

Functions in the CGIAR System

High-Level Summary

(Working Document)

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Introduction

- 1. CGIAR's revised governance model, adopted by the Centers and Funders in June 2016, and operational with effect from 1 July 2016, distributes strategic direction, governing, and advisory functions among several entities, reflecting the diversity of stakeholders within the CGIAR System, and the critical importance of ensuring that the voices of CGIAR Partners inform our actions and decisions.
- 2. Built on a strong partnership between CGIAR's Funders and Centers, CGIAR's transformed governance model focuses on enabling the conduct high-quality research for development based on a solid foundation of clearly defined roles, responsibilities and accountabilities.

Key Structures and partnership engagement modalities

- 3. **Structure:** Building upon the comprehensive 2009 CGIAR Reform, the revised governance structure maintains the fundamental elements of:
 - a. A <u>CGIAR Trust Fund</u> a pooled funding mechanism, to serve as a multi-donor funding mechanism used to support the 'CGIAR Portfolio' and system-wide actions and entities
 - A governing body comprised of CGIAR's donors, the System Council –
 A key change is that the 'System Council' includes representation of bilateral donors to increase coordination and strategic coherence among the Funders
 - c. A governing board with the membership elected by the Centers, the CGIAR System Management Board A key change is that 7 of the 9 voting members are Center Directors General or members of Center Boards of Trustees, and this compares to the historical role of non-voting participant.
 - d. An independent International Organization comprised of member Centers, the <u>CGIAR System Organization</u>, which builds on the legal personality of the CGIAR Consortium, thus enabling the rapid movement to the new System (compared to the time required to establishment a new legal entity).
- 4. **Two key documents** define roles, responsibilities and accountabilities:
 - a. **CGIAR System Framework**: Explains the 'CGIAR System' and System Council
 - b. **Charter of the CGIAR System Organization**: Explains the System Management Board and the System Management Office as the two operational elements of the System Organization.
- 5. Two new engagement models reinforce the partnership with Funders:
 - a. <u>From the Framework</u>, **the Partnership Forum** Replacing the 'Funders Forum' and Co-Chaired by the Centers and the Funders as a key evolution.
 - b. <u>From the Charter</u>, **the 'General Assembly of the Centers'** A forum for the CGIAR Research Centers to discuss issues related to the CGIAR System and the CGIAR System Organization, which meets at least once per year.

- 6. The General Assembly of the Centers is an important linking mechanism for the CGIAR System as a whole, by reason that its functions include:
 - a. Nominate for election all candidates for members of the System
 Management Board in accordance with the agreed upon process and criteria;
 - b. **Elect a Chair of the General Assembly of Centers**;
 - c. Approve a mechanism based on a proposal from the System Management Board for determining the contribution of each Center to the operating budget of the System Organization;
 - d. **Receive the reports** of the Chair of the System Management Board and of the Executive Director of the System Organization;
 - e. **Consider proposed amendments to the Charter**; and
 - f. Approve the Center representatives to serve on the System Council.

Functions

- 7. **Allocating decision making roles, responsibilities and accountabilities:** Within the Framework and Charter, the System Council, the System Management Board and, in its facilitating and coordinating role, the System Management Office have, respectively, 34, 49 and 38 specific functions, variously aligned under 6 broad headings or themes.
- 8. The 'Guiding Principles of the CGIAR System' (Annex 1 to the Framework) explain the rationale of this approach, namely to:
 - a. **Facilitate unambiguous interpretation** of respective roles, responsibilities, accountabilities and oversight functions
 - b. Assign responsibilities to those entities that can most efficiently and effectively fulfill them
 - c. Increase the capacity of CGIAR System entities to **demonstrate accountability** to its ultimate beneficiaries
 - d. Better manage potential conflicts of interest.

Exploring the functions of the System Council and System Organization

- 9. Table 1 below takes the 6 functional headings from the Framework and identifies the respective function of the System Council, System Management Board and System Management Office.
- 10. Taking note of the System Management Office's supporting role for the System Council, System Management Board and General Assembly: Articles 11.(b) and (c) of the Charter confirm the supportive role that the System Management Office plays in regard to the organization and support of their respective meetings, meetings of the committees, ad-hoc working groups and task teams. A number of the elements in table 1 below may involve System Management Office facilitation, as determined by the System Management Board.

^{*} Strategic area is as stated in the CGIAR System Framework, with slight modifications in the Charter for the System Management Board and System Management Office)

	Functional areas of responsibility	CGIAR System Framework	Charter of the CGIAR S	ystem Organization
No		System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
A. V	ision, Strategic Directio	n and Advocacy*		
1	CGIAR Strategy and Results Framework ('SRF') and related activities	 Review and approve the SRF, including: initiating foresight activities; approve the process for developing the SRF; and review and approve strategic priorities 6.1(a) Approve strategic action to ensure results and continued relevancy of agricultural research for development, taking into consideration input from the System Management Board 6.1(y) 	 Recommend process for, and oversee the development of, each SRF for approval by the System Council that reflects knowledge of the CGIAR System, and involves participatory processes of national, regional and global partners, and includes relevant inputs from Centers' strategic planning exercises 8.1(a) Contribute to foresight activities led by ISPC 8.1(b) Submit proposed SRF to System Council for approval 8.1(c) Provide recommendations to System Council on strategic action to ensure results and continued relevancy of ag research for development 8.1(mm) 	Coordinate the development of the CGIAR Strategy and Results Framework and support the drafting process 11(a)
2	Advocacy	 Promote a greater recognition of the role of agricultural research in achieving sustainable development in international political fora 6.1(b) Support and guide the CGIAR System's contribution to the SDGs and other relevant global initiatives 6.1(c) Review an annual report from the System Management Office on external relations and outreach 6.1(x) 	 Promote adequate and sustainable investment in international research on food, nutrition, agriculture and the management of natural resources 8.1(d) Support/guide CGIAR System's contribution to the SDGs & other relevant global initiatives 8.1(e) Review an annual report from the System Management Office on external relations AND outreach before submission to System Council 8.1(II) Strategically promote the reputation, mission and activities of CGIAR System 8.1(v) 	 Strategically promote the reputation, mission and activities of CGIAR System 11(k) Communicate role of CGIAR System and undertake advocacy in international political and policy fora related to foot, nutrition, agriculture and the management of natural resources 11(q) Collate knowledge management products as part of system-wide science communications strategy (with Center communicators) 11(r) Prepare an annual report on external relations and outreach 11(dd)

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No		System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
B. G	overnance*			
3	IEA & ISPC	 Approve the Terms of Reference for ISPC and IEA and any other advisory bodies of the System Council that set for their purposes and functions, taking into consideration input from the System Management Board 6.1(e) Select ISPC Chair and members; select Head of IEA; ensure appropriate contracting through a hosting agreement; ensure process for annual reviews 6.1(f), (g) 	 Provide input to the System Council on the Terms of Reference for the IEA and ISPC 8.1(h) Approve hosting arrangements 8.1(u) 	
4	Executive Director of System Organization	Provide input into selection and annual performance review 6.1(d)	Appoint the Executive Director in accordance with a process to be agree with the System Council, and ensure a process for annual conducting performance reviews with System Council input 8.1(f)	
5	CGIAR System* Risk Management Framework	Approve the integrated Risk Management Framework of the CGIAR System* 6.1(I)	Recommend a proposal to the System Council (including financial, reputational, legal, regulatory, operational, and strategic risk) and escalation processes 8.1(t)	 Develop, in consultation with the Centers, the proposal 11(f) Monitor & report on implementation of framework 11(ee)
6	Internal Audit Function	Review and provide input into the TOR and process for fulfilling the Internal Audit Function 6.1(h) Ensure, through the System Council's Audit and Risk Committee ('SC ARC'), that arrangements for the Internal Audit Function provide sufficient system-wide assurance consistent with the risk management framework of the CGIAR System* and those arrangements are appropriately funded 6.1(i)	 Approve TOR and process for fulfilling, considering System Council input and the audit arrangements of Centers 8.1(i) Ensure completeness and effectiveness of arrangements for the Internal Audit Function, taking into account audit arrangements at the Centers and the risk management framework 8.1(j) Approve an annual internal audit plan and appropriate funding 8.1(k) 	Coordinate the development of the proposal 11(g)

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	Internal Audit Function continued	Review findings and follow-up emanating from the Internal Audit Function 6.1(j)	• Keep under review the capacity and quality standards for internal audits to be undertaken by the Centers in conformity with international audit standards and guidelines, including through external quality assurance carried out under the Internal Audit Function 8.1(I)	
			 Provide periodic assurance to the Audit and Risk Committee of the System Council that an effective Internal Audit Function is in place that is consistent with the risk management framework of the CGIAR System 8.1(m) 	
			 Facilitate provision of guidance, technical assistance, and advisory support by the Internal Audit Function when requested by a Center 8.1(n) 	
7	CGIAR Policies that are critical to maintaining the reputation of the CGIAR System*	• Identify and approve 6.1(k)	 Recommend to the System Council 8.1(q) Adopt all necessary CGIAR Policies, procedures, guidelines and research standards, including those relevant to maintaining reputation of CGIAR System* 8.1(r) Monitor compliance with all necessary CGIAR Policies, procedures, guidelines and research standards (part of r) 	Develop, in consultation with the Centers, proposed polices, guidelines and research standards for the CGIAR Portfolio 11(i)
			Take appropriate corrective action when required (part of r)	
8	Dispute resolution		Approve and oversee a mechanism to resolve disputes between the System Organization and Centers and between Centers 8.1(s)	Develop the proposal for the mechanism and monitor implementation of the mechanism 11(j)

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C. Pa	artnership engagement	and resource mobilization*		
9	Partnership Forum and strengthening partnerships	Consider deliberations of each Partnership Forum for enhancing the overall effectiveness and efficiency of the CGIAR System* 6.1(m)	 Convene, set objectives for and consider outcomes from partnership meetings organized by the CGIAR System 8.1(x) Promote active engagement of and collaboration with CGIAR System Partners in the delivery of each Strategy and Results Framework 8.1(w) 	 Organize and prepare for meetings of the Partnership Forum and other system-level partnership meetings 11(p) In collaboration with the Centers create, develop, expand system level partnerships to strengthen support for the CGIAR System's mission & capacity to deliver on CGIAR Research 11(I) Maintain strong collaboration and communication with Centers, the System Council's advisory bodies and CGIAR System Partners 11(s)
10	Resource mobilization * Note – Framework supersedes (and contradicts) the February 2016 agreed role of the System Council as leading resource mobilization efforts	Monitor financial resources to support implementation of each CGIAR Strategy and Results Framework 6.1(n)	 Oversee the development and implementation of proposals for RM and strategic expansion of system-level funding, incl. innovative approaches & mechanisms to stabilize flow of funds 8.1(y) Authorize System Management Office to mobilize resources for System Organization from sources other than the Funders and Centers when consistent with purposes of CGIAR System* 8.1(aa) 	 Develop and implement, in consultation with the Centers, such proposals, including innovative financial mechanisms 11(m) Develop and maintain relationships with the Funders for funding of CGIAR Research 11(n) When authorized, mobilize funding for the System Organization from sources other than Funders and Centers 11(o)
11	Resource projections	To the extent possible, provide timely information on budgetary outlook and anticipated changes in funding levels for the CGIAR Trust Fund 6.1(o)	Monitor provision of funding for the CGIAR System and the financial status of CGIAR Trust Fund based on information from the trustee 8.1(z)	Provide annual forecast of availability of Unrestricted Funding and research program specific funding from the CGIAR Trust Fund (linked to 12 below) 11(bb)

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No	Functional areas of responsibility	System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
D. Fi	nancial and Programm	atic Performance* ('Unrestricted Funding', 'CGIAR I	Research' and 'CGIAR Portfolio' are all defined terms in	Framework and Charter)
12	Prioritization and annual allocation of 'Unrestricted Funding'	 Approve, taking into account advice from the ISPC and proposals from System Management Board, guidelines and criteria for prioritization and for annual allocation of <i>Unrestricted Funding</i> across <i>CGIAR Research</i> based on strategic priorities and performance 6.1(p) Approve allocation of Unrestricted Funding for <i>CGIAR Research</i>, on the advice of ISPC and proposal from the System Management Board 6.1(s) 	 Recommend guidelines and criteria for prioritization and for annual allocation of Unrestricted Funding across CGIAR Research based on strategic priorities and performance 8.1(bb) Recommend to the System Council the allocation of Unrestricted Funding for CGIAR Research 8.1(ee) 	 Develop a proposal for guidelines and criteria for prioritization, taking into account the advice of ISPC and the Centers 11(aa) Develop an annual proposal for allocating unrestricted funding taking into account input from ISPC and Centers (part of 11 above), 11(bb)
13	Proposals for funding from the CGIAR Trust Fund	Approve proposals and indicative funding from the CGIAR Trust Fund within the CGIAR Strategy and Results Framework submitted by the System Management Board 6.1(q)	Recommend proposals and indicative funding requirements for the CGIAR Portfolio 8.1(cc)	 Develop a process for, and guidance on, proposal development in consultation with ISPC & Centers 11(u) Coordinate submission of CGIAR Portfolio proposals and indicative funding for review by the System Management Board prior to submission to its submission to the System Council 11(v)
14	Multi-year Consolidated business plans and budget projections for administrative costs of the CGIAR System	 Approve the process and means by which the plans are prepared, recognizing the collective responsibility of the System Council and the System Organization for such costs 6.1(t) Approve annual work programs and budgets, that includes the System Council advisory bodies and other relevant entities and trustee of the CGIAR Trust Fund 6.1(u) 	 Recommend to the System Council the process for preparation and approval, and the means by which such costs can be financed 8.1(ff) Recommend approval of the annual work plans and budgets for administrative costs for the CGIAR System* 8.1(gg) 	 Develop a proposal for a process for preparation and approval 11(x) Develop for review by the System Management Board, annual work programs and budgets that includes submissions by the System Council's advisory bodies and trustee) 11(y)

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15	Shared services		 Approve proposals and budgets that enhance effectiveness and efficiency and means by which such costs can be financed 8.1(hh) 	Prepare proposals and budgets for submission to the System Management Board 11(z)
16	Work programs and financing plans on CGIAR Research	Review annually and provide strategic guidance to the System Management Board 6.1(r)	Provide annually to the System Council work programs and financing plans on CGIAR Research and seek the Council's strategic guidance 8.1(dd)	Coordinate annual submission of work programs & financing plans for CGIAR Research to System Management Board 11(w)
17	Programmatic performance for CGIAR Research and the CGIAR Portfolio	 Approve an integrated framework for a performance management system for CGIAR Research 6.1(v) Review the annual portfolio analysis and program reports on the CGIAR Portfolio 6.1(w) Review consolidated system-level annual (financial and) programmatic reports on CGIAR Research 6.1(aa) 	 Recommend to System Council a proposal for the integrated performance framework for CGIAR Research developed by the System Management Office in coordination with other system-wide entities 8.1(ii) Review annual portfolio analysis and program reports on the CGIAR Portfolio prepared by the System Management Office and propose to the System Council strategic actions to ensure results and continued relevancy 8.1(jj) Approve the annual portfolio analysis and program reports taking System Council feedback into account 8.1(kk) Oversee implementation of CGIAR Portfolio in accordance with the integrated framework for a performance management system and risk management framework (item 5 above) 8.1(qq) 	 Lead a consultative process to develop the proposal that provides feedback on progress and results and contributes to decisions on the allocation of resources 11(hh) Prepare, in consultation with the Centers, the consolidated system-level annual (financial and) programmatic reports on CGIAR Research, building on information provided by Centers 11(cc) Prepare annual analysis of the CGIAR Portfolio in consultation with the Centers, using an integrated set of criteria developed by the ISPC and the System Council 11(jj)
18	Financial reporting for CGIAR System*	 Approve CGIAR system-wide formats for, and periodicity of, financial reporting for the CIGAR System* in line with internationally recognized reporting standards 6.1(z) Review consolidated system-level annual financial reports on CGIAR Research 6.1(aa) 	 Recommend the formats and periodicity for CGIAR system-wide formats for, and periodicity of, financial reporting 8.1(nn) Review and submit consolidated system-level annual financial (and programmatic) reports on CGIAR Research 8.1(oo) 	 Prepare the proposal for CGIAR system-wide formats for, and periodicity of, financial reporting for CGIAR Research 11(gg) Prepare, in consultation with the Centers, the system-level annual financial (and programmatic) reports on CGIAR Research

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No		System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
	Financial reporting continued		 Approve such reports on CGIAR Research taking into account System Council feedback, 8.1(00) Oversee use of Unrestricted Funding and research program-specific funding from the CGIAR Trust Fund for implementation of CGIAR Research in accordance with the performance management system and the risk management framework 8.1(rr) Select and approve the System Organization's independent external auditor 8.1(0) Approve the System Organization annual audited financial statements and submit them to the System Council for information 8.1(p) 	 building on information provided by Centers 11(cc) Maintain a repository of information provided by the Centers on the Centers' financial systems and controls that are in place to ensure proper use of funds 11(e) Provide the trustee with information needed to carry out its responsibilities, including instructions for transfer of funds for CGIAR Research 11(h) Monitor implementation and use of Unrestricted Funding and research program specific funding from the CGIAR Trust Fund in accordance with the agreed integrated framework for performance management 11(ii)
19	Corrective action under funding agreements	Review information on corrective actions taken under Center funding agreements and the risk management framework 6.1(bb)	Ensure corrective action is taken, and inform the System Council accordingly 8.1(pp)	Initiate corrective action as directed by System Management Board and in accordance with the funding agreements with the Centers and the risk management framework 11(ff)
E. Ev	valuations and Impact A	Assessment*		
20	Evaluation plans	 Approve a cost-effective multi-year evaluation plan proposed by IEA covering evaluation of the CGIAR Portfolio 6.1(cc) Review and endorse IEA evaluations of the CGIAR Portfolio, functions and structures, taking into account input from the System Management Board and Center management responses 6.1(ff) 	 Review IEA evaluations of the CGIAR Portfolio, functions and structures and provide comments to the System Council for its consideration 8.1(tt) Coordinate management responses to the System Council on IEA periodic (8-10 years) independent evaluations on the effectiveness of the CGIAR System to deliver on CGIAR's mission and vision 8.1(uu) 	 Coordinate preparation of a management response to the System Council on system- wide evaluations 11(kk) Monitor implementation of decisions arising from evaluations of CGIAR Research 11(II)

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No	Functional areas of responsibility	System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
	Evaluation continued	In consultation with the System Management Board, work toward cost-effectiveness and complementarity in the overall system of evaluations reviews at all levels 6.1(hh)	In consultation with the System Council work toward cost-effectiveness and complementarity in the overall system of evaluations reviews at all levels 8.1(ww)	
21	Periodic reviews of Centers and/or the CGIAR System	Endorse plans coordinated by the System Management Board, with input from IEA, to periodically commission governance and management of Centers to compliment the evaluations of the CGIAR Portfolio 6.1(dd) Request IEA to commission periodic (8-10 year) evaluations of the CGIAR System and recommend follow-up action 6.1(ee)	Coordinate with Center Boards and IEA plans to periodically commission such reviews, to complement other evaluations of the CGIAR Portfolio and submit such plans to the System Council for endorsement 8.1(ss)	
22	Ex-post impact assessment	Approve plans and financing of such assessments of the CGIAR Portfolio as proposed by the ISPC 6.1(gg)	Review plans for, and financing of, ex-post impact assessment of the CGIAR Portfolio proposed by the ISPC and provide comments to the System Council for consideration 8.1(vv)	
F. Ef	fective governance sys	tems and broader functions	,	,
23	Effective governance	•	Establish committees as necessary and appoint the members of such committees 8.1(g)	Support the System Council and the System Management Board, and organize and support their respective meetings, and meetings of their committees, ad hoc working groups and task teams 11(b) Support the General Assembly of Centers 11(c) Monitor implementation of System Council and System Management Board decisions 11(d)

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No		System Council (34 functions, Article 6.1)	System Management Board (49 functions, Article 8)	System Management Office (38 functions, Article 11)
24	Other functions	Exercise any other functions attributed to the System Council it in the Framework or the Charter 6.2	Exercise such other functions as are decided by the General Assembly to the extent that they do not conflict with Article 8.1 of the Charter 8.2	Negotiate contractual arrangements to which System Organization is a party 11(t)

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