

2nd consultation draft - Terms of Reference for the System Council's Strategic Impact, Monitoring & Evaluation Committee

Purpose

This paper presents, as [Appendix A](#), the second consultation draft of a Terms of Reference for the System Council' Strategic Impact, Monitoring & Evaluation Committee ('SC SIMEC') as shared with the System Council on Monday 20 March 2017.

This second draft was prepared based on inputs received by 16 March 2017 on a preliminary draft, and the accountability matrix detailing how those inputs have been considered is presented as [Appendix B](#) of this document for reference.

Action Requested

The Board is invited to provide strategic inputs on the draft TOR to feed into the development of the final version due to be sent to the System Council on 4 April 2017 for approval.

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Document 1
For input by 27 March 2017
Issued: 20 March 2017

DRAFT 2 - Terms of Reference for the Strategic Impact, Monitoring & Evaluation Committee

Purpose

This document provides, for System Council review and inputs, a 2nd draft Terms of Reference for the System Council's Strategic Impact, Monitoring and Evaluation Committee ('SIMEC'), based on inputs received by 16 March on the 1st draft.

**** Action requested: System Council participants are invited to review and provide any comments on this Draft 2 version of the SIMEC Terms of Reference by Monday 27 March 2017.** To aid in review, a companion document, titled "Accountability Matrix" sets out inputs received and how the System Management Office is proposing that those inputs be addressed.

Items that are shown in [yellow square brackets] are highlighted for specific input having regard to the comments in the "Accountability Matrix".

Document category: Working document of the System Council

There is no restriction on the circulation of this document

Prepared by: CGIAR System Management Office based on a 1st draft prepared by participants of the Fund Effectiveness Working Group, and based on inputs received on that draft by 17 March 2017 from the System Council's members and Active Observers.

Doc 1 – For inputDraft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee
Draft 2 – 20 March 2017

Background

1. At the Council's 3rd meeting on 23 November 2016, an action was agreed that the *"System Management Office will support establishment of the System Council's Strategic Impact, Monitoring and Evaluation Committee (as contemplated by Article 8.2(a) of the CGIAR System Framework), building on the work that has been done to date by the Fund Effectiveness Working Group ('FEWG'), and seeking System Council endorsement of the Terms of Reference as soon as possible, in order that the committee can take up its key role."*¹
2. Over the period December 2016 and January 2017, members of the FEWG developed an initial draft terms of reference for consideration by System Council members ("Draft 1").
3. Draft 1 has been revised based on input received by 17 March 2017. The revised draft Terms of Reference ("Draft 2") is set out at Appendix 1 to this paper. In addition to the potential revisions that are shown in "track changes", a very small number of other grammatical changes were made, which are not shown.
4. In seeking to develop Draft 2 on a transparent basis, the Office has adapted the principle of taking up language from the CGIAR System Framework ("Framework") and then highlighting for the System Council areas that may benefit from additional comments, particularly where the inputs on Draft 1 had different language from the Framework. This document is shared in Word format, with track changes included to show deletions and additions.
5. Based upon the 'Information Presentation' circulated on 3 March 2017, current planning is for the following dates to apply to the Council's review and approval of the SIMEC TOR. The current step is highlighted in the table below.

No	Dates	Step
1	6 – 13 March 2017	System Council opportunity to provide first round of inputs on Draft 1 SIMEC TOR by 13 March 2017
2	14 March 2017	System Management Office ('Office') collate all inputs, make proposed edits, and prepare Draft 2 SIMEC TOR with an accountability matrix of where items were taken up
3	20 - 27 March 2017	<ul style="list-style-type: none"> • Draft 2 of SIMEC TORs sent to SC for further inputs by 24 March 2017 • Simultaneous call for SIMEC member nominations* from System Council membership

¹ Action point SC/M3/AP2, System Council's 3rd meeting (23 November 2016)

Doc 1 – For inputDraft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee
Draft 2 – 20 March 2017

No	Dates	Step
4	27 – 31 March 2017	<ul style="list-style-type: none"> • SC Chair consideration of SC member nominations for SIMEC and consultations with SC members • Final edits made by Office to proposed SIMEC TOR based on second round of System Council inputs
5	4 – 20 April 2017	Voting period for SIMEC TOR and SIMEC members by System Council, as proposed by System Council Chair based on prior deliberations
6	28 April 2017 (TBC)	Proposed first virtual meeting of SIMEC to consider IEA and ISPC Terms of Reference, based on System Council inputs.

Doc 1 – For inputDraft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee
Draft 2 – 20 March 2017Appendix 1 - Proposed SIMEC Terms of Reference²(as prepared by participants in the Fund Effectiveness Working Group³ and revised based on inputs received by 16 March 2017 from System Council members and Active Observers)**[Explanations for suggested changes are provided in the companion document number 2, an Accountability Matrix]**

A. Purpose

1. The Strategic Impact, Monitoring and Evaluation Committee ('SIMEC') is a standing committee of the System Council. Its purpose is to assist the System Council in: (1) reviewing research program evaluations; (2) overseeing the strategic direction and efficiency of the System Organization; and (3) monitoring efficiency, effectiveness and impact of CGIAR Research.

Deleted: (3) assessing the effectiveness of the system costs;

Deleted: 4

B. Roles & Responsibilities

2. Strategy and Results Framework. The SIMEC shall advise and make recommendations to the System Council in areas related to the System Council's:
 - a. Review and approval of the CGIAR Strategy and Results Framework (SRF) submitted by the System Management Board, including: (1) requesting relevant foresight activities; (2) approving the process for developing the SRF; and (3) approving System-level strategic priorities.
3. Advisory Bodies of the System Council. The SIMEC shall advise and make recommendations to the System Council related to the System Council's:
 - a. Approval of the Terms of Reference for the Independent Science and Partnership Council ("ISPC") and the Independent Evaluation Arrangement ("IEA") and any other advisory bodies or committees of the System Council that set forth their purposes and functions related to strategy, impact, monitoring, or evaluation;
 - b. Role in the selection of the ISPC Chair and members;
 - c. Role in the selection of the Head of IEA.

² Refer to Article 8.2(b) of the Framework for the formal statement that the System Council will have two standing committees, one of which is the *Strategic Impact, Monitoring and Evaluation Committee*. <http://library.cgiar.org/bitstream/handle/10947/4371/CGIAR%20System%20Framework%20-%20WEB.pdf?sequence=4> The Charter of the CGIAR System Organization also contemplates a standing committee of the same name to be formed by the System Management Board.

³ Participants in the Fund Effectiveness Working Group include: Australia, BMGF, Germany & Belgium, United Kingdom, United States, World Bank, and FAO, with the support of the independent Chair, Sara Boettiger.

Doc 1 – For input

Draft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee

Draft 2 – 20 March 2017

4. Governance Related to Strategy, Impact, Monitoring and Evaluation. The SIMEC shall advise and make recommendations to the System Council related to the System Council's:

- a. Approval of CGIAR Policies related to **strategy, impact**, monitoring and evaluation that are critical to maintaining the reputation of the CGIAR System.

Deleted: (e.g. CRP Governance, Intellectual Property, CRP Evaluations, other impact studies, etc.).

5. Performance Management and Reporting. The SIMEC shall advise and make recommendations to the System Council related to the System Council's:

- a. Oversight of CGIAR's performance indicators—methodology and targets—to assess CGIAR's performance with respect to the strategy and research portfolio;
- b. Annual review of work programs and financing plans on CGIAR Research, as proposed by the System Management Board, and provision of strategic guidance to the System Management Board;
- c. **Review and approval of an integrated framework for a performance management system for CGIAR Research;**
- d. Review and approval of relevant System Entities' (i.e. ISPC, IEA etc.) work program and budget;
- e. Review of the annual portfolio analysis and program reports on the CGIAR Portfolio.

6. Evaluations and Impact Assessment. The SIMEC shall advise and make recommendations to the System Council related to the System Council's:

- a. Approval of a cost-effective multi-year evaluation plan proposed by IEA covering evaluation of the CGIAR Portfolio and the structures and functions of the System [Organization];
- b. Review and endorsement of IEA evaluations of the CGIAR Portfolio, functions and structures, taking into account input from the System Management Board and Center management responses;
- c. **Monitoring effective implementation of ISPC and IEA recommendations with regards to CGIAR Research Programs ("CRPs") and Platforms;**
- d. Oversight of work toward greater cost-effectiveness and complementarity in the overall system of evaluations and reviews at all levels;
- e. Endorsement of plans coordinated by the System Management Board, with input from IEA, to periodically commission governance and management reviews of Centers to complement the evaluations of the CGIAR Portfolio;
- f. Requests to IEA to commission periodic (8 to 10 years) independent evaluations of the effectiveness of the CGIAR System to deliver on CGIAR's vision and mission, and after considering the results of the evaluation and responses, recommend strategic follow-up action;

Deleted: (e.g. EPMR – External Program Management Reviews)

Doc 1 – For input

Draft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee

Draft 2 – 20 March 2017

- g. Approval of plans and financing of ex-post impact assessment of the CGIAR Portfolio proposed by the ISPC after consultation with the System Management Board.

7. Other. The SIMEC shall advise and make recommendations to the System Council related to the System Council's:

- a. Exercise of any other functions, at the discretion of the System Council, with a three-quarters majority vote of the System Council needed to give additional roles or responsibilities to the SIMEC.

C. Composition

8. Membership. Membership of the SIMEC shall be composed of a maximum of nine (9) members including the following:

- a. a Chair; and
 b. no more than six (6) representatives who are members of the System Council, and who hold seats at the System Council as either donors or development agencies; and
 c. no more than two (2) developing country representatives.

Deleted: seven

9. Chair. Nominations for the Chair shall be submitted by System Council members. Election of the Chair shall be by a three-quarters majority vote of the System Council. Eligible nominees may be independent [persons with full understanding of the constraints under which the System's funders operate] or System Council members. Compensation (if any) for the Chair must be determined by the System Council and approved by a three-quarters majority vote of the System Council.

10. Skills and experience. Members shall have the following experience and skills:

- a. Knowledge of CGIAR, its vision, mission, goals, objectives, and processes;
 b. Experience in evidence-based strategic planning in agricultural research and development organizations; and
 c. Familiarity with results frameworks, impact assessment, programmatic evaluation, and programmatic reporting.

Deleted: evaluation

11. Terms of members. Each SIMEC member (including the Chair) shall serve on the committee for a three-year term, with a possible renewal for a second three-year term. Renewal of terms shall be determined by the System Council.

Doc 1 – For input

Draft 2 TOR - Strategic Impact, Monitoring & Evaluation Committee

Draft 2 – 20 March 2017

D. Operations

12. Meetings. The SIMEC shall meet at least twice per year, preferably in-person and prior to System Council meetings. The SIMEC shall meet virtually as determined by the Chair in consultation with the other members.
13. Engagement with other parties: The Chair shall interact regularly with and report to the System Council on the results of the SIMEC's deliberations, as well as any issues relevant to its discussions. The Chair shall also agree on the most appropriate engagement model and coordinate with the Chair of the System Management Board's Strategic Impact, Monitoring and Evaluation Committee, and the Executive Director of the CGIAR's System Organization to ensure effective coordination on inter-linked functions and informed decision making.
14. Disclosing conflicts of interest. Where a member has a conflict of interest on a specific topic under discussion, they will make the circumstances of the conflict known to the SIMEC, to ensure that discussions proceed in an open and transparent manner.
15. Quorum. The Chair, together with a majority of members listed in paragraph 8.b, shall constitute a quorum for the transaction of business.
16. Meeting support. The System Organization's budget for system costs must include the cost of reasonable support for the SIMEC operations to ensure its efficient and effective functioning.
17. Access to expertise, including consultants. The SIMEC, in fulfilling its duties under these TOR will draw on expertise from the System Management Office, IEA and ISPC, and subject to budget resources permitting, external consultants, individuals and institutions as appropriate considering direction, if any, provided by the System Council.
18. Delegation of Authority. The SIMEC shall have the power to delegate on an exceptional basis its authority and duties to the Chair or individual committee members as it deems appropriate. Individual SIMEC members may call on members of their own constituency to support them in their role as a SIMEC member, provided that it is the member who is participating in SIMEC meetings and deliberations.

Deleted: A

Deleted: majority of members

* Note: In Draft 1, paragraph 3 was used twice by numbering error. In this document a "*" is used to denote where a revised paragraph number arises because of that error, or "***" for a wholly new paragraph

Version	Topic	* Paragraph Number	Input received	Input provider	System Council involvement	System Management Office Action on proposal	CGIAR System Framework Article Reference (as applicable)	Additional Comment for System Council reflection on current draft (if relevant)
Part A - General comments received								
Draft 1	Overall	N/A	We have 'No Objection' to the proposed Draft Terms of Reference (Tore) of SIMEC	India	Voting member	N/A		N/A
Part B - Specific inputs								
Draft 1	Mandate	1	Delete "(3) assessing the effectiveness of the system costs"; as this item is not mandated in the Framework document. And add 'efficiency' to reflect the mandate set out in the CGIAR System Framework	Convener of the Center Board Chairs	Ex-officio non-voting member	Incorporated - aligning with the specific language in the Framework	See article 8.2.(b) "a Strategic Impact, Monitoring and Evaluation Committee, the purpose of which shall be to assist the System Council in review of research program evaluations, oversight of the strategic direction of the System Organization and efficiency, effectiveness and impact of CGIAR Research"	
Draft 1	Mandate	3a and 4a*	The Framework document refers to SIMEC as standing for "strategic impact, monitoring and evaluation", yet the Tore interpret this as <u>strategy, impact, monitoring and evaluation</u> , which has a much broader meaning. This may be a question of interpretation and to avoid misunderstandings we suggest greater clarity is required on the relative roles of the ISPC and SIMEC.	ISPC	Active Observer	Noted.	In the Framework, a number of more general references to strategy and strategic topics are included, and not only "strategic impact" (e.g.: article 6.1. (a) under Vision, strategic and advocacy heading). Article 8.2. (b) on the mandate of SIMEC also makes a reference to ".. oversight of the strategic direction of the System Organization and efficiency, effectiveness and impact of CGIAR Research".	For the System Council to consider if any adjustment should be made to take into consideration the input received.
Draft 1	Roles and responsibilities	4a *	Clarification and revision needed in reference to System Policies which SIMEC will need to approve. The examples given are unclear: e.g. CRP Governance, Intellectual Property, CRP Evaluations, other impact studies, etc. There are no related policies to CRP governance, impact or CRP Evaluations. Also unclear what is meant by "other impact studies".	IEA	Active Observer	Incorporated by taking out all examples to not list Policies that perhaps do not exist.	See article 6.1.(k) "identify and approve those CGIAR Policies that are strategic, system-wide policies that are critical to maintaining the reputation of the CGIAR System"	Based on the Framework, it is suggested that it will be for the System Council to identify the relevant Policy (or Policy gap) and put that before the SIMEC to take the lead on development/revision.
Draft 1	Roles and responsibilities	5b *	A clearer distinction is needed between the work of the SIMEC at the SMB level and that of the SC-SIMEC. As it currently is stated, the work of SC-SIMEC seems to duplicate that of SMB-SIMEC. With respect to reviewing CRP level annual plans. In our view, this should primarily be the responsibility of SMB-SIMEC. SC-SIMEC should advise SC on SMB proposals, especially in relation to financial decisions on CRPs.	IEA	Active Observer	Incorporated - aligning with the specific language in the Framework. It is noted that the SMB will prepare TOR for its own SIMEC once clarity is obtained on the System Council level TOR for the SC-SIMEC. This is to ensure clarity in the different committees, and avoid duplication.	See article 6.1. (r) "review annually work programs and financing plans for CGIAR Research and provide strategic guidance to the System Management Board on CGIAR Research " in conjunction with Charter Article 8.1. dd "provide annually to the System Council work programs and financing plans on CGIAR Research and seek the Council's strategic guidance "	
Draft 1	Roles and responsibilities	5c* and 6c *	Some of the roles and responsibilities go beyond what was agreed in the Framework document (which limited SIMEC to strategic impact, monitoring and evaluation) and thereby create a very broad remit for SIMEC. From experience, we can say that the tasks listed for SIMEC will require a considerable level of resource and some also duplicate tasks which we believed were to be expected of ISPC or the SMO. The ISPC is an independent body reporting directly to the System Council and it is not clear why an additional layer of governance between the ISPC and the SC is thought to be necessary. For example 4c and 5c. (sic, now 5c and 6c in draft 2)	ISPC	Active Observer	Paragraphs 5c and 6c are highlighted.		The System Council is invited to consider whether there should be a drafting change.
Draft 1	Roles and responsibilities	6 *	SIMEC TORS also need to reference "impact assessments" rather than "impact evaluation" or "impact studies", as per CGIAR terminology used.	IEA	Active Observer	Incorporated. Added 'impact assessment' to the heading to take up language in the headings of the Framework	See "Evaluations and Impact Assessment" heading on page 9 as part of Article 8 of the Framework	



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Draft 1	Roles and responsibilities - Evaluations	6a *	Add bolded text to end of phrase: Edit: Approval of cost-effective multiyear evaluation plan proposed by IEA covering evaluation of the CGIAR portfolio, and the functions and structures of the CGIAR system	IEA	Active Observer	Incorporated partially. Revised text in 6.a is taken from the Framework.	See article 6.1.(cc) " <i>approve, in consultation with the System Management Board, a cost-effective, multi-year evaluation plan proposed by IEA covering evaluations of the CGIAR Portfolio and the structures and functions of the System Organization</i> "	The Office suggests that the inclusion of "Organization" may have been a drafting error in the Framework. The Council is invited to consider whether, on a natural reading, the sentence should read as is proposed by the IEA.
Draft 1	Roles and responsibilities	6b *	Add bolded text - "Review and endorsement (or otherwise) of IEA evaluations of the CGIAR Portfolio, functions and structures, taking into account input from the SMB and Center management responses "	Convener of the Center Board Chairs	Ex-officio non-voting member	Incorporated partially. Revised text is taken from the Framework	See article 6.1. (ff) " <i>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</i> "	
Draft 1	Roles and responsibilities	6c *	SIMEC TOR include no reference to SIMEC having any role in impact assessment, although impact assessment is mentioned in several places. <i>In our view, SC-SIMEC should receive reports on SPIA's results, provide comments on SPIA's strategy</i> , and periodically discuss the coverage of impact assessment in the System and its adequate resourcing. Currently this is not reflected in SIMEC's work on indicators and annual reporting.	IEA	Active Observer	Noted. SPIA is formally a sub-group of the ISPC.		For System Council to consider whether to include an express reference to the Standing Panel on Impact Assessment (SPIA) in this paragraph, or whether a reference to ISPC is sufficient.
Draft 1	Roles and responsibilities	6e *	Delete reference to EPMRs. There needs to be a clear distinction between programmatic evaluations (carried out by IEA through research evaluations) and Center based evaluation which focuses only on governance and management (as clearly stated in the Charter and Framework). The current phrasing, with reference to EPMRs (which were programmatic assessments) should be deleted	IEA	Active Observer	Incorporated. Language is aligned with Framework, and as for 4.a, examples are taken for consistency.	See article 6.1. (dd) " <i>endorse plans coordinated by the System Management Board, with input from IEA, to periodically commission governance and management reviews of Centers to complement the evaluations of the CGIAR Portfolio</i> "	
N/A	Roles and responsibilities	6f *	N/A	N/A	N/A	N/A	See article 6.1. (ee) " <i>Request the IEA to commission periodic (8 to 10 years) independent evaluations of the effectiveness of the CGIAR System to deliver on CGIAR's vision and mission, and after considering the results of the evaluation and responses, recommend strategic follow-up action</i> "	Suggested to include this new paragraph based on language in Framework, which item was not included in Draft 1, to cover all Council's Evaluation and Impact Assessment functions
N/A	Roles and responsibilities	6g *	N/A	N/A	N/A	N/A	See article 6.1. (gg) " <i>approve plans and financing of ex-post impact assessment of the CGIAR Portfolio proposed by the ISPC after consultation with the System Management Board</i> "	Suggested to include this new paragraph based on language in Framework, which item was not included in Draft 1, to cover all Council's Evaluation and Impact Assessment functions
Draft 1	Composition	8	The membership could also include 2 developing country representatives, so 6 + 2 + 1 model, without changing quorum	EIARD	Voting Member consultative group	Incorporated for System Council consideration based on membership blend in System Council voting members.	Article 3, membership of System Council	The System Council is invited to consider this revision.
Draft 1	Chair	9	For effective interaction with other System entities, the chair of a SC standing committee needs to be an SC member, with full understanding of the constraints under which the majority of donors operate.	ISPC	Active Observer	Partially Incorporated, with the ISPC inputs included for any potential independent Chair, without excluding the possibility to have an independent Chair.		The System Council is invited to consider whether it should be that only a System Council member can serve as Chair.

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Draft 1	Skills	10c	Proposed edit: replace impact evaluation, with "impact assessment"	IEA	Active Observer	Incorporated - aligns with language in framework.	As part of Article 8 headings.	
Draft 1	Engagement with other parties	13 **	Greater clarity is also needed in how SIMEC will interact with SMO and SMB – particularly in functions related to monitoring program implementation	ISPC	Active Observer	New paragraph 13 proposed to outline the principle of engagement		The System Council is invited to consider the inclusion of such a paragraph.
Draft 1	Quorum	14	Ties to EIARD input that the SIMEC could include two developing country System Council members, but that this not impact quorum as earlier proposed	EIARD	Voting Member consultative group	Incorporated.		Inclusion of the new drafting will depend on System Council support for developing country representatives to join the SIMEC (paragraph 8 of TOR).
Draft 1	Operations - Meeting support	16	..."reasonable support for the SIMEC operations" - This could be interpreted as more than just 'meeting support'. Need to be clear on what is expected intersessionally and whether SMO is resourced to deliver same. There should not be an additional cost impost on Centers for this.	Convener of the Center Board Chairs	Ex-officio non-voting member	Wording revised to add .." to ensure its efficient and effective functioning"		The System Council is invited to consider this revision.
Draft 1	Delegation of authority	17	For transparency, suggest that SIMEC members are able to call on other members of their constituency to help with SIMEC work load provided that the SIMEC member themselves attends.	EIARD	Voting Member consultative group	Incorporated	N/A	The System Council is invited to consider this revision.
Draft 1	Roles and responsibilities	N/A	An additional note is that numerous tasks listed in the ToR will depend on the implementation / mainstreaming of MEL systems that are not currently in place (although some are foreseen). Presumably SIMEC will have an early role in assessing the additional cost / time/ administrative burden implied prior to their endorsement.	ISPC	Active Observer	Noted.	N/A	Para 6.d. notes the importance of working toward greater cost-efficiency generally.