

Functions in the CGIAR System

High-Level Summary

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Introduction

- 1. CGIAR's governance model 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.
- CGIAR's governing instruments were agreed between the CGIAR System's Funders and 15 Centers on 16 June 2016 and came into effect from 1 July 2016. The Charter of the CGIAR System Organization was last amended with effect from 1 September 2020 to include amendments relating to implementation of Unified Governance for One CGIAR.¹
- 3. Built on a strong partnership between CGIAR's Funders and Centers, CGIAR's governance model focuses on enabling the conduct high-quality research for development based on a solid foundation of clearly defined roles, responsibilities and accountabilities.
- 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 Board and the System Management Office as the two operational elements of the System Organization.

Key Structures and partnership engagement modalities

- 5. **Structure:** CGIAR's fundamental governance structures are:
 - A governing body comprised of CGIAR's funders, <u>the System Council</u> whose voting membership includes representation of developing country constituencies;
 - b. An independent International Organization, the <u>CGIAR System</u> <u>Organization, made up of:</u>
 - i. The <u>CGIAR System Board</u> with up to ten (10) voting members who, when taken as a collective whole, will have the skills, experience and gravitas required to enable the CGIAR System Board to discharge its responsibilities under the Charter. CGIAR Executive Management Team members, and other management and employees of CGIAR legal entities, including Centers, are not eligible to sit on the CGIAR System Board as voting members²; and
 - ii. <u>The System Management Office</u> who support the System Council, CGIAR System Board, Executive Management Team and the General Assembly;
 - c. An Executive Management Team, who work with leaders across the CGIAR

¹ SRG Recommendations available at https://storage.googleapis.com/cgiarorg/2019/11/SC9-02_SRG-Recommendations-OneCGIAR.pdf

² 7.2 Composition of the CGIAR System Board, Article 7 CGIAR System Board, Charter of the CGIAR System Organization

System, forging new linkages and partnerships, in pursuit of an innovative, vital, and coherent agenda, and playing the key role of ensuring unified and coordinated leadership, decision-making and oversight of One CGIAR³ research; and

d. 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.

6. **Two engagement models reinforce the partnership:**

- a. <u>From the Framework</u>, the Partnership Forum Co-Chaired by the Centers and the Funders.
- 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.
- 7. **Independent advice** is provided to the System Council by:
 - a. Independent Science for Development Council (ISDC) an external, impartial standing panel of experts in science and development subject matters; and
 - b. **Standing Panel on Impact Assessment (SPIA)** an external, impartial standing panel of experts in impact assessment subject matters

CGIAR's Independent Advisory and Evaluation Service provides operational support as the secretariat for ISDC and SPIA, and implements CGIAR's multi-year, independent evaluation plan as approved by the System Council. Additionally, the **CGIAR System Internal Audit Function** provides independent and objective assurance and advisory services to the System Council and the CGIAR System Board.

Functions

- 8. Allocating decision making roles, responsibilities and accountabilities: Within the Framework and Charter, the System Council, the System Board and, in its facilitating and coordinating role, the System Management Office have, respectively, 33, 51 and 39 specific functions, variously aligned under 6 broad headings or themes.
- 9. 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.

³ Terms of Reference of the EMT available at <u>https://storage.googleapis.com/cgiarorg/2020/05/be5a95fc-cgiar_inaugural-emt-candidate-information-pack_15may2020.pdf</u>

Exploring the functions of the System Council and System Organization

- 10. Table 1 below takes the 6 functional headings from the Framework and identifies the respective function of the System Council, System Board and System Management Office.
- 11. Taking note of the System Management Office's supporting role for the System Council, System Board, Executive Management Team, 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 Board.

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

		CGIAR System Framework Charter of the CGIAR System Organization		
No	Functional areas of responsibility	System Council (33 functions, Article 6.1)	System Board (51 functions, Article 8)	System Management Office (39 functions, Article 11)
A. Vi	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 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 ISDC 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(kk) 	 Coordinate the development of the CGIAR Strategy and Results Framework and suppor 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(jj) Strategically promote the reputation, mission and activities of CGIAR System 8.1(t) 	 Strategically promote the reputation, missic and activities of CGIAR System 11(I) Communicate role of CGIAR System and undertake advocacy in international politica and policy fora related to foot, nutrition, agriculture and the management of natural resources 11(r) Collate knowledge management products as part of system-wide science communication strategy (with Center communicators) 11(s) Prepare an annual report on external relations and outreach 11(ee)

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B. G	overnance*			
3	Advisory Services	 Approve the Terms of Reference for ISDC and SPIA and any other advisory bodies of the System Council that set for their purposes and functions, taking into consideration input from the System Board 6.1(e) Select Chair of SPIA and Chair and members of ISDC; ensure appropriate contracting through a hosting agreement for the Independent Advisory and Evaluation Service and ISDC/SPIA; ensure process for annual reviews 6.1(f), (g) 	 Provide input to the System Council on the Terms of Reference for ISDC and SPIA 8.1(h) Approve hosting arrangements for CGIAR's Independent Advisory and Evaluation Service 8.1(s) 	
4	Executive Management Team and Executive Director of System Organization	 Provide input into selection and annual performance review of ED of System Organization 6.1(d) 	 Appoint the Executive Management Team, and ensure a process for conducting annual performance reviews of the individual members of the Executive Management Team as well as their collective performance as a team, with input from across the CGIAR System 8.1(f) Unless otherwise decided by the CGIAR System Board, appoint from amongst the members of the Executive Management Team a person to serve also as Executive Director of the System Organization to ensure its effective operations, and ensure a process for conducting annual performance reviews with input from the System Council 8.2(a) 	

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N	Functional areas of responsibility	System Council (33 functions, Article 6.1)	System Board (51 functions, Article 8)	System Management Office (39 functions, Article 11)
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(g)	 Develop, in consultation with the Centers, the proposal 11(f) Monitor & report on implementation of framework 11(ff)
6	Internal Audit Function Internal Audit Function <i>continued</i>	 Review and provide input into the TOR and process for fulfilling the Internal Audit Function 6.1(h) Ensure, through the Assurance Oversight Committee, 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) 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(l) Provide periodic assurance to the Assurance Oversight 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) 	• Coordinate the development of the proposal 11(g)

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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(o) Adopt all necessary CGIAR Policies, procedures, guidelines and research standards, including those relevant to maintaining reputation of CGIAR System* 8.1(part of o) Monitor compliance with all necessary CGIAR Policies, procedures, guidelines and research standards 8.1(part of p) Take appropriate corrective action when required 8.1(part of p) 	 Develop, in consultation with the Centers, proposed polices, guidelines and research standards for the CGIAR Portfolio 11(j)
8	Dispute resolution		• Approve and oversee a mechanism to resolve disputes between the System Organization and Centers and between Centers 8.1(q)	 Develop the proposal for the mechanism and monitor implementation of the mechanism 11(j)
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(v) Promote active engagement of and collaboration with CGIAR System Partners in the delivery of each Strategy and Results Framework 8.1(u) 	 Organize and prepare for meetings of the Partnership Forum and other system-level partnership meetings 11(q) In collaboration with the Centers create, develop, expand system level partnerships to strengthen support for the CGIAR System's mission & capacity to deliver on <i>CGIAR</i> <i>Research</i> 11(m) Maintain strong collaboration and communication with Centers, the System Council's advisory bodies and CGIAR System Partners 11(t)

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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(w) 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(y) 	 Develop and implement, in consultation with the Centers, proposals for resource mobilization and strategic expansion of funding at the system level, including innovative financing approaches and mechanisms to stabilize flow of funds 11(n) Develop and maintain relationships with the Funders for funding of <i>CGIAR Research</i> 11(o) When authorized, mobilize funding for the System Organization from sources other than Funders and Centers 11(p)
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(x) 	 Provide annual forecast of availability of Unrestricted Funding and research program specific funding from the CGIAR Trust Fund (linked to 12 below) 11(cc)

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D. Fi	Financial and Programmatic Performance* ('Unrestricted Funding', 'CGIAR 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 ISDC and proposals from System Board, guidelines and criteria for prioritization and for annual allocation of Unrestricted Funding across CGIAR Research based on strategic priorities and performance 6.1(p) Approve allocation of Unrestricted Funding for CGIAR Research, on the advice of ISDC and proposal from the System Board 6.1(s) 	 Recommend guidelines and criteria for prioritization and for annual allocation of Unrestricted Funding across <i>CGIAR Research</i> based on strategic priorities and performance 8.1(z) Recommend to the System Council the allocation of Unrestricted Funding for <i>CGIAR Research</i> 8.1(cc) 	 Develop a proposal for guidelines and criteria for prioritization, taking into account the advice of ISDC and the Centers 11(bb) Develop an annual proposal for allocating unrestricted funding taking into account input from ISDC and Centers,11(cc) 		
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 Board 6.1(q) 	 Recommend proposals and indicative funding requirements for the CGIAR Portfolio 8.1(aa) 	 Develop a process for, and guidance on, proposal development in consultation with ISDC, CGIAR's Independent Advisory and Evaluation Service & Centers 11(v) Coordinate submission of CGIAR Portfolio proposals and indicative funding for review by the System Board prior to submission to its submission to the System Council 11(w) 		

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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(dd) Recommend approval of the annual work plans and budgets for administrative costs for the CGIAR System* 8.1(ee) 	 Develop a proposal for a process for preparation and approval 11(x) Develop for review by the System Board, annual work programs and budgets that includes submissions by the System Council's advisory bodies and trustee) 11(y)
15	Shared services		• Approve proposals and budgets that enhance effectiveness and efficiency and means by which such costs can be financed 8.1(ff)	• Prepare proposals and budgets for submission to the System Board 11(z)
16	Work programs and financing plans on CGIAR Research	 Review annually and provide strategic guidance to the System 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(bb) 	 Coordinate annual submission of work programs & financing plans for CGIAR Research to System Board 11(x)
17	Programmatic performance for <i>CGIAR Research</i> and the <i>CGIAR Portfolio</i>	 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 	 Recommend to System Council a proposal for the integrated performance framework for <i>CGIAR Research</i> developed by the Executive Management Team in coordination with other parts of the CGIAR System 8.1(gg) Review the annual portfolio analysis and program reports on the CGIAR Portfolio prepared by the Executive Management Team and propose to the System Council strategic actions to ensure results and continued relevancy 8.1(hh) 	 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(ii) Prepare, in consultation with the Centers, the consolidated system-level annual (<i>financial and</i>) programmatic reports on <i>CGIAR Research</i>, building on information provided by Centers 11(dd) Prepare annual analysis of the <i>CGIAR Portfolio</i>

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		Article 6.1)	(51 functions, Article 8)	(39 functions, Article 11)
		<i>Research</i> 6.1(aa)	 Approve the annual portfolio analysis and program reports taking System Council feedback into account 8.1(ii) Oversee implementation of <i>CGIAR Portfolio</i> in accordance with the integrated framework for a performance management system and risk management framework (item 5 above) 8.1(00) 	in consultation with the Centers, using an integrated set of criteria approved by the System Council 11(kk)
18	Financial reporting for CGIAR System*	 Approve CGIAR system-wide formats for, and periodicity of, financial reporting for the 	 Recommend the formats and periodicity for CGIAR system-wide formats for, and periodicity of, financial reporting 8.1(II) 	• Prepare the proposal for CGIAR system-wide formats for, and periodicity of, financial reporting for CGIAR Research 11(hh)
		 CIGAR System* in line with internationally recognized reporting standards 6.1(z) Review consolidated system-level annual financial reports on <i>CGIAR Research</i> 6.1(aa) 	 Review and submit consolidated system-level annual financial (and programmatic) reports on <i>CGIAR Research</i> 8.1(mm) Approve such reports on <i>CGIAR Research</i> taking into account System Council feedback, 8.1(part of mm) Oversee use of <i>Unrestricted Funding</i> and research program-specific funding from the CGIAR Trust Fund for implementation of <i>CGIAR Research</i> in accordance with the performance management system and the risk management framework 8.1(pp) Select and approve the System Organization's independent external auditor 8.2(b) Approve the System Council for information 8.2(c) 	 Prepare, in consultation with the Centers, the system-level annual financial (and programmatic) reports on <i>CGIAR Research</i> 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(f) Provide the trustee with information needed to carry out its responsibilities, including instructions for transfer of funds for <i>CGIAR Research</i> 11(i) Monitor implementation and use of <i>Unrestricted Funding</i> and research program specific funding from the CGIAR Trust Fund in accordance with the agreed integrated framework for performance management 11(jj)

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No	Functional areas of responsibility	System Council (33 functions, Article 6.1)	System Board (51 functions, Article 8)	System Management Office (39 functions, Article 11)		
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(nn) 	 Initiate corrective action as directed by System Board and in accordance with the funding agreements with the Centers and the risk management framework 11(gg) 		
E. E\	E. Evaluations and Impact Assessment*					
20	Evaluation plans	 Approve a cost-effective multi- year evaluation plan proposed by CGIAR's Independent Advisory and Evaluation Service covering evaluation of the <i>CGIAR Portfolio</i> 6.1(cc) Review and endorse external independent evaluations of the <i>CGIAR Portfolio</i>, functions and structures, taking into account input from the System Board and Center management responses 6.1(ff) In consultation with the System Board, work toward cost- effectiveness and complementarity in the overall system of evaluations reviews at all levels 6.1(hh) 	 Review external independent evaluations of the <i>CGIAR Portfolio</i>, functions and structures and provide comments to the System Council for its consideration 8.1(rr) Coordinate management responses to the System Council on periodic (8-10 years) independent evaluations on the effectiveness of the CGIAR System to deliver on CGIAR's mission and vision 8.1(ss) In consultation with the System Council work toward cost-effectiveness and complementarity in the overall system of evaluations reviews at all levels 8.1(uu) 	 Coordinate preparation of a management response to the System Council on system- wide evaluations 11(II) Monitor implementation of decisions arising from evaluations of CGIAR Research 11(mm) 		
21	Periodic reviews of Centers and/or the CGIAR System	 Endorse plans coordinated by the System Board, with input from evaluation experts engaged by CGIAR's Independent Advisory and Evaluation Service, 	• Coordinate with Center Boards and CGIAR's Independent Advisory and Evaluation Service to periodically commission governance and management reviews, to complement other evaluations of the CGIAR Portfolio and submit such plans to the System Council for			

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		 to periodically commission governance and management of Centers to compliment the evaluations of the CGIAR Portfolio 6.1(dd) Commission through CGIAR's 	endorsement 8.1(qq)	
		Independent Advisory and Evaluation Service periodic (8- 10 year) evaluations of the CGIAR System and recommend follow-up action 6.1(ee)		
22	Ex-post impact assessment	 Approve plans and financing of such assessments of the CGIAR Portfolio as proposed by SPIA 6.1(gg) 	 Review plans for, and financing of, ex-post impact assessment of the CGIAR Portfolio proposed by SPIA and provide comments to the System Council for consideration 8.1(tt) 	
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 Board, and organize and support their respective meetings, and meetings of their committees, ad hoc working groups and task teams 11(b) Support the Executive Management Team
				 11(c) Support the General Assembly of Centers 11(d)
				 Monitor implementation of System Council and CGIAR System Board decisions, and Executive Management Team agreed actions11(e)

No	Functional areas of responsibility	CGIAR System Framework	Charter of the CGIAR System Organization	
		System Council (33 functions, Article 6.1)	System Board (51 functions, Article 8)	System Management Office (39 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 8.3	 Negotiate contractual arrangements to which System Organization is a party 11(u)