits
4. Review Centers' documents/publications on lessons learned from partnerships
5. Perform an annual review of project implementation partnership case studies:
 - a. **Project conceptualization:** How were project partners selected? Was there due diligence, i.e. was there accurate evaluation of proposed partners? Were there partnership readiness agreements and partnership profile analyses? Was benefit–cost analysis carried out, including risk assessment?
 - b. **Project development:** How much voice did partners have in the design of the project/program? How was the governance model selected?
 - c. **Project management:** How were problems identified and corrected? How did the partnership learn from difficult situations?
6. Define partnership indicators for the CGIAR Performance Measurement Report, including partnership effectiveness and efficiency criteria.

5.5.2 The International Fund (and eventually the individual donors) should:

1. Request the inclusion of an explicit partnership strategy as part of the project concept note.

2. Fund the partnerships-formation stage, including initial field visits and a proposal development workshop before the final proposal is submitted, to jointly develop the final proposal, including definitions of:
 - a. The role and responsibilities of each partner
 - b. The expected benefit(s) for each partner institution (value proposition statements)
 - c. How the partnership will deal with partners that default
 - d. The governance of the partnership
 - e. The strategic communication strategy
 - f. The expected life of the project/program, and
 - g. How the partnership will evolve over the life of the project.
3. Fund a final (social learning) workshop that includes the partnership process and lessons learned.
4. Request a report on the partnership process and a partnership satisfaction survey at the end of the project.

5.5.3 A CGIAR Performance Measurement Report (indicators to be developed by the Partnership Facilitation Unit) should include:

A. Partnership output criteria (publications):

- Number of publications with northern ARIs
- Number of publications with southern ARIs
- Number of publications with NARS partners
- Number of publications including women
- Number of publications including young professionals.

B. Partnership outcome criteria:

How do you measure a successful partnership? How do you measure added value? The basic questions are:

- **Effectiveness criteria:** How has the impact been enhanced by the partnership? (i.e. what has been achieved due to the partnership that could not have been done independently?)
- **Efficiency criteria:** How have the outputs and outcomes been achieved more efficiently due to this partnership?
- **Cultural learning criteria:** How did this partnership benefit from lessons from previous partnerships and/or collective action projects/programs?

5.5.4 External program and management review

Each review panel should include a partnership expert to specifically review the partnership processes of major Center-led projects/programs.

6 Main recommendations on partnerships: Implications for governance and funding

The Change Initiative is proposing a revitalized CGIAR that is more open to working in partnerships in a wider context of research for development. This new vision has been captured by GFAR in the following sentence **“A primary international research system that mobilizes science and technology to enable partners to achieve the global vision”**. To move in this direction, the CGIAR will require a new and strengthened policy for partnerships. Its effective implementation will mainly depend on the attitude, convictions, and commitment of all who compose the CGIAR community. However, it will also require the adoption of a generous, proactive, and flexible business model that promotes and facilitates successful interaction and collaboration with a constellation of diverse institutions.

To achieve this goal, the institutional structure and funding mechanisms need to adjust to the new needs and special conditions that emerge from working in a partnership mode.

Based on the analysis and proposals developed in the previous sections, we have selected seven themes that we consider especially important and have significant implications for governance and financing. In the analysis of their implications and relationships with governance and funding, WG2 has assumed that there are three governance proposals that are being considered: Model 3 proposed by WG3, the model proposed by the Alliance, and the Model proposed by the External Review. WG2 favors Model 3.

The seven proposals are summarized in the following main recommendations:

1. **Strengthen CGIAR’s participation and recognition as a major player in the global dialogue and in the construction of global perspectives and agreements on research for development.** Participation in this process requires the development within CGIAR of capacities and institutional mechanisms, as well as the allocation of specific responsibilities in order to participate in a coordinated manner with other partners. CGIAR participation should be focused on bringing to the global dialogue the issues related to the use of agricultural research and technology in the development process.

WG2 proposes that this responsibility be assigned to the Chair of the CGIAR Board in the Performance Contract model proposed by WG3 (and to the equivalent Boards in the other two proposals under consideration). To fulfill this responsibility, the Chair will need the following:

- Financial and human resources to study the problems and develop proposals
- To develop strong coordination mechanisms with other areas of the CGIAR, in particular with the Chair of the CG and the Director of the Corporate Office
- To consult and interact with CGIAR members who need to participate in articulating a clear global dialogue strategy
- To consult and interact with other stakeholders and partners – especially with GFAR and the global and regional ARD partners brought together under the GFAR mechanism – so that proposals are transparent and partners are knowledgeable of each others' positions on the issues.

2. **Organize appropriate consultative processes with relevant non-member stakeholders at the CGIAR system level to define strategic dimensions and main priorities.** Due to the growing number and diversity of relevant stakeholders, this process will require the existence of an elaborate institutional mechanism and appropriate funding leading to an informed and well-structured position by non-member stakeholders. This position should be explicitly considered in the deliberations of the Assembly and taken as an important input by the System Board proposed by WG3 in Model 3. This process has to take into consideration the global, regional, and sub-regional dimensions and priorities for which appropriate consultation with regional fora and organizations such as FARA, FORAGRO, APAARI, AARINENA, CACAARI, EFARD, and NAFAR is needed. In addition, the individual CGIAR-supported Centers and programs need to strengthen the existing consultative mechanisms with relevant stakeholders and partners for defining their priorities and program of work.

WG2 considers GFAR to be the most appropriate institutional mechanism to organize this process. However we also recognize that to fully incorporate and ensure the active participation of all relevant non-member stakeholders (in particular the private sector and the CSOs) and the availability of sufficient resources, GFAR will need to be reorganized and strengthened. This will require the active participation and

support of the CGIAR and other GFAR partners. The CGIAR, through the secretariat, (or whatever unit replaces it in the new structure) will need to:

- Recognize GFAR as a forum of mechanisms being proactively used at global and regional levels by the CGIAR and its Centers for consultation on strategic guidelines, priorities, and research for development demands and needs.
- Ensure that existing global and regional platforms, including GFAR, participate in an appropriate manner in internal processes leading to strategic orientations, selection of priorities, global programs, etc.
- Take responsibility for the strengthening of GFAR, including a stronger participation of sub-regional CSOs, NGOs, and the private sector within existing platforms.

3. As a research for development institution, the CGIAR should take an active role and responsibility in assuring that research results lead to impact and outcomes for most of its research activities. However, this responsibility should be limited to establishing the appropriate partnerships, beyond CGIAR-supported Centers, in the initial stages of project design and to collaborate with this coalition of partners until the project reaches a point at which dissemination and early adoption begins. In order to facilitate this process, it is important to have procedures and funding mechanisms in place that allow and facilitate the joint funding of partners who participate in the implementation of programs and projects. This proposals goes in the direction of previous CG experiences in networks, some systemwide initiatives, and the Challenge Programs.

WG2 proposes the following:

- a. The CGIAR requires that, to be eligible for funding (by the Fund proposed by WG4), a significant proportion of projects and programs – those intended to deliver development impacts within the next decade – must include in their design the necessary partnerships for research collaboration, and for dissemination and initial stages of uptake.
- b. The Fund explicitly allocates funds to activities to be developed by relevant partners that have committed their participation to a particular project or program, including those that are involved in dissemination and

early uptake up to the point and scale at which the development partners become themselves directly responsible.

- c. The Fund accepts that, on the basis of comparative advantages, the management of the approved programs or project be made by CGIAR Centers or other institutions.
- d. The Fund accepts to support research initiatives by other research institutions within CGIAR initiatives and/or established priorities. This recommendation requires that the CGIAR Centers receive predetermined core funding in order to position themselves on an equal basis with other potential competitors.

A decisive advantage of Point b of this recommendation is that it will be possible for the Fund to attract existing pledges and future restricted funding, which in most cases is earmarked to applied research and/or development work for that same purpose, but in relation to research activities that have been identified as priorities within the CGIAR.

4. In a growing number of countries, especially middle-income countries that are potential CGIAR members, the main decisions on research priorities, resource allocation and international collaboration are decided in the ministries or 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. **This constituency, which is made up of public-sector institutions, needs to be incorporated into CGIAR activities.** There are three levels of possible participation for these institutions:
 1. In the delegations of member countries in governance mechanisms
 2. In the consultative mechanisms to define strategic guidelines and priorities in the CGIAR
 3. As partners in research activities.

WG2 suggests that the CGIAR needs to diversify its relationship with these governments in order to include in its contacts the Ministries and Secretaries of Science and Technology and affiliated institutions. This wider audience will result in higher participation, political support and potentially, financial support for the CGIAR.

- 5. Responding to Strategic Objective 3 (promoting policy and institutional change to stimulate agricultural growth and equity to benefit the poor) the CGIAR will need to strengthen its technical capacities in this domain and in system-wide coordination.** In addition, new and complex partnerships will have to be developed with more politically oriented partners, such as the policy units of developing countries governments who will demand more localized and politically sensitive research results and different delivery mechanisms, as well as CSOs involved in policy research and processes. In order to avoid misinterpretations and to gain political legitimacy in this type of activities, **WG2 suggests the need to define a clear policy of engagement and partnerships** in this area of work.
- 6. Capacity building has been restated by WG1 as a core function within the CGIAR,** a proposal that is consistent with the demands and expectations voiced by many of our partners. WG2 supports this recommendation and proposes that the main objectives of this function should be the following:
- To develop the institutional capacities of our partners to catalyze, sustain, and disseminate research results and outputs
 - To promote academic exchange programs to contribute to the growth of scientists from developing countries, and
 - To seek synergies and complementarities with universities from the developed and developing world by having students do their research within the CGIAR research programs.

In order to implement such a policy WG2 recommends that:

- The CGIAR redefine its capacity strengthening strategy to include a wider partnership with universities in developed and developing countries.
- Projects include activities for fostering processes that equip those in the uptake chain with the necessary skills and capacities to bring about development impacts.
- The CGIAR reward capacity strengthening activities by its scientists.
- The International Fund, proposed by WG4, incorporate capacity strengthening activities that are within approved programs and projects as Fundable items.

7. The CGIAR needs to develop an explicit and evolving partnership strategy to include the above recommendations and suggestions. CGIAR partnerships should be more than a means to gain efficiency, effectiveness, and relevance in its research for development activities. Engaging in partnerships must be a guiding principle that leads to the strengthening of a wide network of institutions and people who contribute to agricultural research and the well-being of the poor.

To help in the construction and implementation of such a strategy, **WG2 recommends the creation of a ‘Partnerships Facilitating Unit’ comprised of independent persons with extensive experience in partnership-building who are knowledgeable about the different constituencies engaged with the CGIAR.** Their role would be to foster, monitor, and promote the use of partnerships within the CGIAR system itself and among its Centers, to draw lessons and experiences in partnerships, and to advise the CGIAR as a whole – and in its various components – on these matters. It would have an supervisory function on system-level in the CGIAR, similar to the way in which the Science Council oversees science quality. In fulfilling its role, the Unit should be in close contact and consultation with GFAR. One example of this work is the development of lessons learned and of operational guidelines for partnerships with important partners such as the private sector, CSOs, and private foundations. The Unit could be seen as an element that contributes to the strengthening of partnerships through the implementation of the recommendations proposed by the Change Management Initiative, and thus could have a temporary nature.

The Unit’s reporting structure would vary according the different organizational models that are being considered:

1. In the present structure, to the CGIAR Executive Council
2. In the Performance Contract model proposed by WG3 there are two options:
 - a. To the CGIAR Board as an independent unit, or
 - b. To the CGIAR Board through the CGIAR Office
3. In the Alliance model, to the Partnership Board
4. In the model proposed by the External Review, to the Fund Council.

These seven recommendations have a number of implications for the governance structure and the funding procedures that may be adopted by the CGIAR as a result of the Change Initiative.

With respect to the three governance models that we understand are being closely considered (Performance Contract model proposed by WG3, the Alliance model and the Model proposed by the External Review), the proposals by WG2 are relatively neutral in all cases, with the exception of the proposed Partnership Facilitating Unit and, more specifically, where it should be placed in the organigram. The table below presents in summary form the implications of the seven recommendations in relation to the three models:

Table 1: Implications of the seven recommendations made by WG2 on three governance models

OPTIONS	INDEPENDENT REVIEW	ALLIANCE	PERFORMANCE MODEL (WG3)
7 - Partnership Facilitation Unit	- Reporting to Corporation Board or/and the Fund Council	- Reporting to Partnership Board	- Op. 1: Reporting to CGIAR Board - Op.2: Idem through CGIAR Office
1 – CG voice in the international dialogue	- Chair of the Corporation Board	- Chair of the Partnership Board	- Chair of the CGIAR Board
2 Consultative process with stakeholders - at system level - at center/program level	- Strengthened GFAR - Centers and programs	- Strengthened GFAR - Centers and programs	- Strengthened GFAR - Centers and programs
3 – Program design to include partnership - Funding partners	- OK - OK, rules to be made explicit	- OK - OK, rules to be made explicit	- OK - OK, but wary of competition for Centers

4 – Bridge with SC&T ministries	- OK (whatever level)	- OK (whatever level)	- OK (whatever level)
5 – Capacity building	- OK	- OK	- OK
6 – Engagement in policy advice	- OK	- OK	- OK

Most of the recommendations proposed by WG2 have funding implications. In addition, points 3 and 6 include specific recommendations regarding the scope and procedures to be adopted by the International Fund that is being proposed by WG4.

Glossary of terms

In this paper we have used a terminology that, although well known and commonly used, has some times different meanings for different people. In order to minimize possible misunderstandings, we include some definitions that clarify the use and interpretation we have given to these words and concepts:

Global agricultural development community: Governments, institutions, organizations and the universe of stakeholders that are collectively concerned in agricultural development.

Global agricultural research for development (ARD) system: The universe of institutions and organizations that have a mandate to do research and related activities – including organization, management, and funding of research – with a clear objective of contributing to development.

Knowledge management: Activities that are clearly directed to the generation, adaptation, diffusion, and uptake of information, knowledge, and technologies and their articulation in the solution of specific problems.

Research outputs: Specific products of research, such as new knowledge on various types of phenomena (physical, biological, social, economic, etc.) that are directly or indirectly linked with agricultural activities, technologies, improved processes, new organizational systems, institutions, etc.

Impact and outcomes: The observable results that activities and inputs will have on the real world. Specifically, outcomes refer to short-term consequences resulting from the direct use of the research outputs or from the research process itself, while impact refers to longer term effects resulting directly and indirectly, completely or partially from the research outputs that are implemented and from the consequences of the research process itself.

Uptake and scaling:

Scaling up a technology, institution, or organizational system, refers to knowledge that is produced and implemented at large scale and across other contexts.

Scaling out a context-specific technology and/or knowledge refers to its application to other similar contexts.

CGIAR members: Governments and organizations who agree to make financial contributions equal or superior to US\$500 000 participate in the governance of the CGIAR and comply with the charter decisions and policies approved within the CGIAR.

CGIAR stakeholders: Institutions and organizations that have a legitimate interest in the CGIAR and its products.

CGIAR partners: Organizations and institutions that intentionally enter into collaborative action with the CGIAR, as a participant of CGIAR activities (i.e. in analysis, decision-making or implementation), in a shared division of labor, through complementary activities, or by using research outputs. These actions may or may not be supported by formal agreements between the parties.

Strategic partners: Partners that share long-term interests, goals, and objectives with the CGIAR.

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