



VOICES^{FOR} CHANGE

THE NEW CGIAR



December 8, 2009

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CHAPTER 1

JOINT DECLARATION

FOREWORD

Our Commitment to Agricultural Research for Development

We know the power of agricultural research to change the world. For nearly four decades, the CGIAR has delivered \$9 worth of additional food in developing countries for every \$1 invested in our research. We know that the CGIAR has contributed significantly to crop genetic improvement and that for the world's 10 most important food crops, more than half the land growing improved varieties, is growing varieties with CGIAR ancestry. We know that our breakthrough work on better land use, water, livestock, fish and forestry management has already changed the lives of millions of small farmers, foresters and herders throughout the developing world.

But in recent years, declining growth in food crop yields, rapidly growing populations, changing dietary expectations and the volatility of energy and financial markets led to a food price crisis that reaffirmed the centrality of agriculture in alleviating poverty. The crisis was a forewarning of the challenges ahead, drawing our collective attention to the fact that if we are to feed 9 billion people by 2050 in a world of water shortages, increasingly erratic rainfall patterns and changing climates, we must double agricultural production.

The crisis confirmed our need to step up to the challenges of the 21st Century and better harness the power of agricultural research for poverty alleviation, economic growth and environmental sustainability. It confirmed our commitment to re-imagining our institutions and approaches, and ensuring that we have the best possible structure and systems in place to get the best possible results from our knowledge and resources for the poor and hungry.

And we know that as the world changes, our past success is not sufficient to meet the challenges of the future. We need more — and better — investment in the CGIAR.

Our new CGIAR will harmonize and maximize funding for priority research areas, simplify structures and reduce transaction costs and give greater emphasis to achieving results through agreed research Mega Programs. Roles of funders and implementers of research are clearly defined and separated.

- The 15 CGIAR Centers will come together to establish a Consortium, recognizing that collectively they can be stronger advocates and do better research than they can individually.
- Funders will harmonize their funding and reporting requirements, and agree to focus on essential research to boost agricultural productivity and reduce pressure on natural resources in the face of climate change, water scarcity and other threats.
- The CGIAR researchers will create priority Mega Programs that draw on the CGIAR's strengths — improving major food crops for added resilience and nutritional value and enhancing the management of crops, livestock, trees, water, soil and fish — while reaffirming the importance of gender and capacity building and maintaining a clear focus on improving the livelihoods of the poor.
- An Independent Science and Partnership Council will provide sound advice on scientific issues.
- External stakeholders will be ever more valuable partners in agricultural research for development.

The new CGIAR is as much about changed culture and approaches as it is about changed structure. The way funders work together with implementers, primarily working together as the Fund Council and the Consortium, and the way we engage stakeholders, will determine our success. These changes must be built on a solid, common foundation. It is for that reason that I commend to you this CGIAR Joint Declaration and the principles it sets out.

Our commitment to act in accordance with these fundamental principles is critical. If we resolve to harmonize our approach to funding and implementing agricultural research; to manage for results; to ensure effective governance and efficient operations and to collaborate and partner with all users of our research, the possibilities for change and impact are endless.

Together, we can do this. The past has proven it. The future demands it. The one billion people who go to bed hungry every night are at the center of our endeavor. We can never forget the urgency of our work.



Katherine Sierra

*Chair, Consultative Group on International Agricultural Research
December 2009*

The new CGIAR is a

THE NEW CGIAR IS A GLOBAL RESEARCH-FOR-DEVELOPMENT PARTNERSHIP CONSISTING OF A CONSORTIUM OF INTERNATIONAL AGRICULTURAL AND NATURAL RESOURCES RESEARCH CENTERS AND ITS FUNDERS WORKING WITH PARTNERS TO IMPLEMENT AN AGREED STRATEGY AND RESULTS FRAMEWORK CONSISTENT WITH THIS JOINT DECLARATION. THIS JOINT DECLARATION IS A NONBINDING STATEMENT OF ASPIRATION AND INTENT THAT DESCRIBES THE FUNDAMENTAL PRINCIPLES UNIFYING THE CGIAR PARTICIPANTS, AS WELL AS THE ROLES AND RESPONSIBILITIES FLOWING FROM THOSE PRINCIPLES.

STATEMENT OF RESOLVE

We, the funders and implementers of international agricultural research for development, share a *common vision*: To reduce poverty and hunger, improve human health and nutrition, and enhance ecosystem resilience through high-quality international agricultural research, partnership and leadership. We recognize our mutual accountability to our primary goal: To benefit all users of our research, including farmers and consumers.

We share a commitment to three *strategic objectives*:

- **Food for People:** Create and accelerate sustainable increases in the productivity and production of healthy food by and for the poor.
- **Environment for People:** Conserve, enhance, and sustainably use natural resources and biodiversity to improve the livelihoods of the poor in response to climate change and other factors.
- **Policies for People:** Promote policy and institutional change that will stimulate agricultural growth and equity to benefit the poor, especially rural women and other disadvantaged groups.

In restructuring the CGIAR to achieve our common vision, primary goal, and strategic objectives, and in the spirit of the Paris Declaration and Accra Agenda for Action, we resolve:

- 1) To **harmonize** our approach to funding and implementing international agricultural research for development through the CGIAR Fund (the Fund) and the consortium established by the Centers (the Consortium), respectively;
- 2) To **manage for results** in accordance with the agreed Strategy and Results Framework (SRF) and the Mega Programs that derive from the SRF;
- 3) To ensure **effective governance and efficient operations** in the provision and use of our resources; and
- 4) To **collaborate and partner** with and among funders, implementers, and users of SRF research, as well as other external partners supporting the SRF.

PRINCIPLES

We resolve to uphold a set of core principles and strive to act consistently with those principles.

Principle 1 – Harmonization

- 1.1 Funding and implementation of CGIAR agricultural research is harmonized through adherence to the SRF and support of this Joint Declaration.
- 1.2 Funding and implementation of the SRF is (i) to the extent possible through the Fund and (ii) based on a common framework for processes, reporting, monitoring, evaluation and other operational aspects set by the Fund Council in agreement with the Consortium Board (the common operational framework).
- 1.3 The Fund and the Consortium are exclusively responsible for implementation of the SRF.
- 1.4 The Fund Council strengthens its functions by seeking input from the Independent Science and Partnership Council (ISPC) and the biennial Funders Forum and other donor dialogues, and the Fund Council and Consortium Board also seek to ensure full stakeholder engagement in performing their respective functions.

Principle 2 – Managing for Results

- 2.1 The Consortium, Centers, all CGIAR funders (meaning donors to the Fund (Fund donors) and direct funders of the Centers) and their respective partners have shared responsibility for managing toward outcomes, i.e., uptake of outputs resulting in longer-term improvements of livelihoods of end-users.
- 2.2 The Consortium, Centers, and Fund donors are mutually accountable for Mega Program outputs financed by the Fund.
- 2.3 The monitoring system for research under the SRF is the overall responsibility of the Consortium Board and provides real-time information about program outputs and outcomes to the Consortium and Centers.
- 2.4 The evaluation system provides periodic objective assessments of the extent to which Mega Programs and other CGIAR aspects are likely to or have achieved the stated objectives under the SRF and this Joint Declaration.

- 2.5 Evaluation of performance to achieve the SRF and governance of the CGIAR follow international best practice and include evaluations that are independent and impartial to the policy-making process and delivery and management of programs.
- 2.6 Monitoring and evaluation of progress toward and achievement of tangible and measurable results, outputs and outcomes under the SRF are accurate, comprehensive, verifiable, timely and harmonized.

Principle 3 – Effective Governance and Efficient Operations

- 3.1 All CGIAR funders, the Consortium and Centers strive toward common, streamlined arrangements and simplified, cost-effective operations without unnecessary complexity.
- 3.2 Resources used for the CGIAR, including research programs, decision-making bodies, and advisory functions, are allocated, implemented and reported on in a transparent manner.
- 3.3 The CGIAR is structured to create incentives and fair cost structures in support of the principles and actions set out in this Joint Declaration.
- 3.4 The Centers implement the SRF, while the Consortium Board oversees and coordinates SRF implementation.
- 3.5 The Trustee administers the Fund, while the Consortium Board has responsibility for use of Fund resources financing SRF implementation.
- 3.6 Any work undertaken by a Center does not compromise either the ability of that or any other Center to fulfill its obligations to deliver on the SRF or the reputation of the CGIAR.

Principle 4 – Collaboration and Partnership

- 4.1 The CGIAR funders and implementers promote active engagement and partnership with stakeholders, including national agricultural research systems (NARs), to optimize research effectiveness and efficiency, strengthen capacity and country ownership, and fully utilize CGIAR research for achieving development impacts.
- 4.2 The perspectives and priorities of end-users are essential to the SRF, as well as Mega Program and all other proposal development, funding, implementation, and results monitoring and evaluation to implement the SRF, and are sought in various ways, in particular through the Global Conference on Agricultural Research for Development (GCARD).
- 4.3 The CGIAR is premised on a strong Consortium Board and a strong Fund Council as collaborative counterparts and complementary pillars through which other elements of the CGIAR, including the Centers, all other CGIAR funders and other stakeholders, can support the principles and actions set out in this Joint Declaration.
- 4.4 CGIAR operations are informed by the views of participants and other stakeholders through a series of periodic and regular interactions.
- 4.5 Research partnership and innovation for implementation of the SRF are encouraged to ensure high-quality research.
- 4.6 All CGIAR participants seek to resolve differences arising within the CGIAR through common resolution mechanisms, unless otherwise specified in performance and other implementing agreements.

The actions intended to promote and operationalize these principles are set out in the Annex.

This Joint Declaration, including its Annex, is intended to be an overarching framework for the CGIAR that will inform implementation of the restructuring. It recognizes the importance of allowing all CGIAR funders and implementers to rely on each others' commitments to proceed on the basis of mutually shared expectations, without being directly binding on any CGIAR participant or stakeholder. Any binding commitments pertaining to the CGIAR will be as defined in other contractual or legal arrangements operationalizing the CGIAR. This Joint Declaration may be referenced in such other arrangements, but would do so only in a way that clearly states the respective parties' intentions as to the relative binding or nonbinding nature of any of the principles or actions set out herein.

ANNEX CONDUCT

In order to adhere to the principles set out in this Joint Declaration, we will strive to act in the following manner:

Principle 1 – Harmonization

1.A. All CGIAR funders will

- (i) seek to provide adequate and predictable funding for implementation of the SRF,
- (ii) convene and collaborate through the Funders Forum,
- (iii) fund all costs associated with CGIAR-wide functions based on a cost structure and financing plan developed by the Consortium Board in conjunction with the Fund Council and endorsed by participants in the Funders Forum,
- (iv) respond to Consortium requests to address over- and underfunding,
- (v) join the Fund if, when, and to the extent possible, and
- (vi) seek to refrain from providing any funding for the SRF outside the common operational framework.

1.B. In addition to 1.A., funders contributing to the Fund will, through those resources,

- (i) finance the SRF primarily and increasingly with funding allocated by the Fund Council,
- (ii) seek to increase the proportion of their funding for Centers from funding directly to Centers to funding through the Fund, and
- (iii) fund the costs associated with the Fund, including operations of the Fund Office and Trustee.

1.C. In addition to 1.A., funders contributing directly to the Centers will, for those resources,

- (i) primarily support initiatives that implement the SRF,
- (ii) finance activities to implement the SRF at full cost recovery,
- (iii) complement funding being provided through the Fund, and
- (iv) limit any reporting, monitoring or evaluation beyond the common operational framework to the absolute minimum necessary.

1.D. The CGIAR Fund Council will

- (i) be responsible for approving program content of Mega Programs based on Consortium proposals,
- (ii) provide funding to the Consortium based on Consortium Mega Program proposals and other

request for funding, including with respect to over- and underfunding

- (iii) seek the advice of the Independent Science and Partnership Council (ISPC) in making Fund allocation decisions about Consortium proposals to implement the SRF, including for Mega Programs, and
- (iv) in discharging its responsibilities, have an overview of the CGIAR's strategic impact, quality and relevance of programmatic performance, managerial and governance performance, and financial performance and resource mobilization, based primarily on information from the Consortium.

1.E. The Consortium Board will

- (i) oversee and coordinate the design by the Centers of the SRF, in consultation with stakeholders, including end-users, for endorsement by participants in the Funders Forum,
- (ii) oversee and coordinate the design by the Centers of the Mega Programs, in consultation with stakeholders, including end-user representatives, for approval by the Fund Council,
- (iii) provide sufficient programmatic and financial information to enable the Fund Council to effectively allocate Fund resources,
- (iv) ensure collaboration among and compliance by Centers in implementing Mega Programs and other proposals to implement the SRF, including with respect to funding directly to Centers,
- (v) seek to ensure that research conducted by the Centers will be primarily under, and in any case consistent with, the SRF, as such scope is determined by the Consortium Board, and
- (vi) avail itself of high-quality scientific advice, including from ISPC.

1.F. The Centers will

- (i) engage in research primarily to implement the SRF,
- (ii) engage in non-SRF research only at full cost recovery from funding sources for such research,
- (iii) follow the common operational framework for all implementation of the SRF, and
- (iv) have joint responsibility with the Consortium Board for resolving any disputes related to Center obligations to deliver on the SRF or Center behavior that could compromise the CGIAR's reputation.

Principle 2 — Managing for Results

- 2.A.** All CGIAR funders will rely on a common results-based monitoring and evaluation framework as part of the common operational framework.
- 2.B. The Fund Council** will
- (i) be responsible for an aligned provision of Fund resources to support the generation of research outputs, as agreed in performance agreements between the Fund Council and the Consortium,
 - (ii) regularly appraise the performance of the Consortium in meeting its obligations as defined in performance agreements,
 - (iii) monitor the efficacy of Fund allocation mechanisms,
 - (iv) be the principal monitoring body of ISPC, and
 - (v) commission periodic independent evaluations of Mega Programs, which may include validations of findings from external evaluations commissioned by the Consortium Board.
- 2.C. The Consortium Board** will
- (i) establish and manage a reliable and harmonized performance monitoring system for the Centers and research under the SRF, including Mega Programs,
 - (ii) be responsible, together with the Centers, for high-quality science and technology products and services, as agreed in performance agreements between the Fund Council and Consortium,
 - (iii) commission periodic external evaluations of Mega Program subcomponents and/or cross-cutting issues,
 - (iv) commission periodic evaluations of Centers, which are not duplicative of Mega Program evaluations, to evaluate their governance, management and financial health,
 - (v) facilitate institutional and other learning for continuous performance improvement and improved results as informed by monitoring and evaluation mechanisms.
- 2.D. The Centers** will seek to use a common system for reporting performance information to the Consortium so as to minimize duplication and enhance consolidation and comparison of data.
- 2.E. The Fund Council and Consortium Board** will jointly commission a special-purpose reference group to undertake an independent evaluation of the CGIAR following each SRF.

Principle 3 — Effective Governance and Efficient Operations

- 3.A. The Consortium and Centers** will agree on the relationships amongst themselves, including parameters for defining Center and Consortium status and governance relative to each other.
- 3.B. The Consortium Board** will have primary responsibility, and will rely on Center cooperation, for
- (i) keeping track of all funding to implement the SRF and seeking adjustments to over- and underfunding of SRF implementation,
 - (ii) consolidating financial and progress reporting of individual SRF implementation activities financed by the Fund and funding directly to Centers,
 - (iii) providing shared services and coordinating the use of Lead Centers for Mega Program and other SRF implementation, and
 - (iv) through the CEO of the Consortium and Chair of the Consortium Board, acting as the public face of the CGIAR in international fora and in so doing collaborating closely with the Chairs of the Fund Council, the Funders Forum and ISPC, as well as the Centers in their own public relations.
- 3.C. The Fund Council** will provide oversight of the use of Fund resources, based in part on reporting, audits and other assurances of due diligence regarding use of such resources provided by the Consortium.
- 3.D. Fund donors, the Consortium and Centers** will adhere to the terms of their respective performance and other implementing agreements.
- 3.E. The Trustee** will have fiduciary responsibility for Fund resources prior to their disbursement from the Fund, receive instructions from the Fund Council to commit and disburse available Fund funds, but have no responsibility for monitoring or supervising use of those funds once disbursed.
- 3.F.** Upon the receipt of Fund funds, **the Consortium** will have fiduciary responsibility (i.e., to monitor and confirm the intended use of funds) and programmatic responsibility (i.e., to ensure implementation by Centers and partners and confirm their achievement of results) for those funds.

Principle 4 – Collaboration and Partnership

- 4.A. The Consortium and Centers** will build and enhance the partnerships necessary to (i) ensure full stakeholder engagement in the design of the SRF, (ii) optimize research effectiveness and efficiency, (iii) strengthen the capacity of NARs and other research partners in developing countries, and (iv) fully utilize CGIAR research for achieving development impacts.
- 4.B. A Global Conference on Agricultural Research for Development (GCARD)** will provide an opportunity to engage stakeholders in SRF and Mega Program design, assist in open identification of demand-driven research opportunities and partnership development, and provide public visibility of CGIAR programs and development impact to its partners and users, such that the Consortium Board, Centers and Fund Council will consider recommendations of the GCARD in their decisions.
- 4.C. ISPC** will primarily provide independent advice and expertise to the CGIAR through services to the Fund Council and in support of the Funders Forum, as well as serve as an intellectual bridge between CGIAR funders and implementers, thereby seeking to improve the productivity and quality of CGIAR science, catalyze the partnering of the Consortium and Centers with other institutions of international agricultural research, and support the CGIAR by serving as an honest broker in relevant international fora.
- 4.D. The Consortium Board and Fund Council** will, in consultation with other stakeholders, agree on a common dispute resolution mechanism for the CGIAR.

THE FOLLOWING CGIAR MEMBERS WERE PRESENT AT THE BUSINESS MEETING 2009 AND ENDORSED THE JOINT DECLARATION ON DECEMBER 8, 2009:

Asian Development Bank (ADB)	Germany	Peru
Australia	India	Portugal
Belgium	International Development Research Centre (IDRC)	South Africa
Brazil	International Fund for Agricultural Development (IFAD)	Spain
Canada	Ireland	Sweden
China	Italy	Switzerland
Denmark	Japan	Syngenta Foundation for Sustainable Agriculture
Egypt	Kenya	United Kingdom
European Commission (EC)	Luxembourg	United Nations Development Programme
Finland	Netherlands	United States of America
Food and Agriculture Organization of the United Nations (FAO)	New Zealand	World Bank
France	Nigeria	
	Norway	



CHAPTER 2

CONSORTIUM CONSTITUTION

This chapter is a draft until it is approved by the Centers.

PREAMBLE

The Alliance commissioned the Boston Consulting Group to develop the first draft of the Consortium Constitution. ExCo 16 requested various amendments to this first draft. The Alliance used an iterative process to address ExCo 16's requests. Amendments were discussed internally within the Alliance (by a reference group of Board Chairs and Directors General) and with a CGIAR Member Reference Group (Australia, Canada and Norway). This iterative process led to the current Draft Constitution, submitted to ExCo 17.

The Alliance has now instructed its legal counsel to formulate the Constitution in appropriate legal language while maintaining the substantive content and meaning of the current text. As part of this revision, matters such as nominations for Board members and detailed terms of reference for the CEO will be moved to a separate document on Consortium Board rules and procedures.

The Consortium Board will have the responsibility to obtain international legal status for the Consortium. Up until the time this status is obtained and a host country agreement is signed, the Consortium will function as a contractual joint venture, under the legal umbrella of one of the Centers. Every Centre will obtain legal advice on how the Consortium Constitution (in its legal version) aligns with its own constitution and host country agreement and will sign a Consortium Establishment Agreement upon deciding to join the Consortium.

Guido Gryseels and Stephen Hall

Alliance Board Chair and Alliance Executive Chair

CONSORTIUM CONSTITUTION^{1,2}

ARTICLE 1: ESTABLISHMENT, NAME, AND LEGAL STATUS

1.1 Establishment *[To be tailored to legal and host country requirements]*

The Consortium of CGIAR-supported (Consultative Group on International Agricultural Research) Centers (hereinafter referred to as “the Consortium”) shall be established and shall operate as an autonomous organization, international in character, in accordance with the provisions of this present Constitution.

1.2 Name *[To be tailored to legal and host country requirements]*

The Consortium shall, by the aforesaid name, be a body corporate with perpetual succession and a common seal.

1.3 Legal status *[To be tailored to legal and host country requirements]*

The Consortium is organized exclusively for charitable, educational, and scientific purposes. It has international status and shall be operated and maintained as a nonprofit, autonomous international agency, nonpolitical in management, staffing, and operations.

The founding members of the Consortium (hereinafter referred to as “Member Centers” or “the Member Centers”) are:

...*[list of founding members]*

1 . This draft constitution represents guidelines and recommendations for the Consortium governance structure, but may not conform to the final legal standards that govern the Consortium. The final constitution should be reviewed and prepared in conjunction with appropriate legal counsel.

2 . Terminology for specific entities (e.g., “CGIAR,” “Strategic Results Framework,” “Mega Program”) may be adapted based on future changes to names and structures in the system.

ARTICLE 2: VISION, PURPOSE, AND SCOPE

2.1 CGIAR VISION

The vision of the CGIAR is to reduce poverty and hunger, improve human health and nutrition, and enhance ecosystem resilience through high-quality international agricultural research, partnership, and leadership.³

2.2 PURPOSE OF THE CONSORTIUM

The purpose of the Consortium is to provide leadership to and coordinate activities among Member Centers and, where consistent with the Consortium’s scope, other Partners, to enable them to enhance their individual and collective contribution to the CGIAR vision, through

- Fostering a more conducive international policy environment for agricultural research for development and increasing CGIAR relevance and effectiveness within the international development institutional architecture;
- Enhancing Member Center research impact through common strategic objectives, programmatic convergence, concerted action, and fostering of innovation;
- Together with the CGIAR Fund Council, significantly expanding the financial resources available to the Member Centers to conduct their work;
- Managing the allocation of funds to meet priorities identified in the Strategy and Results Framework, and serving as a central point of fiduciary and operational accountability for all funds that pass to it from the Fund;
- Improving the cost-efficiency of each Member Center and of the CGIAR system as a whole through the provision of advice, world-class shared functions and research platforms, and other means; and
- Identifying and promoting to the Member Centers opportunities to achieve gains in relevance, efficiency, and effectiveness.

3 . From the Maputo reform proposal, 2008.

**ARTICLE 3: CONSORTIUM OFFICE,
SHARED SERVICES UNITS, OFFICES
[TO BE REFINED AND DETAILED
IN PHASE II]**

- The principal location of the Consortium Office shall be at ..., ..., or at such other place in ... as may be mutually agreed upon by the Government of ... and the Consortium.
- Nothing in the preceding provisions of this Article shall preclude cooperation and collaboration in a less formal manner between the Consortium and other countries or organizations.

**ARTICLE 4: FINANCIAL MEANS
[TO BE TAILORED TO LEGAL
AND HOST COUNTRY
REQUIREMENTS]**

It is envisioned that the Consortium shall seek primary funding from the Fund. It may accept other funds from other sources as the Consortium Board determines are consistent with the purpose of the Consortium, as defined in Article 2.2, and the current CGIAR Strategy and Results Framework.

**ARTICLE 5: STRUCTURE AND
GOVERNANCE**

The organs of the Consortium are

- The Consortium Board (the “Board”) including its Officers (Chair, Vice-Chair)
- The Board Committees
- The Consortium Office headed by the Consortium CEO

Member Centers are legally independent bodies whose relationship with the Consortium entails the rights and responsibilities described in Article 9. The Member Centers shall be the locus of research expertise and implementation in the CGIAR.

ARTICLE 6: BOARD

6.1 OBJECTIVES

The primary objective of the Consortium Board shall be to lead, coordinate, and support the Member Centers in collective pursuit of the CGIAR vision. It shall provide leadership, strategic direction, and harmonization in areas of common interest among the Member Centers and serve as the focal point of activity and responsibility for the Fund. The Board will oversee the development of the CGIAR strategy, Strategic Results Framework, Mega Programs, and organizational framework, and collaborate with the Fund Council and Funders Forum to gain agreement and secure funding. It will also, with the support of the Consortium Office, oversee the performance of Mega Programs and of Member Centers as set forth in this document and relevant performance agreements.

6.2 MEMBERSHIP AND ELIGIBILITY

6.2.1 NOMINATIONS OF BOARD MEMBERS

Initial Board members will be selected by a search and selection committee following a process approved by the Alliance of CGIAR-supported Centers. Subsequent Board members will be selected via a nomination process described herein:

- If a Board seat is known to be coming open with any timing other than the expiration of a normal term, the Chair shall give notice of the vacancy to the Nominations Committee;
- Once a Board vacancy is posted, the Nominations Committee shall seek nominations in an open and transparent process;
- Advised by the Nominations Committee, the Board shall propose nominee(s) (one per unfilled position) to the Member Centers;
- Each Member Center shall have one vote for or against each nominee; nominees are elected by a 3/4 super-majority of the Member Centers in favor;
- If a nominee fails to gain the required number of votes in favor, the Nominations Committee must propose a new nominee for that vacancy;
- If three subsequent nominees for a given vacancy each fail to gain the required number of votes in favor, any following nominees are elected by a simple majority of the Member Centers voting in

favor, following the process as above. Nominees who failed to gain a 3/4 super-majority in favor may be, at the discretion of the Consortium Board, proposed again for the simple majority vote.

Initial Board members will serve two or three-year terms to ensure a staggered transition, with a maximum of six years of consecutive service. Subsequent Board members will serve three-year terms, with a maximum of six years of consecutive service.

This nomination process does not apply to the Board's observers.

6.2.2 COMPOSITION

The Consortium Board composition will be competency-based, ensuring a balanced skill set and with regard to gender and diversity. It will consist of 10 members and 2 observers:

- Nine voting members selected on individual merit and not to represent certain bodies or organizations:
 - Membership should reflect policy, science/research, and financial/managerial backgrounds;
 - No members may concurrently be an officer, a trustee, or an employee of a CGIAR-supported Center, office, or program;
 - No members may concurrently be an officer, a trustee, or an employee of any organ of the Fund; and
 - At least four members at any given time must not have been affiliated with the CGIAR in the three years prior to joining the Consortium Board.
- One voting *ex officio* member: the Consortium CEO
- Two nonvoting, nonmember observers: one representative of Member Center leadership, as agreed and appointed by the Member Centers, and one representative of the Fund Council, as agreed and appointed by the Fund Council.

6.2.3 OFFICERS (CHAIR, VICE-CHAIR)

In the inaugural Board, the Chair and Vice-Chair shall be selected by the search and selection committee following a process as approved by the existing Alliance of CGIAR-

supported Centers. Subsequent Chairs and Vice-Chairs will be selected by the Board from among the Board's members (unless otherwise agreed upon by the Board).

The primary role of the Chair is to further the CGIAR vision and the purpose of the Consortium in close collaboration with the Board and the CEO.

The Chair shall determine, in consultation with the Consortium CEO, the agenda for each Board meeting, and preside over each meeting. The Vice-Chair shall perform these duties in the event that the Chair is absent.

The terms of the Chair and Vice-Chair will begin at the meeting in which they are elected. Terms will last for a minimum of a two-year period, unless pre-empted by the end of the Board member's Board term or decided otherwise by the Board for exceptional reasons.

6.2.4 SECRETARY

The Chair shall appoint a Secretary of the Board. The Secretary shall attend Board meetings and perform such recording and record-keeping functions as requested by the Board.

6.2.5 VOTING

Board decisions will be made by consensus to the maximum extent possible. As a last resort, where a clear decision is required and consensus is not achievable, the members of the Board shall each have one vote. In case of a tie, the vote of the Chair (or the Vice-Chair if the Chair is absent) shall be the deciding vote. Vote by proxy via another Board member is possible, if communicated to the Chair prior to the meeting. Decisions will be made by simple majority vote unless otherwise specified and provided a quorum is present.

6.2.6 SECRET BALLOT

The Chair will propose to conduct an open ballot by default. The Board may decide to conduct a secret ballot without restriction.

6.3 MEETING FREQUENCY AND INTERACTION

6.3.1 FREQUENCY

The Board shall meet and interact as deemed necessary to function effectively. At a minimum, there should be two in-person Board meetings per year. It is anticipated

that, in addition to the aforementioned in-person meetings, there will be at least bi-monthly additional conference calls and regular electronic updates as requested by the Chair. Board members are expected to adequately prepare for all Board and relevant Committee meetings; a significant time commitment is expected. Beyond the commitment of Board members, the Chair will be expected to devote as much additional time as is necessary to ensure the effective functioning of the Board.

A meeting of the Board will be convened by written notification from the Chair, or by the Consortium CEO at the direction of the Chair.

6.3.2 SPECIAL MEETINGS

Special meetings include any Board meetings outside those that are regularly scheduled. They may be called at the request of the Chair, 3/4 of the Board members, or 3/4 of the Member Centers.

6.3.3 PARTICIPATION

Board members shall make every reasonable effort to participate in all meetings. Board members may not appoint an alternate to serve in their stead. In the event a Board member does not attend more than two consecutive meetings, the membership of such a Board member may be reassessed by the Chair, who may request the Board member's voluntary resignation or recommend to the Board that the member be removed.

6.3.4 QUORUM

A Board meeting shall not be held unless over one half of all members are present. This rule applies to all regular and special meetings of the Board, including teleconferences.

6.3.5 NOTICE AND COMMUNICATIONS

The Consortium Office, in collaboration with the Chair, shall prepare the agendas and materials for Board meetings. The agenda and materials shall be circulated to Board members electronically at least two weeks prior to each regular meeting and one week prior to any special meetings. All advice and recommendations of the Board will be recorded in minutes of the Board meetings, which shall be copied to all members of the Board, to be approved and retained in the permanent records

of the Consortium Office. Confirmed minutes of each meeting will be communicated to all Member Centers and the Fund Council and made available to the general public within 10 business days of their confirmation. The Consortium Office shall support the Board by providing the required documents and by coordinating communications as required. Communication with Board members and the Consortium Office may be conducted by mail, fax, electronically, or by other appropriate means.

In addition to other communications, the Consortium Board shall produce, with the support of the Consortium Office, an Annual Report in such a form as required by applicable law. The Annual Report shall, at minimum, be distributed to the Member Centers, Fund Council, and Partners, and shall be made available to the general public.

6.4 ROLES AND RESPONSIBILITIES

Although the Board is ultimately responsible for all roles and responsibilities stated below, it may delegate tasks to the Consortium CEO and Office as it deems appropriate.

Concerning strategy development, resource mobilization, and funds allocation the Board will

- Oversee the development of, and review and endorse, the CGIAR Strategy and Results Framework and submit it to the Funders Forum for approval. The Strategy and Results Framework shall be developed together with Member Centers and with the input of a broad range of donors and Partners;
- Develop a framework for funding, including a resource mobilization strategy, in cooperation with the Fund Council, to structure funding flows to address programmatic and structural financing needs;
- Engage in fund raising together with the Fund Council;
- Take ultimate financial and operational responsibility for all funds received by the Consortium from the Fund, including full authority to enter into related agreements and enforce agreed-upon provisions as relevant vis-à-vis Member Centers and any others receiving funds from the Fund via the Consortium; and

- Decide on allocation of funding across Member Centers and programs, in any case where funds are given to the Consortium for allocation.

Concerning Mega Programs the Board will

- Set such common criteria, policies, and standards for Mega Program execution as are helpful in ensuring Mega Program effectiveness and are consistent with the Consortium purpose described in Article 2.2;
- Review and endorse Mega Program proposals from Member Centers, which shall address at minimum project leadership and management structure, allocation of work and funds across participants, budget, performance measures, progress-tracking, and the reporting process;
- Submit proposals for Mega Programs and the allocation of funds across Mega Programs to the Fund Council for consideration, taking into account proposals submitted to the Consortium by Member Centers; enter into performance agreements with the Fund Council for Mega Program implementation;
- Review and authorize fund allocation within Mega Programs, on the basis of proposals submitted by Mega Program participants;
- Enter into performance contracts with Member Centers and Partners involved in execution of the Mega Programs; and
- Oversee the monitoring of Mega Program performance and take appropriate remedial actions with participants when necessary to ensure the use of funds for intended purposes and the success of the Mega Program. The Consortium's performance management role vis-à-vis Mega Programs shall address development impact as well as financial and operational performance.

Concerning Member Centers outside of those roles specific to Mega Programs, the Board will

- Set such common criteria, policies, and standards for Member Center performance and efficiency as are consistent with the Consortium purpose described in Article 2.2;
- Review the performance and efficiency of Member Centers;
- Review the general alignment of Member Centers' activities with the CGIAR Strategy and Results Framework;

- Review the current and potential structural organizations of and among the Member Centers, and decide on appropriate actions including any opportunities for Member Center or field asset realignment; such a review shall be based on thorough analysis and shall include appropriate involvement of Member Centers;
- Advise Member Centers on best practices in areas of common interest, including governance, risk management, and supporting functions; and
- Review and endorse plans for, and, together with the CEO, oversee, shared functions and research platforms *[to be detailed in Phase 2]*.

Concerning reporting and external relations, the Board will

- Update the Fund Council on its activities. The Board shall report at least annually to the Fund Council, in a form mutually agreeable to the two parties, and as otherwise agreed upon in performance and related agreements with the Fund. This reporting shall address performance vis-à-vis the Strategy and Results Framework, financial reporting with respect to use for intended purposes, operational performance of the Mega Programs and Member Centers, actions taken by the Consortium Board with regard to Member Center operations and common services, and any other Consortium and Member Center activities relevant to the Fund Council's investment.
- Work with the Fund Council to establish common standards for reporting on Mega Program and Member Center performance, in order to reduce the overall reporting burden on Member Centers.
- Support the Consortium CEO and Consortium Office in advocacy, public relations, and communications efforts.

In addition, the Board will oversee the Consortium Office as a business entity, and in so doing, will

- Develop, maintain, and as needed, update the strategic and operating plans of the Consortium Office;
- Approve the operating budget of the Consortium Office and Consortium Board; and
- Select, hire, conduct performance reviews for, and determine the continued employment or removal of the Consortium CEO.

Finally, in its governance role, the Board will

- Assume financial and operational accountability for Mega Programs and the Consortium Office, including shared services and research platforms;
- Initiate periodically external reviews of Consortium functioning and performance;
- Determine criteria for membership in the Consortium, and as warranted, nominate prospective Member Centers for membership; this nomination must be approved by the current Member Centers; see Article 9.9;
- Propose amendments to this Constitution to Member Centers, in consultation with the Fund Council;
- Seek to resolve conflicts among Member Centers and between the Consortium and any Member Centers; and
- Design mechanisms for risk management and compliance and oversee their implementation.

6.5 COMPENSATION

Inaugural Consortium Board members shall be compensated for their services as proposed by the Search and Selection Committee and approved by the Alliance of CGIAR-supported Centers. On an ongoing basis, Board members shall be compensated as proposed by the Consortium Board and approved by the Member Centers.

Additionally, Board members shall receive reimbursement of expenses incurred in the performance of their duties.

6.6 RESIGNATION AND REMOVAL POLICIES

Any Board member may resign at any time by delivering written notice to the Chair, or by giving oral notice at any meeting of the Board. Any such resignation shall take effect at the time specified therein, or if the time is not specified, upon receipt by the Chair or CEO.

Gross negligence of duties, fraud, and/or criminal activity shall be grounds for Board member removal. A unanimous vote of the voting Board members, the Board member being removed excluded, or a 3/4 super-majority vote of the Member Centers is provision for removal.

ARTICLE 7: COMMITTEES

The Board shall establish a Nominations Committee and an Audit Committee and may establish such other Committees, working groups, advisory panels, and other similar groups it deems necessary to advise and carry out the business of the Board efficiently and effectively. These bodies may be composed of Board members and/or non-Board members. Committees will be established with defined terms of reference and deliverables. Committees will operate under this Constitution and any specific committee rules and regulations as may be adopted and amended by the Board.

The Chair shall recommend a qualified candidate to chair a Committee, taking into account the purpose and mandate of the Committee, and present the candidate to the Board for approval.

ARTICLE 8: CONSORTIUM CHIEF EXECUTIVE OFFICER (CEO) AND CONSORTIUM OFFICE

8.1 CONSORTIUM CHIEF EXECUTIVE OFFICER (CEO)

The Chief Executive Officer of the Consortium shall be selected by the Board. The CEO will be both a public face of the CGIAR system and the leader of the Consortium Office staff, which will be recruited and appointed by the CEO. The performance of the CEO shall be reviewed by the Board annually.

The internal roles and responsibilities of the CEO shall include

- Contributing to the development of and implementing the overall CGIAR strategy, Strategy and Results Framework, and portfolio of Mega Programs, in close cooperation with Member Centers and Partners;
- Leading the implementation and ongoing renewal of the Strategy and Results Framework;
- Working closely with the Consortium Board in developing common policies and standards for Mega Programs and Member Centers, as described in Article 6.4;

- Managing the development of proposals, budgets, and performance contracts to implement the Strategy and Results Framework, including those for Mega Programs, with involved Member Centers and Partners;
- Providing day-to-day oversight of the role of the Consortium in managing and monitoring the performance of Mega Programs and any other programs implementing the Strategy and Results Framework;
- Managing, directly or through staff, the Consortium Office functions and dissemination of best practices across Member Centers in common areas such as governance, human resources, financial management, and risk management;
- Leading the Consortium Office in gathering the information needed from Member Centers in order for the Consortium Board to fulfill its reviewing and oversight roles as described in Article 6.4;
- Identifying and setting up such shared functions and research platforms as may be needed to optimize Consortium and Member Center effectiveness and efficiency, and managing, directly or through staff, the organization needed to provide shared functions and research platforms;
- Developing an annual Consortium Office budget for Consortium Board approval, and ensuring adherence to this budget and prudent spending as is deemed appropriate for a development organization;
- Establishing an effective system for liaising with Member Centers to ensure coordination and alignment;
- Supporting the Consortium Board to enable it to execute its roles and responsibilities effectively and liaising regularly with its Chair and members; and
- Supporting Member Centers to enable them to execute their roles and responsibilities effectively.

The external roles and responsibilities of the CEO, which may at times be carried out together with the Consortium Board Chair or other members of the Consortium Board, shall include

- Representing the Consortium in negotiations and other interactions with the Fund Council, Trustee, Fund Office, and if needed to further the

Consortium purpose or requested by the Fund Council, individual donors;

- Partnering with members of the Fund Council in raising funds for the CGIAR;
- Building strategic collaboration and relations with external Partners, including private sector institutions and relevant nongovernmental organizations, advanced research institutes, and national agricultural research systems, to further the pursuit of the CGIAR vision and Consortium purpose, as described in Article 2; and
- Conducting advocacy efforts to expand the CGIAR's positioning and brand, including representing the CGIAR at top-level international fora and other relevant meetings.

The CEO role shall also include such other activities as the CEO may find necessary or useful to further the Consortium's purpose.

8.2 CONSORTIUM OFFICE

The Consortium Office shall consist of a professional staff responsible for carrying out the day-to-day operations of the Consortium. The powers, duties, and processes of the Office shall be defined in directions as shall be provided by the Board and CEO.

The CEO shall manage the Consortium Office and shall report on its activities to the Board as and when required by the Board, but at a minimum twice per year, as determined in directions as shall be provided by the Board.

The Consortium Office shall not directly conduct agricultural research.

ARTICLE 9: CONSORTIUM MEMBER CENTERS

9.1 ROLE OF MEMBER CENTERS

The Member Centers are the locus of research expertise and research management within the CGIAR. Within the framework of this Constitution, the Consortium shall aim to support the Member Centers in discharging their research and management roles. Correspondingly,

the Member Centers shall aim to support the Consortium Board and CEO in executing their roles and responsibilities, as defined in Articles 6.4 and 8.1 of this Constitution, and consequently shall accept the authority of the Consortium Board and CEO in decisions regarding these roles and responsibilities.

9.2 RESPONSIBILITIES OF MEMBER CENTERS

The responsibilities of Member Centers include

- Adherence to this Constitution and to Consortium Board decisions;
- Partnership with each other and the Consortium Board, and support of the Consortium Board in fulfilling its roles and responsibilities (Article 6.4);
- Execution of high-quality research in accordance with performance contracts as may be entered into with the Consortium;
- Operating in alignment with the CGIAR's overall Strategy and Results Framework;
- Operating efficiently; and
- Reporting on research impact and efficiency to the Consortium, on the basis of common criteria, processes, and standards set by the Consortium Board and/or CEO.

9.3 RIGHTS OF MEMBERSHIP

The rights of membership conferred upon Member Centers, subject to the provisions of Article 9.8, include

- Being consulted by the Consortium Board for advice and feedback;
- Submitting research proposals to implement Mega Programs or other aspects of the Strategy and Results Framework to the Consortium Board for consideration and potential funding from the Fund; and
- Receiving a copy of all required reporting from the Consortium Board and Consortium Office provided to the Fund Council.

Additional rights may be conferred to Member Centers individually by contract or agreement or collectively through Consortium Board decisions.

9.4 RIGHTS AND RESPONSIBILITIES OF MEMBER CENTERS IN SECURING BILATERAL FUNDING

In addition to acquiring the rights of membership, Member Centers maintain their existing right to secure bilateral funding, provided that such funding includes full overhead costs for the funded activities.

Additionally, all bilateral-funded projects shall be included in Member Centers' financial and activity reporting to the Consortium.

9.5 MEMBER CENTER RIGHTS IN CONSORTIUM GOVERNANCE

Member Centers shall have the following governance rights, each of which requires the Consortium Board's prior nomination or proposal:

- Electing nominated Consortium Board members, following the process described in Article 6.2.1;
- Approving proposed amendments to the Consortium Constitution;
- Approving proposed Consortium Board member compensation; and
- Admitting nominated Member Centers.

Member Centers shall have the following additional governance roles, which do not require a prior nomination or proposal from the Consortium Board,

- Electing an observer to the Consortium Board from among the Member Centers;
- Convening special Consortium Board meetings;
- Casting a "no confidence" vote; such a vote shall serve as a public expression of severe disagreement with Consortium Board performance, decisions and/or behavior, but shall not be formally binding on any specific actions of the Board including its resignation;
- In exceptional cases, removing individual Consortium Board members; and
- Approving Consortium continuity per the sunset clause, as defined in Article 13.3.

9.6 MEMBER CENTER VOTING

In all cases requiring a vote of Member Centers, each Member Center shall have a single vote.

All votes of Member Centers in Consortium governance shall require a 3/4 super-majority to pass unless otherwise specified.

9.7 PARTNERSHIP AND MEDIATION

It is expected that the Consortium Board will work in close partnership with Member Centers, including their boards and executive leadership, and with the Fund Council, and that Consortium Board decisions will be made, to the extent possible, in such a manner and with such a result as is agreeable to all parties.

If the Consortium Board and a Member Center board cannot agree, either may request that a third-party mediator be appointed. The identity of the mediator shall be agreed upon by both parties. *[Additional detail regarding mediation to be fleshed out during legal review and harmonized with any systemwide mediation mechanisms]*

9.8 MEMBER CENTER COMPLIANCE WITH CONSORTIUM BOARD DECISIONS

In the event that a Member Center does not fulfill its responsibilities as described in Articles 9.2 and 9.4, or is not compliant with a decision of the Consortium Board made within the scope of the Consortium Board's roles and responsibilities described in Article 6.4, the Consortium Board may take actions it deems appropriate, within the parameters described in this section. Whenever possible, the first action of the Consortium Board shall be to consult with the board of the Member Center to discuss necessary remedial actions. If the two parties cannot agree, either may request mediation, as described in Article 9.7. If remedial actions are agreed upon, the Consortium Board shall allow reasonable time for their completion.

In the event that the Member Center board is unable or unwilling to take the necessary actions, the Consortium Board may take further action, including excluding the Member Center from consideration for future funding, withholding current funding (as allowable within any applicable agreements or contracts), and/or withholding any or all of the rights of membership described in Article 9.3.

The Consortium Board may not withhold a Member Center's right to secure bilateral funding (Article 9.4) or any other Member Center rights not conferred by virtue of membership in the Consortium. The Consortium Board also may not withhold a Member Center's right to discontinue membership voluntarily (Article 9.9) nor may it withhold a Member Center's rights in Consortium governance (Article 9.5) so long as the Member Center remains in membership.

9.9 ADDITION OR EXPULSION OF MEMBER CENTERS

The Consortium Board shall establish general criteria for admission to the Consortium and shall nominate prospective Member Centers for membership. Prospective Member Centers shall be admitted by a 3/4 super-majority vote of the Member Centers.

In the extreme case that its options as described in Articles 9.7 and 9.8 have been exhausted and have not produced a resolution satisfactory to the Board, the Consortium Board may hold a vote to expel a Member Center. A decision to expel a Member Center must be supported by a 3/4 super-majority vote of all Consortium Board members.

It is expected that decisions regarding addition or expulsion of Member Centers will be made in consultation with the Fund Council.

Independent of the actions of the Consortium Board, Member Centers individually maintain the right to discontinue voluntarily their membership in the Consortium.

ARTICLE 10: CONFLICTS OF INTEREST [TO BE INCLUDED IF LEGALLY ADVISABLE AND IF SO, TAILORED TO LEGAL AND HOST COUNTRY REQUIREMENTS]

ARTICLE 11: RELATIONSHIP WITH OTHER ORGANIZATIONS

In order to achieve its objectives in the most efficient way, the Consortium may enter into agreements for close cooperation with relevant national, regional, or international organizations, foundations, and agencies. Member Centers retain autonomy to engage in any agreements with third parties provided they do not conflict with Member Center responsibilities and obligations set forth in this Constitution.

ARTICLE 12: RIGHTS, PRIVILEGES, AND IMMUNITIES [TO BE TAILORED TO LEGAL AND HOST COUNTRY REQUIREMENTS]

- The Consortium shall make arrangements with its host country to ensure that the Consortium, its staff members, and official visitors shall enjoy in the territory of the host country the same rights, privileges, and immunities as customarily accorded to other international organizations, their officials, staff, and official visitors. Such rights, privileges, and immunities shall be specifically defined in a Consortium Office Agreement with the host country.
- Similarly, the Consortium may enter into agreements with other countries in which it works for the purpose of granting the Consortium, its officials, and staff such privileges and immunities as are required for such work.
- The privileges and immunities referred to in the preceding paragraphs are to be provided solely to ensure in all circumstances the unimpeded functioning of the Consortium, and the complete independence of the persons to whom they are accorded.

ARTICLE 13: AMENDMENT, BYLAWS, AND DISSOLUTION [TO BE TAILORED TO LEGAL AND HOST COUNTRY REQUIREMENTS]

13.1 AMENDMENT

[It is envisioned that any amendments to this Constitution must be discussed with the Fund Council and approved by 3/4 of the members of the Consortium Board, and then by 3/4 of the Member Centers. Specific language will be tailored to legal and host country requirements.]

13.2 BY-LAWS

The Board may adopt by-laws and other internal guidelines, which will include financial and audit regulations and which shall be subject to ...

13.3 SUNSET CLAUSE

Ten years after the formal establishment of the Consortium, the Board shall commission a review of the value and sustainability of the Consortium. The Member Centers, Fund Council, Trustee, and Partners shall be consulted as part of this review and shall receive the review findings and conclusions. The Consortium will be dissolved if the Member Centers approve both the dissolution of the Consortium and a transition plan, each by a 3/4 majority, provided that the transition plan also has the approval of any other parties whose approval is needed for the transition plan to take effect.

13.4 DISSOLUTION AND LIQUIDATION

If the Consortium is unable to continue its activities, the Board shall notify the Member Centers of the situation of the Consortium.

The Consortium may be dissolved in accordance with Civil Code. The Board shall carry out the liquidation unless it designates another party to act as a liquidator.

In the event of liquidation of the Consortium, its remaining assets shall [...destination of assets...].



CHAPTER 3

FRAMEWORK FOR THE CGIAR FUND

This chapter describes the main features of the new CGIAR Fund and the roles, responsibilities, relationships, and accountabilities of its components.

A. INTRODUCTION

The CGIAR approved extensive reforms in 2008, introducing a new organizational architecture and governance model. The unitary oversight model of the old CGIAR is being replaced by two separate but mutually reinforcing pillars, one on operations (the new Consortium of CGIAR Centers) and the other on financing (the new CGIAR Fund), with several new mechanisms forming a bridge between the two pillars. This two-pillar structure provides a clear separation between the “doers” and the “funders.”

The Consortium of CGIAR Centers is a new legal entity being established by the international Centers that are part of the CGIAR to lead, coordinate, and support the Centers. *The CGIAR Fund* is a new multi-donor, multiyear funding mechanism set up to provide strategic financing to support priority agricultural research areas. These two pillars are joined through four *bridging mechanisms*:

1. *Strategy and Results Framework (SRF)* setting common goals (in terms of development impacts), strategic objectives, and results (in terms of outputs and outcomes) to be jointly achieved by the Fund, the Consortium, and bilateral funders to the Centers within a certain time frame;
2. *Performance Agreements for Mega-Programs* between the Fund and the Consortium—for operationalizing the agreed SRF;
3. *A Monitoring and Evaluation (M&E) Framework*—for institutional learning and promoting accountability.
4. *Independent Science and Partnership Council (ISPC)*—for enhancing and promoting the quality, relevance, and impact of science and science partnerships in the CGIAR.

B. DESCRIPTION

1. THE CGIAR FUND

The CGIAR Fund (the Fund) will finance Mega Programs under the SRF for implementation by the Centers and their partner institutions. It is intended to facilitate har-

monization of donor support by providing a single entry point for financing, initially through three designated funding “windows.”

1.A FUNDING “WINDOWS”

Under the new funding model the counterpart of the Fund on the “doer” side is the Consortium. Thus, all funds would be channeled from the Fund under agreements with the Consortium. To ensure flexibility, performance agreements can also be used for funding of proposals covering critical activities that are vital for successful implementation of the SRF that have been approved by the Fund Council. In the case of Mega Programs, this would be in the form of program performance agreements, with performance criteria based on the approved program proposal. In the case of institutional support, only a “light” agreement would be needed, requiring that the funds are to be used subject to agreed common standards and for implementation of activities under the SRF.

Donors contributing to the Fund (Fund Donors) may designate use of their funds in three ways in the following order of preference to support coordination and harmonization:

1. *Window 1*: To the entire CGIAR program portfolio. Window 1 funds would be allocated by the Fund Council to Mega Programs, as well as to proposals from the Consortium for support to other critical activities that are vital for successful implementation of the SRF.
2. *Window 2*: To one or more of the approved Mega Programs.
3. *Window 3*: To one or more Centers. This Window is intended to be transitional. After a two year transition period, the Fund Council will set a date for its closure in dialogue with the Consortium.

1.B GENERAL GUIDELINES

By participating in the Fund, Fund Donors agree that

1. They would adhere to the principles laid out in the CGIAR Joint Declaration as adopted at the 2009 Business Meeting;
2. The Fund is an instrument for harmonizing their approach to funding international agricultural research through the CGIAR;

3. They are financing the approved CGIAR SRF through one or more of the three funding windows, preferably through the unrestricted funding window;
4. If they were to provide bilateral funding these should be for activities within or consistent with the agreed SRF;
5. They will rely on the judgment of the Fund Council, as the decision-making body of the Fund, for collective decisions on behalf of all Fund Donors, including allocation decisions on unrestricted funds (Window 1), following review of funding requests from the Consortium;
6. In supporting a move to program funding, the Fund Council will ensure the continued existence of appropriate funding mechanisms for mission critical items such as gene banks and essential capital improvements;
7. All outflows from the Fund to the Consortium from Windows 1 and 2 would be based on proposals received and approved by the Fund Council;
8. All inflows to the Fund will cover costs associated with Trustee, Fund Council and Fund Office operations. All inflows to the Fund and any other funds flowing to the Centers to support the SRF (bilateral funding) will cover costs associated with system-wide functions (including the Consortium budget, shared Consortium services, ISPC and evaluations).
9. The World Bank, as Trustee, would serve as the agent of the Fund Council in effectuating program performance agreements between the Fund and the Consortium;
10. Fund Donors intending to contribute to Window 2 agree that, in the event their preferred program(s) appear to be overfunded based on initial funding indications, the Fund Council could advise them to channel part of their resources to underfunded programs;
11. They will rely on the independent evaluation and performance monitoring mechanisms established by the Fund Council and the Consortium and refrain from conducting additional, duplicative evaluations of Mega Programs or Centers;

12. Rights and remedies regarding fiduciary and programmatic responsibility are as negotiated with the Consortium and reside with the Fund Council, as a collective, on behalf of all Fund Donors.

1.C FUND ALLOCATION PROCESS: A PRELIMINARY DESCRIPTION

Context. The Mega Programs are expected to be financed through four possible sources of funding:

- *Source 1:* Window 1 funds allocated by the Fund Council;
- *Source 2:* Window 2 funds designated by individual Fund Donors for Mega Programs;
- *Source 3:* Window 3 funds designated by individual Fund Donors for a Center, with the expectation that part of such funds may, in the Center's discretion, be allocated to Mega Programs;
- *Source 4:* Bilateral funds (resources provided outside the Fund framework) for financing a project or activity that is part of that Mega Program .

Because of the complexities involved in balancing supply and demand for funds, the fund allocation process needs to be *iterative* rather than *linear*. Program design and financing need to be adjusted and fine-tuned in an iterative manner in order to arrive at a portfolio of programs that has sufficient funding.¹

Program Review and Approval. The responsibility for approving individual Mega Program proposals rests with the Fund Council, based on program criteria set by the Fund Council in consultation with the Consortium. The Consortium is required to follow these criteria in the preparation and submission of each Mega Program proposal to the Council.

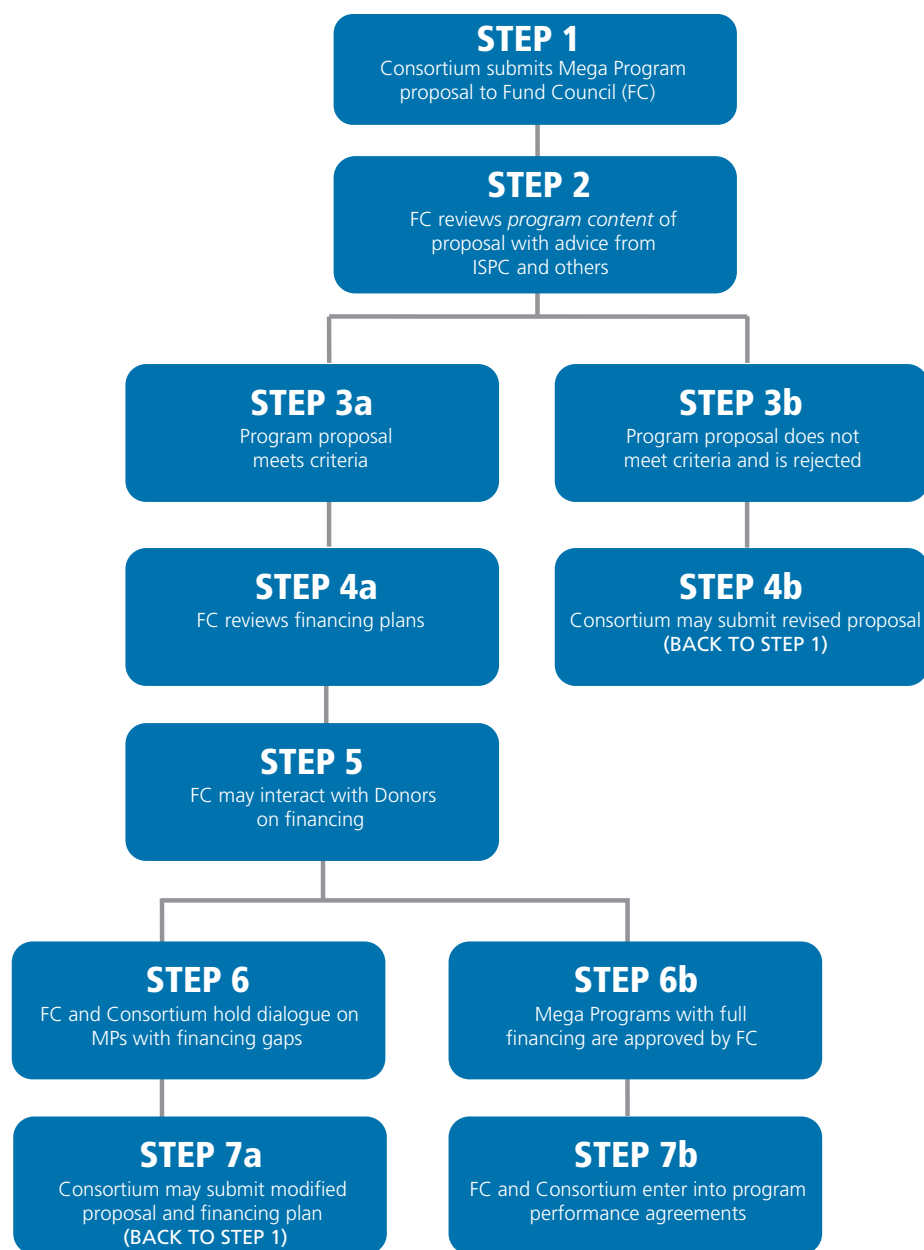
In addition to the *program content*, each Mega Program proposal will include a *financing plan*. The Fund Council reviews first the program content of the proposal, with advice from ISPC and other experts (as needed). If a proposal does not pass the program criteria established by the Fund Council, it is rejected. The Consortium has the right to submit a revised proposal.

¹ See also Section E

The Fund Council reviews financing plans of only the Mega Program proposals that pass the program content criteria. The Fund Council informs the Consortium of any mismatch between the financing plans proposed by the Consortium and available Window 1 and Window 2 funds. Mega Programs that have no mismatches in financing may be approved by the Fund Council and proceed to preparation of performance agreements.

Where there are mismatches, the Consortium has the opportunity to propose a modified proposal and matching financing plan that could be fully funded. The Council reviews the modified proposal and financing plan and makes a decision to approve or reject the proposal.

The following flow chart illustrates the envisaged process.



1.D ENTITIES AND EVENTS ASSOCIATED WITH THE FUND

The CGIAR's new governance structure includes new entities and events. Principal among these are the following:

- Funders Forum
- Fund Council
- Fund Office
- Trustee
- Independent Science and Partnership Council (ISPC)
- Consortium
- Centers

Figures 1 and 2 illustrate the relationships among these entities in terms of agreements and flows of funding and information.

2. FUNDERS FORUM

OBJECTIVES AND FUNCTIONS

Funders Forum is a biennial event providing a platform through which the participants

- discuss and exchange views about the CGIAR;
- endorse the SRF proposed by the Consortium every six years;
- review and endorse the proposal on cost structure and financing plan for system-wide functions developed by the Consortium in conjunction with the Fund Council;
- provide feedback to the Consortium and the Fund Council on the implementation of the SRF based on progress reports received from them and on the mid-term reviews of the SRF; and
- review shortfalls or imbalances in resources available for Mega Programs, so that individual donors could consider adjusting their allocations.

PARTICIPANTS

All countries and organizations that are Fund Donors, members of the Fund Council, countries hosting the headquarters of a CGIAR Center and the Consortium are automatically invited to participate in the Funders Forum. In addition, participation in the Forum is open to all bilateral donors making a minimum financial contribution of US\$500,000 in the prior calendar year to support implementation of the SRF.

The Chair of the Forum, in consultation with donor participants, will identify and invite representatives of CGIAR's internal and external stakeholders who are not members of the Fund Council, including potential donors, to participate in the Forum.

MEETINGS

The Forum will be convened every two years, synchronized with the biennial meeting of GCARD in such a way as to ensure feed-in of GCARD recommendations to the Forum. In addition, in the off years CGIAR donors would be invited to have dialogue with the Consortium and the Centers in events linked with the Fund Council meetings, according to a format agreed by the Consortium and the Fund Council.

The inaugural meeting of the Forum will be chaired by the Chair of the Fund Council. The Fund Council will propose options for chairmanship of subsequent meetings for discussion and decision at the inaugural Forum.

The Chair provides leadership to the deliberations of the Forum, interacts with the Fund Council, the Consortium, and Funders Forum participants, and provides guidance to the Fund Office on Forum matters, such as the follow-up of Forum recommendations on the SRF.

Support to the Forum and its Chair is provided by the Fund Office.

3. FUND COUNCIL

OBJECTIVES AND FUNCTIONS

The Fund Council is the Fund's decision-making body, representing the Fund Donors. The Council has the following specific responsibilities²:

OVERVIEW:

1. In discharging its responsibilities, the Fund Council has an overview of the CGIAR's strategic impact, quality and relevance of programmatic performance, managerial and governance performance, and its financial performance and

². Annex table 1 illustrates the new *program cycle* in the CGIAR, including the roles and responsibilities of various actors.

resource mobilization, based primarily on information from the Consortium.

2. Providing oversight on the use of funds from the Fund, based in part on reporting, audits and other assurances of due diligence regarding use of such funds provided by the Consortium.

MEGA PROGRAM AND INSTITUTIONAL SUPPORT:

3. Setting criteria, standards, formats, and processes for funding Mega Program proposals from the Consortium, in consultation with the Consortium.
4. Reaching a results-based program performance agreement with the Consortium on each Mega Program,³ on the basis of advice from the ISPC on the Mega Program proposal received and subsequent revisions, if any, of the proposal based on the reaction of the Fund Council.

RESOURCE MOBILIZATION:

5. Recognizing the Consortium Board's core responsibility for resource mobilization, the Fund Council will contribute to the development and implementation of a joint resource mobilization strategy for the Fund, so as to provide adequate and predictable funding for Mega Programs.

FUND ALLOCATION:

6. Ascertaining that the Consortium has in place effective accounting and control systems and processes to ensure that funds transferred to the Consortium are used for their intended purpose.
7. Allocating Window 1 funds.
8. Reconciling funding requirements and availability for individual Mega Programs in the program portfolio, based on information provided by the Consortium.

MONITORING AND EVALUATION:

9. Appraising the performance of the Consortium in meeting its obligations as defined in performance agreements, relying on accurate, comprehensive, timely, and harmonized information provided by the Consortium, and taking corrective action such as withholding funds in exceptional circumstances.
10. Commissioning periodic independent evaluations of Mega Programs (and cross-cutting themes) as

deemed appropriate, including with a view to validating findings from external evaluations commissioned by the Consortium, to provide independent validation of the findings of the self-evaluations commissioned by the Consortium.

11. Self-monitoring the efficacy of its fund allocation mechanism.
12. Monitoring the performance of the ISPC and the Fund Office.

GOVERNANCE:

13. Appointing the Chair of the Fund Council and proposing arrangements for the Chair of the Funders Forum.
14. Appointing the Chair and members of the ISPC and approving its program and budget.
15. Leading an international competitive process to identify the head of the Fund Office for the World Bank to appoint, and, when needed, suggesting a replacement.
16. Providing conflict of interest guidance for the Fund.
17. Approving the Fund Office work program and budget.

REPORTING:

18. Based on information provided by the Consortium, informing (i) Fund Donors on the utilization of their funds and the achieved results and (ii) the Funders Forum on the implementation of the SRF and imbalances in funding Mega Programs.
19. Reporting to Fund Donors on future funding prospects.

MEMBERSHIP

The Fund Council is a representative body of Fund Donors and other stakeholders, composed of *donor countries, multilateral and global organizations and foundations, and representatives of the South*.

- *Donor Countries* are members of the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD), and the four constituencies used for Council membership purposes are: Europe, North America, Asia and the Pacific;
- *Multilateral and Global Organizations and Foundations* are multilateral organizations contributing to the Fund, foundations

3. The Fund Council and the Consortium would have an umbrella agreement defining mutual roles, responsibilities, and accountabilities in funding, implementing, monitoring, and evaluation of individual Mega Programs. This agreement would also cover standard provisions that would apply to individual Mega Program agreements.

contributing to the Fund, and the Global Forum for Agricultural Research (GFAR);

- *Developing Countries and Regional Organizations serving the South* comprises representatives for the following constituencies: (i) Sub-Saharan Africa (SSA), (ii) Asia, (iii) Pacific, (iv) Central and West Asia and North Africa (CWANA), (v) Latin America and the Caribbean (LAC), and (vi) the Regional Fora (for agricultural research constituted by countries in each developing country region).

While there is no minimum for contributions to the Fund, the minimum contribution required to

become a Fund Donor eligible for representation in the Fund Council is USD 500,000. For the inaugural Fund Council this would be based on the average of the last two years for which data are available (2007-2008). It would include both restricted and unrestricted contributions and would apply to all donor countries, developing countries and foundations. The Fund Council may adjust eligibility requirements for Council membership, in view of actual contributions to the Fund.

The inaugural Fund Council will have 22 seats, with the following allocation of seats among the foregoing groupings and constituencies:

COMPOSITION OF INAUGURAL CGIAR FUND COUNCIL

		Number of Seats
DONOR COUNTRIES		
Europe		4
North America		2
Asia		1
Pacific		1
SUB-TOTAL		8
DEVELOPING COUNTRIES & REGIONAL ORGANIZATIONS		
SSA		2
Asia		2
Pacific		1
CWANA		1
LAC		1
Regional Fora		1
SUB-TOTAL		8
MULTILATERAL AND GLOBAL ORGANIZATIONS & FOUNDATIONS		
World Bank		1
IFAD		1
FAO		1
Foundations		2
GFAR		1
SUB-TOTAL		6
TOTAL		22

The following underlying principles are embedded in Fund Council membership:

1. Donor country seats will take into account recognition of share of their funding (not exact proportionality), and regional balance. This will recognize, over time, the value of unrestricted or program funding, whether supporting the SRF or its component programs.
2. The Council will maintain North-South balance in its membership.
3. Constituencies are free to rotate their seats according to their own rules (which should be shared for information with the Fund Council in the interest of transparency, not decision).
4. In the event that a Southern constituency does not have a qualifying Fund Donor, a regional organization should be asked to manage a process that will decide on a Fund Council representative to serve until a qualifying member emerges.
5. Members will be expected to disclose and manage conflicts of interest.
6. Effectiveness of the initial Fund Council will be reviewed as part of the external review of the System in three years, and suggested revisions might be proposed to change Fund Council composition. In this case, a special meeting including all Fund Donors will be called to decide on any changes (as needed).

The term of membership for the inaugural Fund Council is three calendar years for all members, unless otherwise agreed by the Fund Council.

CHAIR AND EXECUTIVE SECRETARY

The Fund Council Chair will be nominated by the World Bank President from among the Vice Presidents of the World Bank, after informal consultation with the Fund Donors. The Chair leads the conduct of the Fund Council's business, chairs the Fund Council meetings, and represents the CGIAR Fund in external fora.

The Executive Secretary of the Fund manages the Fund Office and assists the Chair in the conduct of Council business and represents the Council in external fora. The Chair, Executive Secretary, and the Fund Council are supported by the staff of the Fund Office.

MEETINGS

The Fund Council meets face-to-face twice a year. Additional meetings can be held as necessary. Meetings are preferably hosted by a Fund Donor or Center, as designated by the Fund Council Chair. The Fund Council may also conduct business electronically between meetings. All meetings of the Fund Council are open to any Fund Donor as *observer*.

Representatives of other stakeholders may be invited to participate in a Council meeting as *observers*.

The Fund Council will determine its own internal rules and procedures, including rules for managing potential conflicts of interest. It has the option to convene Executive Sessions.

DECISION MAKING

Decisions by the Fund Council will be made by consensus of its members. The Chair articulates the consensus view. If consensus is not possible, then the proposed decision will be postponed or withdrawn.

Whenever a decision must be made by the Council that cannot be postponed until the subsequent Council meeting, and no special meeting is called, the Chair may seek to have the decision made on an electronic "no-objection basis." The Fund Office will keep track of the decisions made on a no-objection basis.

The Council will make its decision processes transparent, through timely and accurate reporting to all Fund Donors, and periodic governance reviews of the Fund Council. It will provide clear instructions to Trustee regarding funding allocations and agreements with the Consortium on Mega Programs.

4. FUND OFFICE

OBJECTIVES AND FUNCTIONS

The CGIAR Fund Office is the support unit of the Funders Forum, the Fund Council, and their respective Chairs. Fiduciary responsibility for the Fund resides with the Fund Council. The Fund Office

does not have fiduciary, monitoring, or oversight roles regarding the use of Fund funds.

The Fund Office has responsibilities in the following four areas:

1. **Support to Fund Council.** The Fund Office assists the Council and its Chair in the conduct of the Council's business. Examples include:
 - a. Managing relations with Fund Donors;
 - b. Drafting background notes and papers as requested by the Fund Council;
 - c. Setting up and maintaining data bases;
 - d. Developing draft Fund Council procedures and guidelines;
 - f. Analyzing the Consortium's compliance with performance agreements, based on information submitted by the Consortium; and
 - g. Support to the Fund Council in resource mobilization efforts, in close collaboration with the Consortium.
2. **Support to Funders Forum.** The Fund Office assists the Chair of the Funders Forum in organizing the Forum.
3. **Liaison with the Trustee, Consortium, and ISPC.** The Fund Office assists the Fund Council in maintaining its business relations and dialogue with the Trustee, Consortium, and ISPC on day-to-day operational matters.
4. **Meeting Support and Communications.**
 - a. Organizes and backstops the regular meetings of the Funders Forum and the Fund Council;
 - b. Coordinates the Forum's and the Council's nomination and election processes (such as for ISPC);
 - c. Coordinates communications on behalf of the Fund and its Chair; and
 - d. Maintains the Fund's archives and manages its information activities.

STAFFING AND BUDGET

The Executive Secretary of the Fund Council leads the Fund Office and is identified through an international recruitment effort for appointment by the World Bank. The Fund Office is a team of high-level professional staff with expertise in the areas of responsibility of the Office.

The Fund Office is located in the World Bank headquarters and its staff are employed by the World Bank. The work program and operating budget of the Fund Office are subject to approval by the Fund Council and are financed through the CGIAR Fund.

The Fund Office operates under World Bank policies.

5. TRUSTEE

The World Bank will serve as the *trustee* of the CGIAR Fund, under its trust fund policies. The Fund Donors would enter into Trust Fund Administration Agreements with the World Bank with common provisions for all donors.

The World Bank, as *trustee*, will provide the following limited trustee functions:

- a. it will hold in trust the funds transferred by Fund Donors under Trust Fund Administration Agreements;
- b. it will serve as an agent of the Fund Council in disbursing Fund resources based on specific instructions from the Fund Council and through Fund Transfer Agreements between the World Bank and the Consortium;
- c. it would provide regular reports on its Trustee activities to the Fund Council, Fund Donors, and the Consortium; and
- d. it would not be responsible for supervising use of funds nor any other form of supervision.

6. INDEPENDENT SCIENCE AND PARTNERSHIP COUNCIL

ISPC is a critical advisory entity associated with the Fund. It is an independent standing panel appointed by the Fund Council whose overarching purpose is to provide independent advice and expertise to the funders of the CGIAR through services to the Fund Council and the Funders Forum. It also serves as an intellectual bridge between the funders and the Consortium. ISPC reports to the Fund Council. The Consortium may seek advice from ISPC in areas that do not create a conflict of interest for either party. Annex 1 outlines the ISPC roles and responsibilities.

C. RESPONSIBILITIES OF CGIAR DONORS

All CGIAR donors endorsing the CGIAR Joint Declaration resolve to uphold the set of core principles it describes and strive to act consistently with them.

Donors providing institutional funding through the CGIAR Fund should take measures to shift their funding to Windows 1 or 2 before Window 3, which is intended to be transitional, is closed.

All CGIAR donors should refrain from conducting separate reviews of the Mega Programs and individual Centers.

D. RESPONSIBILITIES OF THE CONSORTIUM

Responsibilities of the Consortium will be defined in the Consortium Constitution. Regarding funds received from the CGIAR Fund, the Consortium's responsibilities will be spelled out in the agreements signed with the Trustee, on behalf of the Fund Council.

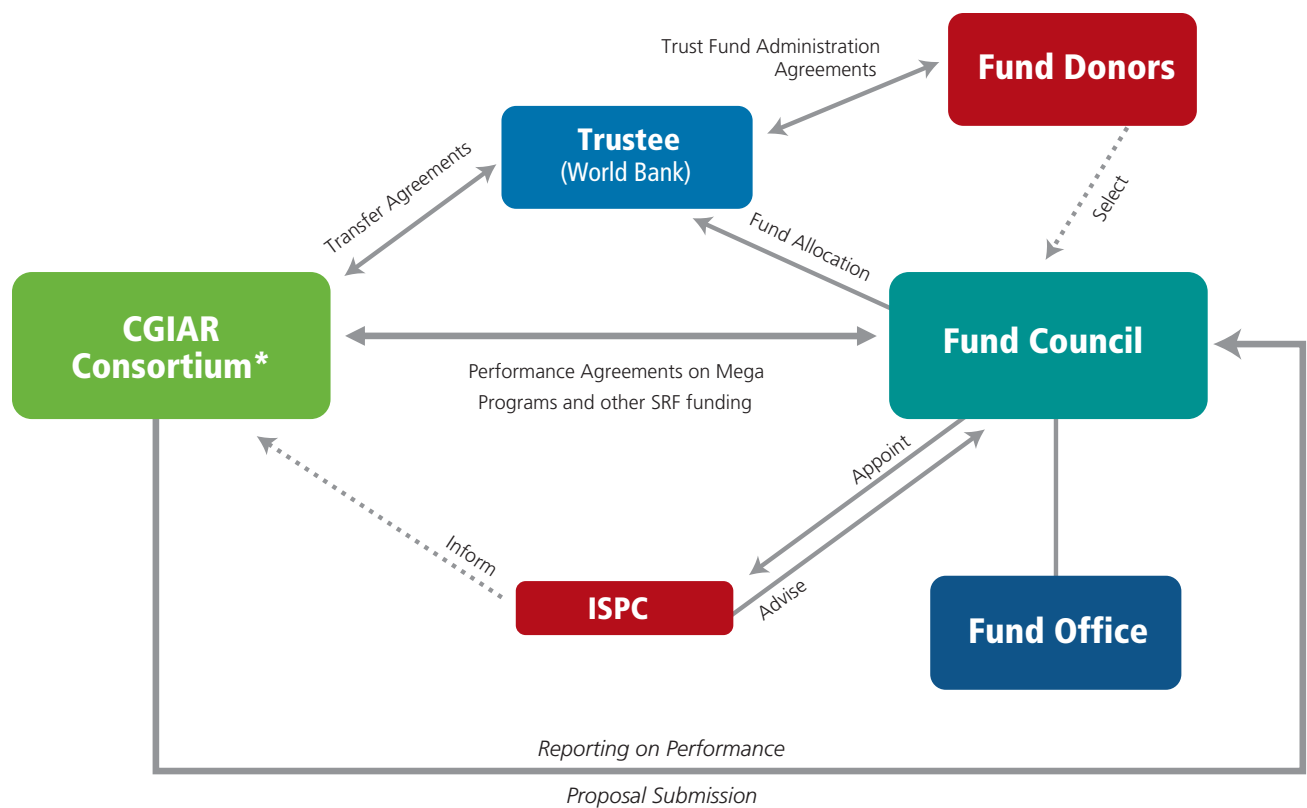
E. RESPONSIBILITIES OF CGIAR CENTERS

The primary responsibilities of Centers are defined in the Consortium Constitution. In addition, however there are responsibilities regarding acceptance of funding from outside the CGIAR Fund. These are:

- Centers should inform the Consortium of any non-Fund financing;
- avoid funding that would compromise either the ability of that Center or any other Center to fulfill its obligations to deliver on the SRF or compromise the reputation of the CGIAR;
- ensure and certify that all funding covers the full economic costs of the activity.

The sharing of information on non-Fund financing is necessary because the Fund Council would not be able to effectively allocate funding to Mega Programs from the CGIAR Fund without information about the amounts of bilateral funds also being channeled to each Mega Program.

FIGURE 1. CGIAR FUND FLOW CHART



* Funds may flow directly to Centers

FIGURE 2. SRF IMPLEMENTATION FLOW CHART

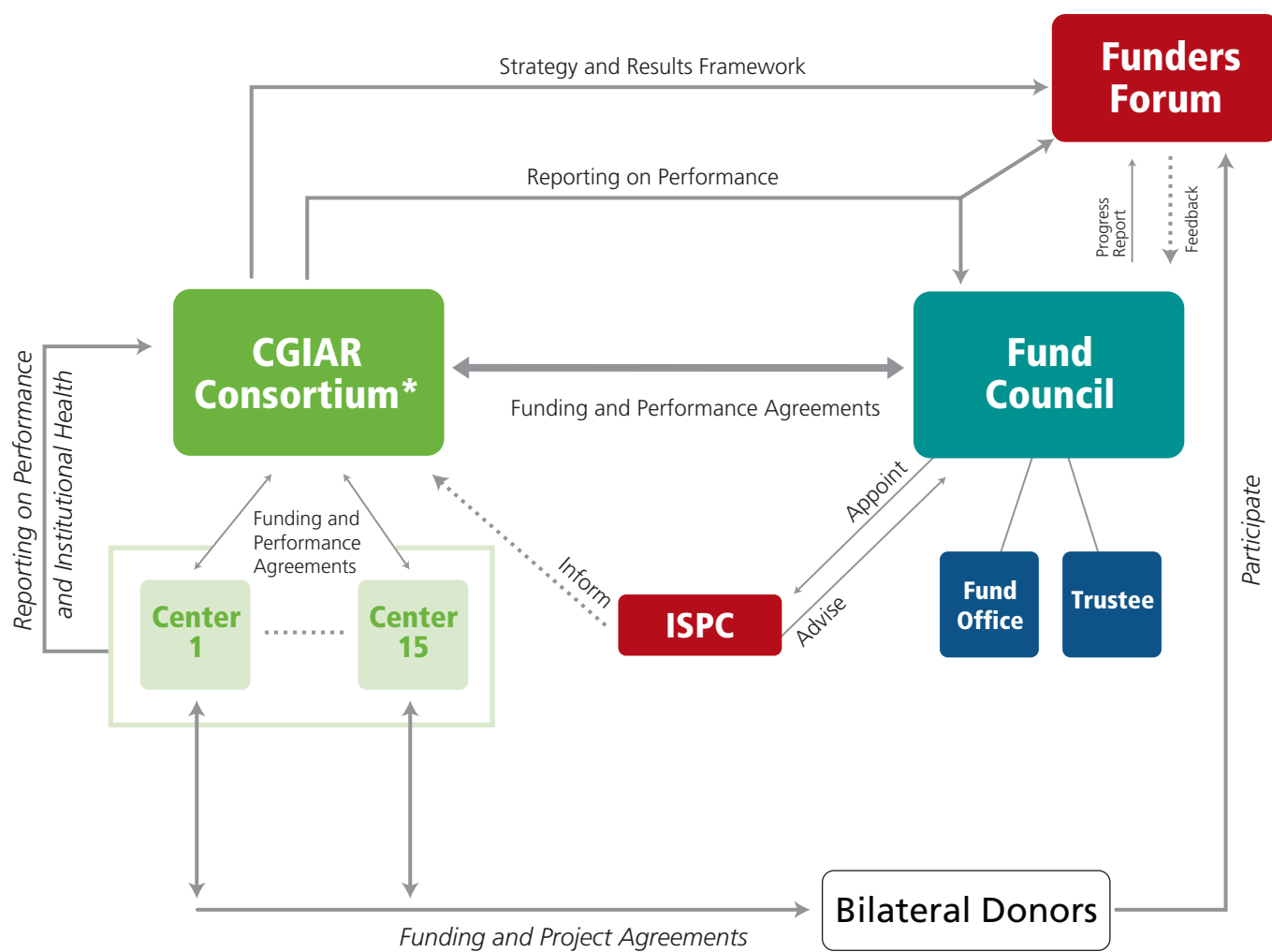


TABLE 1. CGIAR PROGRAM CYCLE STEPS AND ROLES OF PRINCIPAL ACTORS

	CONSORTIUM	CENTERS AND PARTNERS	INDEPENDENT SCIENCE AND PARTNERSHIP COUNCIL	FUNDERS FORUM	FUND COUNCIL
Step 1. Develop SRF	Lead development	Collaborate in development, particularly through GCARD	Provide advice during development	Endorse SRF	Collaborate in development
Step 2. Develop Individual MP Proposals	<ul style="list-style-type: none"> - Develop proposal - Negotiate contract - Mobilize resources - Provide progress reports 	Collaborate in proposal development, particularly through GCARD	Review proposals and make recommendations to Fund Council	Receive progress reports from Consortium	<ul style="list-style-type: none"> - Mobilize resources - Seek advice from ISPC - Approve MPs
Step 3. Implement Agreed Programs	<ul style="list-style-type: none"> - Contract with Centers and partners - Coordinate program implementation using results-based management 	Implement contracted programs and program components	Provide advice as requested		Receive progress reports
Step 4. Monitor Achievement of Agreed Targets	<ul style="list-style-type: none"> - Monitor progress by Centers and partners - Take corrective action (as needed) 	Self-monitor progress	Provide advice to Consortium as requested	Receive progress reports from Consortium	<ul style="list-style-type: none"> - Review progress by Consortium (using agreed result indicators) - Take corrective action (as needed)
Step 5. Evaluate Program (every four years)	External or self-evaluation as necessary; promote learning and performance enhancement	Coordinate through Consortium	Provide advice as requested	Receive evaluations	<ul style="list-style-type: none"> - Commission independent evaluations - Take corrective action (as needed)

ANNEX 1

INDEPENDENT SCIENCE AND PARTNERSHIP COUNCIL

Independent Science and Partnership Council Roles and Responsibilities

The Independent Science and Partnership Council (ISPC) will be a standing panel of world-class scientific experts. The Council's overarching purpose is to provide independent advice and expertise to the funders of the CGIAR through services to the Fund Council and the Funders Forum. It will also serve as an intellectual bridge between the funders and the Consortium of CGIAR Centers.

The ISPC plays a vital role for the CGIAR to strengthen science, to improve productivity and quality of science, to catalyze the partnering of CGIAR science with other institutions of international agricultural research and to support the important role of the CGIAR as honest broker in various global debates.

In providing its advice, the ISPC will ensure alignment of programs with the Strategy and Results Framework. As part of a learning organization, the ISPC will capitalize on previous evaluations and seek to provide its learning to evaluations being done by the peer review process and eventual ex-post evaluation.

ISPC's specific tasks will be:

1. Commission and oversee evaluations of the scientific quality, relevance, partnership arrangements and likely development effectiveness of the investment proposals submitted by the Consortium to the Fund Council and make recommendations concerning their investment worthiness.
2. In undertaking the role described in 1 above, the ISPC will also provide feedback and guidance to the Consortium on any areas of concern regarding the quality of the proposed research and partnership arrangements contained in submitted investment proposals and on any deficiencies in the ex ante impact assessments provided by the Consortium in support of them.
3. Provide the Fund Council and the Funders Forum with foresight advice on trends and emerging issues, as well as potential strategies of addressing them related to the CGIAR Strategy and Results Framework. In undertaking this role the ISPC will act as commissioner and coordinator of any required foresight studies, drawing on expertise within the Consortium and beyond, as appropriate, to undertake them.
4. To complement the GCARD process, in consultation and partnership with the Consortium and GFAR, convene periodic high-level scientific dialogues on high priority issues that will inform the scientific deliberations among CGIAR scientists and their research partners and help catalyze partnerships of the CGIAR with other global science communities.
5. Improve strategic investment decisions and help increase the rigor and the reach of impact assessment studies within the CGIAR by commissioning, in partnership with the Consortium, ex-post impact assessment of the development effectiveness of CGIAR investments. The evaluation of the Mega Programs and system review will be undertaken by an independent evaluation arrangement, which will in turn avail itself of the lessons learnt from the ISPC's work.
6. Provide the Fund Council with independent advice on other matters upon request.



CHAPTER 4

M&E FRAMEWORK
FOR THE NEW CGIAR

1. INTRODUCTION

The funders and implementers of the CGIAR's international agricultural research for development share a mutual accountability to all users of that research, and together with partners, have a shared responsibility for getting CGIAR research into use to achieve development outcomes.

The CGIAR accountability lies in four main areas:

- *Strategic Impact*
- *Quality and Relevance of Programmatic Performance*
- *Managerial and Governance Performance*
- *Financial Performance and Resource Mobilization*

A key element of good accountability practice is Monitoring and Evaluation (M&E), as both learning and control mechanisms at the levels of the Centers, the Consortium, the Mega Programs, the Fund, and the Partnership as a whole.

Monitoring and evaluation in the CGIAR has been evolving since the CGIAR was established in 1971. The Review mechanisms currently include External Program and Management Reviews (EPMRs) of Centers, Center Board-commissioned external reviews (CCERs), Inter-Center thematic stripe reviews, donor commissioned center and/or program reviews, and the annual Performance Measurement (PM) System.

While these mechanisms have been strengthened in recent years and the culture of monitoring and evaluation is strong, a primary objective of the reform process was to streamline review processes, clarify core responsibilities and reduce duplication. The new M&E Framework is designed to achieve these objectives while also strengthening M&E outputs and meeting fiduciary requirements of the Fund and the Consortium.

2. A NEW M&E FRAMEWORK FOR THE CGIAR

The new Monitoring and Evaluation Framework will support the successful execution of the SRF and help translate the CGIAR vision into tangible results. It will reflect a new accountability framework in which the Consortium is responsible for high quality monitoring and evaluation of Centers and their contribution to the Mega Programs, and the Fund Council regularly appraises the performance of the Consortium. In addition, an independent evaluation arrangement will be established to avoid conflicts of interest.

2.1. PRINCIPLES OF M&E IN THE CGIAR

- (1) Evaluation of performance to achieve the Strategy and Results Framework and governance of the CGIAR will follow

DEFINITIONS

Monitoring — A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing (development) intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.

Evaluation — The systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy or program. An assessment, as systematic and objective as possible, of a planned, on-going, or completed (development) intervention.

Source: OECD-DAC, "Glossary of Key Terms in Evaluation and Results," Paris, 2002.

international best practice and will include evaluations that are independent and impartial to the policy-making process and delivery and management of program.

- (2) The Consortium, Centers and CGIAR Fund donors are mutually accountable for Mega Program outputs financed by the Fund. As agreed in the performance agreements, (i) the Consortium and Centers are accountable for high-quality science and technology products and services, and (ii) fund donors are accountable for an aligned provision of funds to support the development of research outputs.
- (3) The monitoring system for research under the SRF is the overall responsibility of the Consortium and is designed to provide real-time information about program outputs and outcomes to research managers in Centers and the Consortium. This information also serves as a basis for regular progress reports of the Consortium to the Fund Council, and thus for annual performance reviews by the Fund Council. A common system and set of metrics will be used for reporting program performance information to the Consortium and the Fund Council.
- (4) The evaluation system provides periodic objective assessments of the extent to which Mega Programs and other aspects of the CGIAR are likely to or have achieved their stated objectives, as articulated in the SRF and the CGIAR Joint Declaration.

- The Consortium Board commissions periodic ***External Evaluations of Mega Programs components*** and/or cross-cutting issues. These evaluations feed into the independent evaluations of Mega Programs.

- The Consortium Board also commissions ***External Evaluations of Centers*** every five years to evaluate Centers' governance, management and financial health. The broad objective of a Center evaluation is to provide the Consortium Board with an external and rigorous assessment of the institutional health of Centers. The evaluation of Centers programmatic performance is

incorporated in the evaluation of Mega-Programs.

- The Fund Council commissions ***Independent Evaluations of Mega Programs*** every four years focusing on the extent to which its outputs and outcomes are likely to achieve, or have achieved, stated objectives. The evaluations are implemented through an independent evaluation arrangement and may include validation of findings from external evaluations commissioned by the Consortium.
- An ***Independent Evaluation of the Partnership*** is carried out every six to seven years. It is commissioned by a Reference Group constituted for the purpose, in which all relevant parties will be represented. The evaluation will assess (i) the efficacy of the Consortium, the Fund, the ISPC (including their support units), and the relationship with GCARD; and (ii) the effectiveness of the research conducted by the Partnership in light of the CGIAR Vision and Strategic Objectives.
- All evaluations will be carried out in the context of this framework, i.e., all CGIAR Fund Donors and Centers will to the extent possible and unless otherwise approved by the Consortium Board, rely on this evaluation framework and refrain from conducting additional, duplicative evaluations of Mega Programs or Centers. All evaluations are publicly disclosed.

2.2 PERFORMANCE MONITORING

Key characteristics of the new monitoring system follow:

- A reliable and harmonized performance monitoring system for Centers and Mega Program will be established and managed by the Consortium.
- This ***Integrated Planning and Results Measurement System***¹ will provide streamlined information on Mega Program plans, status of implementation,

¹ . Possibly developed based on the current EasyMTP/CGMap, Performance Measurement System, and the Financial Information System (FIS).

results, finance, and partnerships. It will provide access to project and program monitoring information at different aggregation levels for monitoring purposes by Centers, Consortium, and Fund.

- Performance in the four areas of accountability will be monitored: (i) Strategic Impact (SI), (ii) Quality and Relevance of Programmatic Performance (PP), (iii) Managerial and Governance Performance (M&G), and (iv) Financial Performance and Resource Mobilization (FP& RB).
- The Fund Council will regularly appraise the performance of the Consortium in meeting its obligations as defined in the performance agreements.
- The Fund Council is the principal performance monitoring body of the Independent Science and Partnership Council (ISPC).
- The Fund Council may review the performance of the Fund Office and Trustee.²
- The Fund Council monitors the efficacy of its fund allocation mechanism.

Table 1 describes the new monitoring system.

2.3 PERFORMANCE EVALUATION

Key characteristics of the new evaluation system:

- Performance evaluation in the new CGIAR will comprise (i) external evaluations of Mega Program components commissioned by the Consortium Board on a regular schedule, (ii) independent evaluations of Mega Programs and/or cross-cutting themes commissioned by the Fund Council and which may inter alia validate findings of Consortium-commissioned evaluations, and (iii) independent evaluation of the CGIAR Partnership as a whole commissioned by a Joint Fund Council/Consortium Reference Group.
- The latter two types of evaluation will be conducted by an independent arrangement on a regular schedule. The various evaluation products will be aligned in scope to avoid duplication and

inefficiencies while ensuring rigor and credibility.³

- Evaluations will assess performance in the four areas of accountability: (i) Strategic Impact (SI), (ii) Quality and Relevance of Programmatic Performance (PP), (iii) Managerial and Governance Performance (M&G), and (iv) Financial Performance and Resource Mobilization (FP& RB).
- Each institution and Partnership body would be required to obtain 360 degree feedback of their performance as part of its own learning and improvement plans.
- Adequate involvement of stakeholders in the evaluation process is considered essential.
- All CGIAR Fund Donors and Centers will rely, to the extent possible and unless otherwise approved by the Consortium Board, on this evaluation framework and refrain from conducting additional, duplicative evaluations of Mega Programs or Centers.

Table 2 describes the evaluation system for the new CGIAR.

2.4 MUTUAL ACCOUNTABILITY FOR OUTPUTS” AND “SHARED RESPONSIBILITY FOR OUTCOMES”

In the new CGIAR, two concepts are being introduced that are being addressed by the M&E framework:

- **“mutual accountability for outputs,”** which is the relationship between entities within the new CGIAR, where the Consortium and Centers can be expected to be **held fully accountable for high-quality science and technology products and services** within an agreed time, and **mutually, the Fund Donors would be held accountable for an aligned provision of funds** to support the development of research outputs as agreed in the performance agreements.
- **“shared responsibility for outcomes,”** where **both Consortium and CGIAR donors together with their partners have a shared responsibility for managing toward outcomes**, i.e., demonstrating sustainable influence and uptake of outputs by clients and longer-term improvements of livelihoods in developing countries.

² Management and oversight of the Fund Office and Trustee of the Fund rests with the World Bank. Any performance reviews by the Fund Council of the Fund Office or Trustee would be conducted in coordination with the Bank and could advise the Bank in its management and oversight capacities.

³ . An “external” evaluation is an evaluation conducted by entities and/or individuals outside the donor and implementing organizations. An “independent” evaluation is an evaluation carried out by entities and persons free of the control of those responsible for the design and implementation of the program. Independence implies freedom from political influence and organizational pressure (OECD-DAC, “Glossary of Key Terms in Evaluation and Results Based Management,” Paris 2002).

TABLE 1: PERFORMANCE MONITORING IN THE CGIAR

MONITORING BODY	PERFORMANCE DIMENSION ¹	AREA OF ACCOUNTABILITY ^a	METHODOLOGY AND INDICATORS	FREQUENCY
CONSORTIUM	MP subprograms ■ outputs ■ intermediate outcomes	PP	■ Performance Measurement of Programs, i.e., comprehensive monitoring of achievement of MP subcomponent outputs and intermediate outcomes	Ongoing
	■ institutional and financial health of Centers	FP&RB M&G	■ Performance Measurement of institutional and financial health indicators	Annual
	MP Performance Agreement ■ Results	SI and PP	■ Measurement of core output and outcome indicators as defined in the SRF	Annual
	■ Progress and Corporate Risks	FP&RB M&G	■ Implementation ratings, disbursement rates ■ measures of (i) partnership quality and relevance, (ii) stakeholder perceptions, (iii) cost of consortium administration relative to cost of research, (iv) compliance to fiduciary good practices	
FUND COUNCIL	Performance Agreements ■ Rights and obligations defined in performance agreements ■ Resource mobilization and efficacy of fund allocation	SI PP M&G FP&RB	■ Based on Consortium report, performance/compliance reviews of performance agreements ■ Adequate funding flows ■ Leveraging complementarities with national programs and bilateral technical assistance programs	Annual
	ISPC ■ Results ■ Client orientation	PP M&G FP&RB	■ Achievement of work plan ■ Satisfaction survey	
	Fund Office	Bank Accountability	■ Achievement of work plan ■ Satisfaction survey	

a. Strategic Impact (SI); Quality and Relevance of Programmatic Performance (PP); Managerial and Governance Performance (M&G); Financial Performance and Resource Mobilization (FP& RB)

TABLE 2: PERFORMANCE EVALUATION IN THE CGIAR

COMMISSIONING BODY	EVALUATION PRODUCT ^{A,B,C}	FREQUENCY
CONSORTIUM BOARD	■ External evaluation of each Center governance, management and financial health	5 years
	■ External evaluation of MP components and cross-cutting issues	4 years
	■ External evaluation of Consortium Office, including shared services	
FUND COUNCIL	■ Independent evaluation of Mega Programs and cross cutting issues	4 years
JOINT CONSORTIUM/FUND COUNCIL REFERENCE GROUP	■ Independent Partnership Review	6 to 7 years

a. In addition each entity will conduct 360° assessments and/or stakeholder perception surveys on a regular basis (i.e., 2–3 years), b. The independent evaluation of Mega Programs and the independent Partnership Review will be conducted by an independent evaluation arrangement. c. Brief definitions of the various evaluation products can be found in the glossary. d. Purpose-built management structure in which both the Consortium and the Fund share control and all CGIAR donors share cost. It is formed for the specific purpose of commissioning and receiving the CGIAR Partnership Review and will be dissolved upon completion of the review.

- Within this shared responsibility for outcomes, the Consortium together with the Centers are expected to be accountable for engaging with partners, aligning the research agenda with developing countries' priorities, advocating research needs and achievements, monitoring outcomes based on agreed indicators, and monitoring global trends.
- The CGIAR donors, in turn, are responsible for harmonizing and aligning their policies and for making an effort to effectively leverage

complementarities between CGIAR research and their national programs (developing-country donors) or their bilateral technical assistance programs (multilateral organizations and developed-country donors).

Annex 1 illustrates an example of a possible logical results-monitoring framework in the context of the SRF (including indicators) incorporating the concepts of "mutual accountability for outputs" and "shared responsibility for outcomes."

2.5. LEARNING AND PERFORMANCE ENHANCEMENT

In order to make the M&E system most effective, clear follow-up principles, processes, and responsibilities will be defined for the various M&E products described in this framework, to ensure best possible learning and improvements in performance by the different entities. For instance, an evaluation both evaluates the effectiveness of research conducted by the Consortium through its Member Centers, and also enhances institutional learning through an effective feed-back loop from the evaluation to policy makers, researchers, and research managers as well as partners. Moreover, the Fund needs to put in place a process for reviewing the M&E information on the Mega Programs and to take corrective action where necessary.

3. IMPACT ASSESSMENT

In the new CGIAR, the Independent Science and Partnership Council (ISPC) will provide independent advice and expertise to the Fund Council. In addition part of the ISPC's terms of reference is to "improve strategic investment decisions and help increase the rigor and the reach of impact assessment studies within the CGIAR by commissioning, in partnership with the Consortium, *ex-post* impact assessment of the development effectiveness of CGIAR investments." To this end the Standing Panel on Impact Assessment (SPIA) will maintain its current form as an independent panel with the Chair of the Panel functioning as an *ex officio* member of the ISPC.

4. INDEPENDENT EVALUATION ARRANGEMENT

The new independent evaluation arrangement will be finalized in its design in 2010 and become operational in 2010/11 or as required. Its design and governance should be in accordance with international best practice and follow standards of "independence" as defined by the OECD/DAC Network of Development Evaluation, based on guidance provided by the Fund Council in consultation with the Consortium Board.

"INDEPENDENCE AND IMPARTIALITY IS A PREREQUISITE FOR THE CREDIBILITY OF EVALUATIONS"

The Sourcebook for Evaluating Regional and Global Partnership Programs, Indicative Principles and Standards, published by the Independent Evaluation Group (IEG) of the World Bank and the DAC Network on Development Evaluation, identifies the organizational independence of the evaluation function as a key good practice in evaluation governance.

The sourcebook states that "the members of an evaluation unit or team should not have been directly responsible for setting the policy, design, or overall management of the program, nor expect to be in the near future. Members of an evaluation unit or team evaluating a Global and Regional Partnership Program should report to a unit separate from program management. This would normally be the commissioner of the evaluation, usually the governing body. Members of the unit or team should be insulated from political pressures from either donors or beneficiary groups and should not participate in political activities that could affect independence."

Source: Independent Evaluation Group (IEG) of the World Bank and the DAC Network on Development Evaluation, *Sourcebook for Evaluating Regional and Global Partnership Programs, Indicative Principles and Standards*, Washington, DC 2007, <http://siteresources.worldbank.org/EXTGLOREGPARPRO/Resources/sourcebook.pdf>.

Additional key considerations in exploring an independent evaluation arrangement are

- To limit added bureaucracy;
- to leverage already established good practices and capacity in evaluation through tapping new networks of evaluation experts in agricultural research and development;
- to enhance evaluation professionalism in the CGIAR;
- to retain institutional memory and promote institutional learning;
- to stimulate methodological advancement in the evaluation of the "Research-Development Continuum";
- to leverage potential synergies in agricultural research outcome evaluation, i.e., interventions leading to uptake of technologies and other research outputs by partners and stakeholders that are in common;
- to support harmonization efforts in light of the Paris Declaration on Aid Effectiveness and the Accra Agenda for Action.

5. ANNEX

Annex 1: Illustrative logical results monitoring framework incorporating the concepts of “mutual accountability for outputs” and “shared responsibility for outcomes”

SHARED RESPONSIBILITY	CGIAR VISION SHARED	<p>To reduce poverty and hunger, improve human health and nutrition, and enhance ecosystem resilience through high-quality international agricultural research, partnership, and leadership</p> <p>Results criteria: Food security increase (reduction in malnutrition); Area-weighted productivity increase.</p> <p>Indicator: Calorie deficiency; Yields per hectare</p>	<p>Accountability of Consortium and Centers:</p> <ul style="list-style-type: none"> ■ Monitoring global trends ■ Reporting on results indicators <p>Accountability of Fund Donors:</p> <ul style="list-style-type: none"> ■ Compliance with the Paris Declaration and Accra Agenda for Action
	STRATEGIC OBJECTIVE SHARED	<p>Example: “Food for People”</p> <p>Results criteria: Hunger reduced.</p> <p>Indicator: % undernourished, % children underweight, Income < \$1 day</p>	<p>Accountability of Consortium and Centers:</p> <ul style="list-style-type: none"> ■ Engagement with partners and stakeholders ■ Alignment of research agenda with developing countries’ priorities ■ Monitoring outcome indicators ■ Reporting on shared outcomes ■ Gap analysis <p>Accountability of Fund Donors:</p> <ul style="list-style-type: none"> ■ Harmonize and align policies ■ Demonstrate efforts to effectively leverage complementarities of CGIAR research with national programs and bilateral technical assistance programs ■ Independent evaluation of Mega Programs ■ Ex post impact assessment of the development effectiveness of CGIAR investments
	MEGA PROGRAM/ STRATEGIC INTERMEDIATE OBJECTIVE SHARED	<p>Example: Increase Productivity of Crop and Livestock Systems</p> <p>Outcome 1 / Core Result 1: The use of drought-tolerant maize has significantly improved livelihoods of poor farm households in Africa</p> <p>Outcome Indicator 1: % of land under maize cultivation in Africa use drought-tolerant variety by 20XX. Target: x% of land under maize cultivation in Africa use drought-tolerant variety by 20xx</p>	
	INTERMEDIATE OUTCOME SHARED	<p>Example: National Agricultural Research System in country X incorporates new drought-tolerant variety into their its program</p> <p>Intermediate Outcome 1 Indicator 1: NARS countries x, y, z release new high drought-resistant maize variety to farmers by 20XX</p>	
	OUTPUT FULL	<p>Example : New high drought-resistant maize variety available</p> <p>Annual target and indicator:</p> <ul style="list-style-type: none"> ■ Community-based varietal testing completed in x, y, z communities ■ New phenotyping protocols for crop water status defined for maize 	<p>Accountability of Consortium and Centers:</p> <ul style="list-style-type: none"> ■ Achieving outputs ■ Monitoring and reporting on outputs ■ Ensuring Center systems in place to monitor and report on results ■ Ensuring institutional and financial health <p>Accountability of Fund Donors:</p> <ul style="list-style-type: none"> ■ Aligned and adequate funding
MUTUAL ACCOUNTABILITY			

ACRONYMS AND ABBREVIATIONS

AGM	CGIAR Annual General Meeting	M&G	Managerial and Governance Performance
AHP	Analytical Hierarchy Processes	MP	Mega Program
ARI	Advanced Research Institute	NARI	National Agricultural Research Institute
CCER	Center-Commissioned External Review	NARS	National Agricultural Research System
CEO	Chief Executive Officer	NGO	Nongovernmental Organization
CGIAR	Consultative Group on International Agricultural Research	OECD/DAC	Organization for Economic Cooperation and Development/Development Assistance Committee
EPMR	External Program and Management Review	PM	Performance Measurement System
FAO	Food and Agriculture Organization of the United Nations	PP	Quality and Relevance of Programmatic Performance
FC	Fund Council	R&D	Research and Development
FP&RB	Financial Performance and Resource Mobilization	SI	Strategic Impact
GCARD	Global Conference on Agricultural Research for Development	SC	CGIAR Science Council
GFAR	Global Forum for Agricultural Research	SRF	Strategy and Results Framework
IEG	World Bank Independent Evaluation Group	TMT	Transition Management Team
IEU	Independent Evaluation Unit	UN	United Nations
IFAD	International Fund for Agricultural Development		
ISPC	Independent Science and Partnerships Council		
M&E	Monitoring and Evaluation		

GLOSSARY

Accountability: The acknowledgment and assumption of responsibility for policies, decisions, and actions (including governance, administration, and implementation, as applicable with the scope of a given role). It encompasses the obligation to report, explain, and be answerable for resulting consequences. To be accountable means

- being *responsive* to key stakeholder concerns,
- adhering to clear systems of *control*, and
- ensuring to *correct* performance, *when* and as needed.

Alliance of CGIAR Centers (or CGIAR-supported Centers): Current coalition of the 15 Centers supported by the CGIAR.

CGIAR Centers (or CGIAR-supported Centers): International agricultural research centers of the Consortium that implement the CGIAR's program portfolio. Centers operate under oversight of their own Board and the Consortium. Also referred to as the Consortium's "Member Centers."

CGIAR Partnership (formerly CGIAR System): The reformed CGIAR is a global research-for-development partnership among donors, international agricultural research centers, and their partners aimed at reducing poverty and hunger, improving health and nutrition, and enhancing ecosystems resilience in developing countries.

CGIAR Fund or Fund: A central multidonor fund that serves as a strategic financing facility for the CGIAR Partnership to provide multiyear support for

Mega Programs under the Strategy and Results Framework (SRF). It will also temporarily provide donor-designated funding to Member Centers of the Consortium.

Consortium of CGIAR Centers (or Consortium): A legal entity established by the CGIAR-supported Centers to provide leadership and coordination of activities among the Centers and lead the formulation of CGIAR's Strategy and Results Framework, and the development of Mega Programs under the strategy. The Consortium is the counterpart of the Fund for implementing the performance agreements for Mega Programs signed with the Fund Council through the Centers and their partners.

Consortium Board: A legally constituted body charged with the overall responsibility of providing oversight for the work of the Consortium. A description of the objectives, roles and responsibilities, and functioning of the Consortium Board is given in article 6 of the Consortium Constitution.

Consortium Members or Member Centers: Research institutions that form the Consortium.

Consortium CEO or CEO: Chief Executive Officer of the Consortium. A description of the roles and responsibilities of the CEO is given in article 8 of the Consortium Constitution.

Consortium Office: The Office that supports the Consortium Board and the CEO and provides overall facilitation and support for Consortium-level activities

to the Member Centers. The functions of the Consortium Office derive from the roles and responsibilities of the Consortium and the CEO as stated in the Constitution. They will be defined by the Consortium Board and the CEO.

Donor (or CGIAR Donor): A country or organization (including foundations, multinational agencies, and nongovernmental organizations) that provides funding (as Fund Donor or Bilateral Donor) to support CGIAR programs and activities and the functioning of CGIAR bodies and research institutions.

- **Fund Donor:** A donor that contributes funding to the CGIAR Fund.
- **Bilateral Donor:** A donor that provides part or all of its funding to a CGIAR Center directly, through a bilateral arrangement that provides support for Mega Programs, and/or other research programs.

Evaluation: The systematic and objective assessment of an ongoing or completed project, program, or policy, and its design, implementation, and results. The aim is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making processes of both recipients and donors. Evaluation also refers to the process of determining the worth or significance of an activity, policy, or program. An assessment, as systematic and objective as possible, of a planned, ongoing, or completed (development) intervention.

- **External Evaluation of Centers:** commissioned by the Consortium Board every five years to evaluate respective Centers' governance, management and financial health. The broad objective of a Center review is to provide the Consortium Board with an external and rigorous assessment of the institutional health of Centers. The evaluation of Centers programmatic performance is incorporated in the evaluation of Mega Programs.
- **External Evaluation of Mega Program subcomponents and/or cross-cutting issues:** commissioned by the Consortium Board; these evaluations will feed into the independent evaluations of Mega Programs.

■ **Independent Evaluation of Mega Programs:**

An in-depth, results-based evaluation of Consortium research in a particular Mega Program conducted every four years *focusing on whether a Mega Program's outputs and outcomes are likely to achieve*, or have achieved, stated objectives. The evaluations will be commissioned by the Fund Council and implemented through an independent evaluation arrangement with a focus on validating findings from external evaluations commissioned by the Consortium.

■ **Independent Evaluation of the CGIAR**

Partnership: An independent evaluation carried out every six to seven years of the overall CGIAR Partnership compact and Strategy and Results Framework, commissioned by a Reference Group constituted for the purpose, in which all the parties will be represented. The evaluation will assess (i) the efficacy of the Consortium, the Fund, the ISPC (including their support units), and the relationship with GCARD; and (ii) the effectiveness of the research conducted by the Partnership in light of the CGIAR Vision and Strategic Objectives.

Fund Council: The decision-making body for the CGIAR Fund acting on behalf of the Fund Donors. A description of the objectives and functions of the Fund Council is given in B.3 of the Fund Framework (Chapter 3).

Fund Office: The support unit of the Funders Forum, the Fund Council, and their respective Chairs, located in the World Bank Headquarters. A description of the objectives and functions of the Fund Office is given in B.4 of the Fund Framework (Chapter 3).

Fund Framework: The Fund Framework in Section 4 describes the main features of the new CGIAR Fund and the roles, responsibilities, relationships, and accountabilities of the entities associated with the functioning of the CGIAR Fund.

Fund Transfer Agreement: An agreement between the Trustee (World Bank) and the Consortium confirming the amount, the Mega Program or the CGIAR Center(s) of intended support, account

information, and other identifying information necessary to effect the transfer of funds.

Funders Forum: A biennial event serving as a platform for discussion and exchange of views about the CGIAR among all donors contributing above a threshold amount to the CGIAR, including bilateral donors and Fund donors, countries hosting the headquarters of the Consortium and its Member Centers, and stakeholder representatives invited by the Chair of the Funders Forum in consultation with donors.

Global Forum on Agricultural Research (GFAR):

A mechanism that provides a platform for all stakeholders involved in agricultural research for development to work coherently, inclusively, and equitably, driven by the needs of the poor.

Global Conference on Agricultural Research for Development (GCARD):

Biennial conference organized by the Global Forum on Agricultural Research (GFAR), in collaboration with the Consortium and ISPC, to create a development-outcome-based framework for the global agricultural research and development architecture, and to provide inputs to the SRF and the portfolio of Mega Programs.

Impact Assessment: An ex post assessment of the positive and negative, primary and secondary long-term effects resulting from CGIAR research products, directly or indirectly, intended or unintended.

Integrated Planning and Results Measurement System:

A Web-based portal providing information on Mega Program plans, status of implementation, results, finance, and partnership for monitoring purposes by Centers, Consortium, and Fund.

Independent Science and Partnership Council (ISPC):

An independent standing panel that is the science and partnerships–advisory organ of the CGIAR, whose primary responsibility is to enhance and promote the quality, relevance, and impact of science and science partnerships in the CGIAR.

Mega Programs: A set of integrated research activities that address one or more themes or

components of the CGIAR’s Strategy and Results Framework to be implemented by the Consortium through the Centers and their partner institutions. They are the subject of the program performance agreements between the Consortium and the Fund. Mega Programs are the key delivery mechanism for the outputs and outcomes of the Strategy and Results Framework with due consideration given to medium- and long-term time horizons.

Mega Program portfolio: The suite of Mega Programs that constitutes a coherent research-for-development agenda addressing the entire Strategy and Results Framework of the CGIAR.

Monitoring: A continuing function that uses systematic collection of data on agreed upon indicators to provide Center management, the Consortium, the Fund, and the main stakeholders with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Center performance and Mega Program monitoring is a primary function of the Consortium in the new CGIAR.

Monitoring and Evaluation Framework (M&E Framework):

The document that defines the mechanisms and processes for a transparent, responsive, and participatory learning and control system that helps to observe and enforce accountabilities and good practices between the entities in the new CGIAR; it maps out a process for managing for results at the various stages of the results chain assuming the right strategic partnerships on both ends of the research-for-development continuum.

NARS: A country’s National Agricultural Research System, which includes public research institutions, academia, private sector institutions, and civil society organizations.

Observer: An individual invited to participate in a regular or ad hoc meeting of a committee, council, or other CGIAR body in observer status (not as a member), who may ask for the floor to make verbal interventions but does not participate in decision making.

Partners: Groups and entities that work in partnership with CGIAR, including NARS, regional fora, the Global Forum on Agricultural Research, advanced research institutions in the North and the South, private sector organizations, farmers and farmer organizations, nongovernmental organizations, and donors.

Performance Agreement: A binding agreement between the Fund and the Consortium on each Mega Program or on each Center receiving support from the Fund, clarifying mutual obligations and expectations, as well as the remedies for noncompliance.

Performance contracts: Binding contracts between the Consortium and Member Centers and partners on Mega Programs that define mutual obligations, expectations, and terms.

Program support (or “program funding”): A type of funding provided by the Fund to support individual Mega Programs through the Consortium, on the basis of a program performance agreement between the Fund and the Consortium.

Stakeholder: An individual or organization who both affects and is affected by the actions of the CGIAR, including beneficiaries of CGIAR research and those involved in agricultural research for development, such as the institutions that partner with CGIAR Centers in the production or delivery of research results.

Strategy and Results Framework: A systematic description of the way in which the CGIAR focuses its work in order to achieve its vision via the development

of tangible objectives, effective partnerships, and measurable results. It includes (i) intermediate objectives; (ii) expected outcomes arising from outputs, in a cause and effect logic with related performance indicators; (iii) critical assumptions that need to be in place; and (iv) defined timelines. CGIAR’s Mega Programs are the programmatic and operational expression of the Strategy and Results Framework and are tied to its strategic objectives through a cause and effect logic.

Trust Fund Administration Agreement: A legal agreement between the Fund Trustee (World Bank) and Donor(s) that governs the trust funds. This agreement defines the nature of the Trustee’s relationship with the donor and spells out the arrangements governing the use of funds, the donor funding commitment, progress and financial reporting, auditing, cost recovery, disclosure of information, and so forth.

Trustee: A person or organization that carries the fiduciary responsibility and liability to use the trust assets according to the provisions of the trust instrument. The World Bank will serve as the Trustee of the CGIAR Fund, under its Trust Fund policies. The Fund Donors will enter into Trust Fund Administration Agreements with the Trustee with common provisions for all donors.

Unrestricted funding (or “unrestricted system funding”): A type of funding that is provided to the Fund as a whole, available for allocation by the Fund Council based on its judgment, following review of funding requests from the Consortium.

PHOTOGRAPHY

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