

## Funding Standing Panel on Impact Assessment (SPIA)

### Purpose

This document sets out a recommended mechanism to facilitate the provision of funding to support SPIA-related activities through Window 2 of the CGIAR Trust Fund.

Following the System Council's agreement at its 7<sup>th</sup> meeting that SIMEC would work with the System Management Office on the means of funding of the approved SPIA budget, the System Management Board ('SMB') considered, at their 13<sup>th</sup> meeting on 2-3 April 2019, a range of possible options for the funding of SPIA activities for the 2019-2021 period.

The Board endorsed the option of establishing a module of the CGIAR Platform for Big Data in Agriculture, the background to and rationale for which is set out in this document (noting that it is the role of the SMB, under Charter of the CGIAR System Organization to "recommend proposals and indicative funding requirements for the CGIAR Portfolio").

### Action Requested

The System Council is requested to review, and if thought appropriate approve the mechanism set out in this document such that the program activities of SPIA are classified as a new module, 'Improving and institutionalizing collection of data', to be administratively assigned to the CGIAR Platform for Big Data in Agriculture.

### **Document category: Working document of the System Council**

There is no restriction on the circulation of this document

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## Context

1. Based on detailed documentation presented at the System Council's 7<sup>th</sup> meeting, the System Council approved the workplan and budget for CGIAR's Standing Panel on Impact Assessment ('SPIA') pursuant to decision SC/M7/DP7 as reproduced below – with emphasis added relevant to the SPIA budget.

### SC/M7/DP7: 2019-2021 Advisory Bodies Work Plans and Budgets

*The System Council, pursuant to article 6.1(u) of the CGIAR System Framework:*

- i. Agreed that for 2019 a certain degree of flexibility is needed for the operations of the Advisory Services and the Shared Secretariat and **that workplans and budgets for 2020 and 2021 will be re-assessed in 2019 by the System Council supported by SIMEC.***
  - ii. Endorsed the workplan of the ISDC for 2019, and asks the ISDC to largely focus on foresight activities and developing a protocol on horizon scanning;*
  - iii. **Endorsed the workplan and high budget scenario of SPIA<sup>1</sup>, with the understanding that SIMEC will work with the Assurance Oversight Committee for a value-for-money review of the budget; and SIMEC will work with the System Management Office on the means of funding of the budget, with that proposal to be presented by not later than 3 December 2018 for approval by the System Council by electronic means;***
  - iv. Requested further refinement of the workplan and budget of the evaluations work stream of the Shared Secretariat, with an updated workplan to be developed that takes into account the feedback provided during the System Council meeting session; and*
  - v. Endorsed the budget envelope for staffing of the Advisory Services Shared Secretariat based on 3-year employment contracts for staff.*
2. The requested 'value for money' review (*sub-point iii of the System Council's decision*) was undertaken to the satisfaction of SIMEC by the System Council's Assurance Oversight Committee by mid-December 2018 with support of the CGIAR System's Internal Audit Function. The budget ceiling for SPIA did not alter as a result of that exercise, but additional narrative material was provided for the workplan.
  3. During the final day of the SC7 meeting, one of CGIAR's key Funders confirmed that they would wish to contribute towards funding SPIA but would only be able to provide that funding through Window 2 of the CGIAR Trust Fund. Discussions continued with this Funder since early December 2018, with it being reiterated that their funding for CGIAR can only be provided via Window 2, and of their projected CGIAR financing contribution, they wish US\$ 1.3 million in funds to be provided to SPIA in 2019.

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<sup>1</sup> Refer Annex 2 of this document for the details: [https://www.cgiar.org/wp/wp-content/uploads/2018/11/SC7-P\\_AdvisoryBodies\\_2019-2021\\_Wplans-Budgets.pdf](https://www.cgiar.org/wp/wp-content/uploads/2018/11/SC7-P_AdvisoryBodies_2019-2021_Wplans-Budgets.pdf)

## SPIA 2019-2021 approved budget ceiling by program activities

4. The SPIA budget ceiling approved by the System Council for the 2019-2021 period is set out below (and objective 3 funding needs for 2019 is highlighted). The table also shows the projected funding for the 2022-2024 years, noting the longer-run nature of impact assessment work.

SPIA Program Activities	Full Budget 2019	3yr Budget 2019 - 2021	3yr Budget 2022 - 2024	6yr Budget 2019 - 2024
1. Supporting the impact culture in CGIAR	214,861	1,204,033	1,296,162	2,500,195
2. Expanding and deepening evidence of impacts of CGIAR research on SLOs	561,964	3,908,666	1,998,702	5,907,368
3. Improving and institutionalizing collection of data	1,332,052	3,944,842	2,947,122	6,891,964
Oversight, Management and M&E	9,940	64,820	59,820	124,640
<b>TOTALS</b>	<b>2,118,817</b>	<b>9,122,362</b>	<b>6,301,806</b>	<b>15,424,168</b>

## Funding avenues: Provisions and historical approach to SPIA budget support

5. Pursuant to the legal agreements approved by CGIAR's Funders and Centers on 17 February 2017 (Decision reference: SC/M3/EDP4) Window 2 funds can only be utilized for CGIAR research programs or platforms, and not 'System Entity' financing. Under the CGIAR Policy on CGIAR System Cost Financing<sup>2</sup> System Entity financing is provided through Window 1 of the CGIAR Trust Fund, based on a cost-sharing percentage that is collected on Window 2 and Window 3 Funder contributions to the CGIAR System.
6. Prior to the new multi-year budget proposal approach (2019-2021) funding of System entities, SPIA financing was provided through two past sources:
- A 'Window 1' special initiative concept approved by the former CGIAR Fund Council, and financed through the 'Strengthening Impact Assessment in CGIAR' grant proposal<sup>3</sup>, which largely contributed to financing impact assessment efforts under 4 key workstreams; and
  - Additional funding from the approved budget of the former 'Independent Science for Development Council', which largely contributed to the financing of honorarium and other costs for the external independent SPIA members themselves (SPIA then being a sub-group of the ISPC).

<sup>2</sup> Policy is accessible here:

<https://cgspace.cgiar.org/bitstream/handle/10568/89415/Policy%20on%20CGIAR%20System%20Cost%20Financing.pdf?sequence=1&isAllowed=y>

<sup>3</sup> Full details of the proposal and the final report from the 'SIAC' special initiative are accessible here:

<https://ispc.cgiar.org/workstreams/impact-assessment/projects/strengthening-impact-assessment-cgiar-siac-2013-2017>

Appendix 1 – Proposed mechanism to facilitate Window 2 funding for SPIA

Description of mechanics	Decisions/actions required	Analysis of selected opportunities and risk	
		Opportunities	Risks
<ul style="list-style-type: none"> <li>Administratively incorporate a new module under the ‘Big Data Platform’ to reflect Objective 3 of the SPIA workplan (‘Improving and institutionalizing collection of data’).</li> <li>Financing comes from two sources:               <ol style="list-style-type: none"> <li>US\$1.3m W2 funding from identified Funder (and any other Funder that wishes to contribute to SPIA workplan via W2)</li> <li>And CSP funding for balance of SPIA program activities</li> </ol> </li> <li>Routing of W2 SPIA funding: will be from Trustee → Big Data → System Organization → Bioversity (as host entity on behalf of System Organization). (*CSP will route Trustee to System Org to Bioversity – historically it was to FAO from System Organization)</li> </ul>	<ul style="list-style-type: none"> <li><b>System Council</b> decision* that the program activities of SPIA are classified as a ‘Module of the Big Data Platform’ and thus constitute CGIAR Research that is eligible to receive Window 2 funding. * <i>Note, no ‘technical review’ of this approach is required, as the SC has already approved the workplan and budget</i></li> <li><b>Financial Framework Agreement with the Lead Center</b> updated to remove programmatic reporting requirement from Big Data for this ‘Module’. <b>Rather all program activity reporting from SPIA direct to the System Council</b></li> </ul>	<ul style="list-style-type: none"> <li>Objective 3 of the SPIA workplan is related to the overall objectives of the ‘Big Data Platform’, helping to ensure critical mass</li> <li>The 2019 budget for Objective 3 (US\$ 1.332m) aligns well with identified funding available via W2 from the concerned Funder (US\$ 1.3 m), providing an easily identifiable ‘use’ of that Funding.</li> <li>Anticipated that the relevant Funder will continue to provide annual contributions to new ‘Module’ to continue to support SPIA workplan</li> <li>Other Funders interested in specific Obj. 3 activities can also fund directly over 2019-2021</li> <li>CSP projections cover the US\$0.79m 2019 SPIA program budget needs, and also for 2020-2021 based on annual US\$1.3 m assumed from the relevant Funder</li> </ul>	<ul style="list-style-type: none"> <li>Additional contracting required (Big Data agreement amendment, and a side letter) and additional routing of financing puts additional reporting and tracking effort on the Shared Secretariat, the Platform and the System Organization teams</li> <li>Possible perceptions of conflict of interests if any parts of the SPIA workplan involve direct collaboration with Big Data (i.e., if funding is other than a simple ‘pass through’)</li> <li>Some potential concerns of actual loss of independence if financial reporting is via the Big Data platform and not exclusively with SPIA (contract will be amended to remove any program reporting)</li> <li>Objective 3 is not the main interest/longer term focus of SPIA (although objective remains for future 6 years).</li> </ul>