Taking stock of CRP and Platform governance arrangements

Purpose: To provide a stock take of governance arrangements for the Board to consider.

Action requested: The Board is asked to consider the information presented and provide direction on any further actions needed.

Issued: 4 December 2017

Updated: March 2018
1. The Fund Council 2014 decision on CRP Governance Structure

- The CRP Independent Steering Committee (‘ISC’) is the central decision-making body
- The ISC manages the performance of the CRP Leader, approves the workplan and budget
- On a day-to-day basis the CRP Leader reports to the Lead Center DG
- Center DGs are expected to be members of the ISC, as ex-officio members. Centers DGs can’t represent a majority on the ISC.
- The implementation of the proposed structure is mandatory for the next generation of CRPs. During the extension phase (2015-2016), Lead Centers are invited to consider a progressive transition towards the proposed reporting structure.
2. Birds-eye view of implementation landscape

<table>
<thead>
<tr>
<th>General Outcomes expected</th>
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<tbody>
<tr>
<td>1. High science quality</td>
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<td>2. Decisions are made in an open, transparent and equitable way</td>
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<td>3. Efficient and effective performance</td>
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<td>4. Risks are well managed</td>
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<td>5. Credibility is sustained</td>
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### Category & Main Characteristics

#### Single element and only a few CGIAR Centers involved
- FISH
- WHEAT
- FTA*
- GLDC**
- MAIZE
- Livestock
- RICE

#### Multiple or integrating elements and multiple CGIAR Centers involved
- CCAFS
- WLE
- PIM
- A4NH
- EiB
- Big DATA
- RTB
- Genebanks Platform

### Some specific considerations for meeting governance expectations
- Only small number of Center partners to accommodate
- Still need to balance interest
- Closely aligned with Lead Center program
- Shouldn’t completely replicate Center work
- Large number of Center partners to accommodate
- A number of science elements to keep up with
- Additional need to achieve integration across other parts of the Portfolio
- High need to keep up with state of the art
3a. Governance experiences – Extracted from 2016 IEA’s Synthesis of CRP Evaluations

- “Most CRPs changed their governance structures during the evaluation period, partly in response to Consortium Office-Fund Council instruction…”
- “CRP evaluations show a mixed picture regarding the extent to which the recommended governance structure has been conducive to meeting the governance challenges inherent in the matrix management structure of the CRPs.”
- “A major challenge identified is the ability of the governing bodies to exercise a real oversight function instead of only an advisory function.”
- “One challenge is the potential of ‘organizational capture’. The fact that the Lead Center has the ultimate fiduciary and operational responsibility for the CRP vis-à-vis the funders may create a disincentive to fully share governance and management authority with other Centers and external partners.”
- “..a trade-off was found in limiting the size of the governing body to enhance its effectiveness and ensuring its inclusiveness in terms of representation of participating Centers, independent experts, different types of partners, and representatives of target regions.”
- “Center representatives in governing bodies were found to face potential organizational conflicts of interest (balancing Center interest vis-à-vis CRP interests).
- The evaluations found the Management Committee arrangement to be useful and facilitated implementation of management decisions.
- With few exceptions, the evaluations found that the authority of the CRP Director to be too limited, although a trend towards allocating more authority to the CRP Director was observed.”
3b. Governance experiences through different stakeholder lenses

**Centers**
[Source: Inaugural General Assembly of Centers, January 2017]

- Considerable confusion, and thus operational risk, in terms of the multiple views across the System on where oversight responsibilities rest in respect of the CRPs.
- Need for review of the ongoing role of Independent Steering Committees to better reflect the advisory nature of those groups, and the fiduciary responsibilities carried by the Lead Center.

**CRPs**
[Source: Science Leaders’ Meeting, June 2017]

- CRPs are diverse, so diversity in governance and management is fine.
- CRP- Independent Steering Committees are necessary for:
  - Providing checks and balances across CRP CGIAR and non-CGIAR partners
  - Supporting the management of conflicts of interest
  - Helping to develop and sustain the CRP Research and Development scope (which is not necessarily same as the Center research scope)
  - Providing dedicated programmatic guidance (which is not currently true of Boards of Trustees)
- CRP Management Committees should be continued as they assure learning on how to manage, how to connect/engage Cluster of Activity Leads and determining number of clusters.

**System Organization**
[Sources: System Management Board meetings- SMB4, 5, 6]

- The System Management Board is concerned with:
  - Mechanism for equitable budget allocation based on agreed contributions
  - The ability to manage risks
  - Clear roles and responsibilities of structures involved in governance of CRPs and Platforms
  - High quality science and strong science advice being brought to bear on CRP fund usage.
4a. Governance/management structures/reporting lines: requirements and reality

The requirements indicate that each CRP should have the following governance and management structures:

A single Independent Steering Committee (ISC) that reports directly to the Lead Center Board on performance of the CRP

A CRP Leader, hired by the Lead Center Board upon recommendation of a hiring committee established by the ISC, that reports programmatically to the ISC and administratively to the Lead Center DG

A CRP Management Committee, chaired by the CRP Leader

The reality appears to be:

+ Each CRP does have an ISC
  - Majority indicate a direct reporting line to Lead center Board, but not all (e.g. PIM)

+ Each CRP has a dedicated CRP Leader, with some having an additional CRP Management position
  - Difficult to determine the reality of the dual reporting: programmatically to the ISC and administratively to the Lead Center Director General.

+ All CRPs have a Management Committee (some slightly varying names), chaired by CRP Director, reporting to DG administratively and ISC programmatically
4b. Snapshots of governance structures and reporting lines

Example of ISC with reporting line to BoT: WHEAT

Example of ISC reporting line through Lead center DG: PIM
5a. Committees’ composition: requirements and reality

**Independent Steering Committee**

**The requirements:**
- Balanced governing body with a high level of expertise, inclusiveness and independence
- A majority of independent members (external to CRP), including the Chair;
- Partner and stakeholder representation, including
  - The Lead Center Director General as an ex officio member;
  - The CRP Leader as an ex officio member;
  - 2 or 3 participating Center Directors General (who cannot represent a majority on the ISC) whose role should be to represent all participating Centers.

**What appears to be reality:**
* A variety of ISC models have emerged
- Varying ratios of independent to CGIAR
- An apparent confusion over the term *ex-officio*, with a huge variability in the role expressed for the Center Director Generals and CRP Leaders in the ISC.
- Accommodation of partner Center Director Generals in ISC is variable.
- No examples of Center DGs representing a majority, but cases of Center representatives (BoT members+ DGs+ other) being a majority.

**Management Committee**

**The requirements:**
- CRP Management Committee should be made up of Flagship Leaders and other Principal Investigators of each of the strategic partners.
- The Management Committee should include the gender research coordinator or other senior research PI with expertise in gender research.

**What appears to be reality:**
+ Composition generally reflects representation of participating Centers, Flagship Program leadership and other strategic partners (non-CGIAR)
- Little indication of a gender research coordinator or gender research expertise
5b. Snapshots of ISC Composition

(based on publicly-available information)

**Livestock CRP:**
- 6 independent members; no members from CRP partner Centers

**Suggests no inclusion of Center partners; unclear how Lead Center DG and CRP Director are involved**

**Requirement:**
- A majority independent members + Lead Center DG, CRP Leader and 2-3 participating Center DGs

**FTA CRP:**
- 9 members=
  - 5 independent members +
  - 4 FTA-affiliated members

**RICE CRP:**
- 6 Independent members + 7 Center members (BOT & DG reps)

**2 IRRI BOT**
**2 AfricaRice BOT**
**1 CIAT BOT**
**1 DG IRRI**
**1 DG AfricaRice**
6a. ISC roles and responsibilities*: requirements and reality

In the guidance for second call for CGIAR Research programs, the requirements set out that:

The ISC is the central decision-making body of the CRP.

As such its responsibilities include:

1. Providing strategic direction to, and oversight of, the CRP, including priority setting and the evaluation of results;
2. Approving the program of work and budget developed by the CRP’s management committee;
3. Overseeing external evaluations of CRP programs and activities;
4. Maintaining awareness of stakeholder perspectives and needs;
5. Serving as an expert resource to the CRP and the senior management team
6. Managing performance of CRP Director

Reality appears to be**:

- Variability of how these responsibilities are included and described in the ToR of each ISC.
- Inconsistencies found in the type of responsibility on program of work and budget. (See snapshots on next slide).
- The responsibility of ‘managing performance of CRP director’ has mainly been interpreted as the ISC providing advice and inputs to Lead Center DG on performance and hiring.

**Note: Most information comes from the Terms of Reference with few meeting summaries available to explore the reality of ISC activities being undertaken.

* Note: No responsibilities were set out for CRP Management Committees
6b. Snapshots of ISC roles and responsibilities

1. Spectrum of responsibilities related to POWB

   - “a formal review and approval of A4NH’s plan of work and budget” (A4NH)
   - “Formulates recommendations on strategic priorities and plans, including endorsement of budgets” (WLE)
   - “Reviewing the POWB prepared by the Flagship Leaders and the Program Management Committee, and providing a report to the ILRI Board” (Livestock)
   - “To consider annual business plans and review proposed annual budget allocation and provide advice to the CIAT Board of Trustees” (CCAFS)

2. Who does assessment of CRP Director performance

   ISC assesses performance
   - Lead Center DG assesses performance with inputs from ISC

   - **A4NH** (5 Center partners)
   - **Livestock** (3 Center partners)
   - **WHEAT** (2 Center partners)
   - **FISH** (2 Center partners)
   - **RTB** (4 Center partners)
   - **CCAFS** (15 Center partners)
   - **RICE** (3 Center partners)
   - **FTA** (3 Center partners)

   **Note:** No information found for WLE (11 Center partners), PIM (15 Center partners), MAIZE (2 Center partners)
7a. How expectations of good governance is being implemented

<table>
<thead>
<tr>
<th>Expectations</th>
<th>Reality</th>
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| Ensure that the CRP governance is **free of conflict of interest** (legitimacy and independence) | A few policies and/or decision-making mechanisms can be found that directly address conflict of interest. Examples include:  
  i. adaptation/use of mechanism from Lead Center Board (A4NH)  
  ii. a specific ISC Conflict of Interest policy (FTA, CCAFS)  
  iii. a statement on declaring conflicts of interest in ToR (WLE) |

**Assure transparency** in the work of CRP governance bodies by making available on CRP websites current membership information, meeting documents and other decision-making information.  
See next slide for a snapshot of transparency in terms of what was suggested should be on CRP websites.
7b. Snapshots of transparency via websites

<table>
<thead>
<tr>
<th>CRP</th>
<th>Membership</th>
<th>Meeting documents</th>
<th>Other decision-making information</th>
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</thead>
<tbody>
<tr>
<td>A4NH</td>
<td>✓ Full bios</td>
<td>* ISC meeting documents not yet available but agenda and notes of IAC (precursor to ISC) available</td>
<td>- Short description of role, reporting &amp; responsibilities but no ToR or other documents found</td>
</tr>
<tr>
<td>CCAFS</td>
<td>✓ Full bios</td>
<td>* Section for 2017 meetings- but none available</td>
<td>✓ ToR and Conflict of Interest Policy</td>
</tr>
<tr>
<td>FISH</td>
<td>✓ Full bios</td>
<td>✗ No meeting documents found</td>
<td>- Short description of role, reporting and responsibilities but no ToR or other documents found</td>
</tr>
<tr>
<td>FTA</td>
<td>✓ Full bios</td>
<td>✓ *</td>
<td>✓ Description plus ToR, Conflict of Interest Policy, call for appointment of independent members</td>
</tr>
<tr>
<td>Livestock</td>
<td>* On Program wiki name/institute/country/area of expertise</td>
<td>* No meeting documents available yet as first ISC meeting 11-13 December 2017.</td>
<td>* On Program wiki ToR, ISC orientation and other background documents available</td>
</tr>
<tr>
<td>MAIZE</td>
<td>✓ Short bios</td>
<td>✗ No meeting documents found</td>
<td>- Short description of role, reporting &amp; responsibilities but no ToR or other documents found</td>
</tr>
<tr>
<td>PIM</td>
<td>✓ Links to info</td>
<td>✗ No meeting documents found</td>
<td>✓ Short description and document on ‘Who does what in PIM’</td>
</tr>
<tr>
<td>RICE</td>
<td>✓ Name, position and institution</td>
<td>✓ ISC Meeting Minutes</td>
<td>- Short description of role, reporting and responsibilities but no ToR or other documents found</td>
</tr>
<tr>
<td>RTB</td>
<td>✓ Full bios</td>
<td>✗ No meeting documents found</td>
<td>✗ No description of ISC or other documents found</td>
</tr>
<tr>
<td>WHEAT</td>
<td>✓ Full bios</td>
<td>✗ No meeting documents found</td>
<td>✓ Description plus WHEAT Governance Handbook and Governance structure graphic</td>
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<tr>
<td>WLE</td>
<td>✓ Full bios</td>
<td>✗ No meeting documents found</td>
<td>✗ No description of ISC or other documents found</td>
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*Site created since original issue of this presentation and all past meeting summaries are accessible.
8a. Way forward- some possible options

A. ‘Wait-and-see’ approach: Leave the current implementation as is, review the situation after more time for implementation of this current phase, and consider any necessary changes at start of a new business cycle.

B. Gentle nudge approach: Providing minimum expectations and guidance on good governance of CRPs and Platforms to influence/strengthen current implementation and pick up best practices from others, plus refining reporting opportunities to capture more information on governance practices and outcomes. Then consider any necessary changes at start of a new business cycle.

C. Compliance approach: Agreeing that the existing requirements are still relevant for achieving desired governance outcomes and re-issuing them with highlights of how they can be more closely followed. Stronger monitoring to be set up to be able to check on compliance.

D. Change approach: Using lessons learned from stock take of current implementation consider key governance outcomes desired and how these can be best met; revise/develop requirements for CRP and Platform governance arrangements (perhaps with differentiated approach), and plan an appropriate process and timing for these to be implemented and monitored.
8b. If a “change approach” is desired, two possible pathways to consider

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<thead>
<tr>
<th>What would this mean for:</th>
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<td></td>
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<tr>
<td>A PERMISSIVE ROUTE</td>
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<td>A PRESCRIPTIVE ROUTE</td>
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<tr>
<td>Overall approach</td>
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<tr>
<td>• Lifting requirements for a single approach</td>
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<tr>
<td>• Recognizing that there are different governance needs of programs/platforms</td>
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<tr>
<td>• Allowing for different models to meet governance needs and expectations</td>
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<tr>
<td>• Lifting requirements for a single approach</td>
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<tr>
<td>• Recognizing that there are particular governance needs for certain types of programs/platforms</td>
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<tr>
<td>• Developing some appropriate models to meet the specific governance needs of particular types of programs/platforms for achieving expected governance outcomes</td>
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<tr>
<td>Expectations</td>
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<tr>
<td>Minimum (outcome) expectations</td>
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<tr>
<td>Minimum (outcome) expectations</td>
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<tr>
<td>Requirements</td>
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<tr>
<td>Guidance given</td>
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<td>Detailed requirements provided</td>
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<tr>
<td>Governance structures and reporting lines</td>
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<tr>
<td>Open to choice</td>
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<tr>
<td>Differentiated governance models for particular categories of programs/platforms, with specific structures, composition and reporting lines outlined</td>
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<tr>
<td>Responsibilities</td>
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<tr>
<td>Open to choice</td>
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<tr>
<td>Specific types and levels of responsibilities defined for each governance model</td>
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<td>Governance practices (e.g Col)</td>
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<tr>
<td>Key principles provided</td>
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<tr>
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<tr>
<td>Reporting</td>
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<tr>
<td>Programs/Platforms to demonstrate that governance arrangements are delivering the minimum expectations.</td>
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<tr>
<td>Monitoring the prescribed governance is in place through reporting requirements.</td>
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