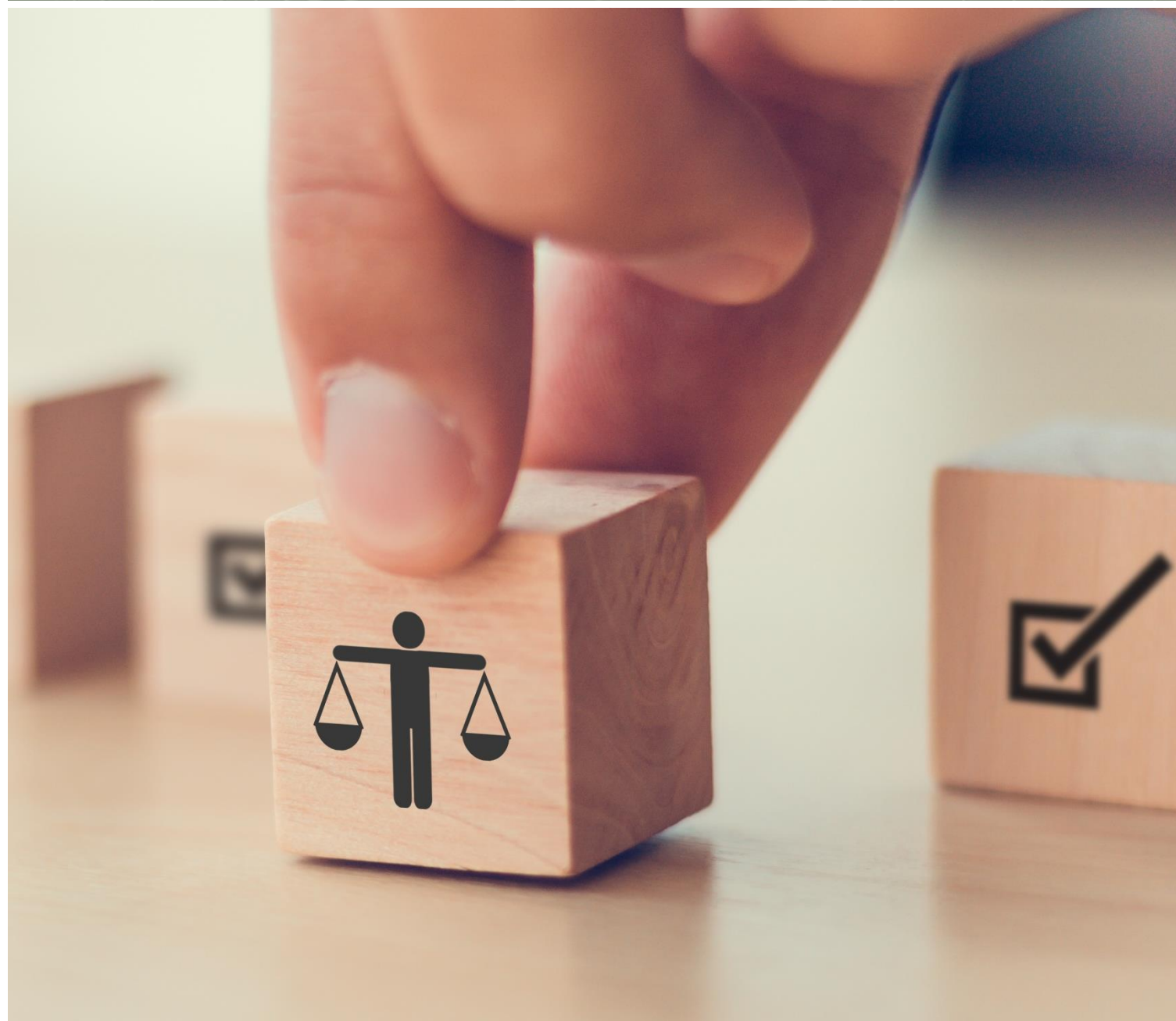




Independent
Advisory and
Evaluation
Service



CGIAR Independent Advisory and Evaluation Service Conflict of Interest Policy

December 2024

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1. Introduction

CGIAR's Independent Advisory and Evaluation Service (IAES) provides operational support as the secretariat for:

- the Independent Science for Development Council (ISDC) ¹,
- the Standing Panel on Impact Assessment (SPIA) ², and

implements CGIAR's multi-year, independent evaluation plan as approved by the System Council ³.

The ISDC is a standing panel of impartial, world-class scientific experts providing rigorous, independent strategic advice to the CGIAR System Council and other stakeholders. The ISDC contributes to the strategic and portfolio planning and positioning of CGIAR. It produces foresight work and horizon scanning that informs CGIAR's longer-term research strategy. Emerging from the foresight and horizon scanning efforts, ISDC supplies System Council with advice on its priority setting exercises and provides guidance for periodic proposal assessment processes.

The SPIA is an external, impartial panel of experts in impact assessment that is responsible for providing rigorous, evidence-based, and independent strategic advice to the broader CGIAR System on efficient and effective impact assessment methods and practices, including those measuring impacts beyond contributions to science and economic performance, and on innovative ways to improve knowledge and capacity on how research contributes to development outcomes.

The evaluation function in the IAES manages and supports independent evaluations which aim to provide accountability, support to decision making, and lessons for improving quality and effectiveness of agricultural research for development outcomes.

To fulfill its mandate, the CGIAR's IAES and the two independent bodies it supports work with a wide range of partners inside and outside CGIAR. It is imperative that they are, and are seen to be, independent and objective. If the IAES, ISDC or SPIA independence and objectivity are compromised, the quality of their advice and evidence is reduced and trust in their advice and evaluative evidence is lost. In line with its mandate and the guidelines set by OECD⁴, IAES recognizes risks to good governance arising from conflict of interest, which could compromise, or be perceived to compromise, its independence and objectivity. The aim of this policy is therefore to promote a culture within the Service where conflicts of interest are properly identified and resolved or managed, in a transparent and timely manner, taking declared interests into account.

No policy can account for every eventuality; it is the responsibility of all individuals working for and with the CGIAR IAES and bodies it supports to declare any unforeseen associations which could be perceived as a conflict.

¹ Latest TOR version available [here](#)

² Latest TOR version available [here](#)

³ Latest TOR version available [here](#)

⁴ [OECD Guidelines for Managing Conflict of Interest in the Public Service \(2003\)](#); "Conflict of interest" defined as a conflict between the public duty and private interests, in which the person working for the public organization has private-capacity interests which could improperly influence the performance of official duties and responsibilities.

2. Conflict of interest

There are many types of conflicts of interest, including personal, institutional, scientific, political or ethical. In these, an individual is compromised by their loyalty to individuals (themselves, family members, or friends), institutions (former or current students or colleagues), scientific interests or political allegiance.

As per OECD guidelines, the person working for the public organization may have private interests that are not limited to financial or pecuniary interests, or those interests which generate a direct personal benefit. A conflict of interest may involve otherwise legitimate private-capacity activity, personal affiliations and associations, and family interests, if those interests could reasonably be considered likely to influence improperly the performance of their duties.

In fact, the potential benefit or gain accrued may be obvious, such as financial reward or employment, or more subtle, such as reputational gain or access to privileged knowledge. The 'benefit' might also be negative, in the sense that a grievance or dislike is reflected by a negative opinion.

In the specific CGIAR independent advisory and evaluation context, common examples of when conflict of interest may arise and compromise the independence and/objectivity of IAES advice include:

- Being actively or formerly⁵ involved in the activities of CGIAR, a research program or a collaborative/competing public research institute, as an employee, consultant, adviser, Board or Advisory Committee member, or funder;
- Commissioning work from family members, friends, colleagues, employers, former colleagues or former employers; being involved in reviews or evaluations of projects/programs/proposals with personal contribution or contribution from family members, friends, colleagues, employers, former colleagues, former employers, competitors of current or former colleagues or employers;
- Considering family members, friends, former colleagues and former employers for appointment as ISDC/SPIA Council members or consultants.

Whereas financial interests involving the private sector may be perceived as influencing the performance of experts, given the vast mandate of CGIAR and its operating model based on public-private partnerships, they do not present an *a priori* conflict in the context of IAES work. Experts are however asked to report work relevant to CGIAR impact areas carried out for the private sector/industry as well as the share of that work within annual earnings and/or research funding received.

2.1 ISDC and SPIA Chair/Member recruitment and conflicts of interest

When recruiting ISDC and SPIA Chairs/Vice Chairs/Members, an important criterion to be considered is possible conflict of interest. For example, recent employment by or collaboration with a CGIAR Center/One CGIAR may be considered sufficient grounds for non-selection.

The information is requested for the benefit of the System Council's appointed Selection and Nomination Committee for ISDC Chair/ Vice Chairs/Member and SPIA Chair in the first instance, but if recruitment is successful also for the IAES register of conflicts of interest.

⁵ The appropriate time definition of "former" is given throughout the document and in the Annexes, in the Statements to be completed by relevant actor.

Annex 1 and 2 show the Statements to be completed by potential ISDC Chairs/ Vice Chairs/Members (Annex 1) and SPIA Chairs/Members (Annex 2) at the time of interview. The bullets below categorize the degree of potential conflict.

- Question 1 investigates **active or former (during past two years) employment or appointment with a CGIAR entity or governance body in a managerial/leadership role, as well as with a collaborating⁶ or competing public research institute**. A ‘yes’ to this question would disqualify an applicant for membership of the Council/Panel. To maintain independence, current employees of the CGIAR cannot be Council/Panel members as recent affiliation could introduce biases.
- Questions 2 and 3 refer to **personal involvement in the activities of CGIAR or a research program as an employee, consultant or advisor or receipt of funds from a CGIAR contributor (during past 5 years) as well as active or former (during past two years) employment by a partner organization linked to the research work of CGIAR and/or in significant collaboration with CGIAR**. A ‘yes’ to one or both of these questions still represents a significant potential conflict of interest, but an applicant for the Council/Panel could be considered on the understanding that such conflict would have to be documented and carefully managed. Managing such a conflict of interest may be considered worthwhile for the services of an otherwise strong candidate.
- Questions 4 to 6 refer to **family/friends involvement with CGIAR in a variety of capacities (during past 5 years), receipt of CGIAR funding, as well as other activities/engagement with CGIAR (during past 10 years)**. A ‘yes’ to one or more of these questions 4 would not disqualify an applicant for the Council/Panel, but there may be a low risk of conflict of interest which would have to be documented and managed.
- Questions 7 and 8 prompt the **involvement with the private sector**, relevant to CGIAR impact areas, as well as the share of financial investments and research funding coming from the private sector. In cases where the former represent the majority of annual earnings, experts are required to provide details to enable adequate control and management. This is required to support transparency and scrutiny of IAES management of situations that may present conflicts of interest.⁷

2.1.1 SPIA Chair/Members involvement in SPIA subcontracted research

In the specific case of the SPIA Chair and/or Members’ involvement in SPIA subcontracted research, this policy provides additional provisions for management of potential conflicts of interest.

The SPIA country studies and the causal impact studies rely on subcontracted work to consortia and individual institutions. The research subcontracts are built under the leadership of a SPIA Member. Such an arrangement may require additional mitigation measures which are specified in **Annex 3** to the policy.

2.2 Staff/Consultant recruitment and conflicts of interest

When recruiting IAES staff or consultants, an important criterion to be considered is possible conflict of interest. For example, recent employment by or collaboration with a CGIAR Center/One CGIAR may be considered sufficient grounds for non-selection. The information is requested for the benefit of the IAES register of conflict of interest and in support of afore mentioned transparency and scrutiny objectives.

Annex 4 shows the Statements to be completed by potential IAES staff members at the time of joining. Main areas investigated in the staff/consultant declaration explore:

⁶ For the purposes of this policy, collaboration is intended in broadest terms, including funders, NARES partners as well as other public and private entities working with CGIAR in pursuit of its objectives.

⁷ As per OECD guidelines.

- **Personal involvement in the activities of CGIAR, a research program or a partner as an employee, consultant, advisor or contributor (during past 5 years);**
- **Involvement in the abovementioned areas of family members or those with whom potential IAES staff may have a strong personal or professional relationship;**
- **Other activity, engagement or relationship with the CGIAR (during past 10 years).**

Any positive response in the above three areas may represent significant potential conflict of interest, but an applicant for IAES could be considered on the understanding that such conflict would have to be carefully documented and managed. Managing such a conflict of interest may be considered worthwhile for the services of an otherwise strong candidate. The aim of asking for completion of this declaration is to enable the Director to make a decision on the appointment potential of the applicant and to manage the conflict with respect to the allocation of tasks between IAES staff.

2.3 Reviewers/Evaluators and conflicts of interest

A wide range of conflicts needs to be considered at the time of contracting external subject matter experts from the IAES roster for the purposes of reviewing/evaluating projects /programs/proposals or for other relevant tasks. Care needs to be taken to ensure that reviewers/evaluators do not have institutional conflicts – most importantly when it comes to involvement within activities, initiatives or programmes contributing to the [CGIAR 2030 Innovation and Research strategy](#). There is a large number of CGIAR partners, funders and competitors operating in this space and it is important to document any current or recent involvement in relevant activities. These may disqualify applicants from reviewing a proposal in a particular area of work and/or stemming from a particular CH center while not precluding potential assignments with IAES in other areas of work.

For the reviewers and evaluators, the Declaration of Interest is of utmost importance as timely and properly documented interests can inform the allocation of review/evaluation tasks, therefore mitigating the real or potential conflicts of interest

Subject matter experts recruited from IAES' Subject Matter Expert roster are expected to self-report any additional potential or real conflict of interest for the IAES register of conflicts of interest, including measures taken to manage the risk.

Annex 5 shows the Statements to be completed by potential reviewers and evaluators engaged by IAES:

- Question 1 investigates **active or former (during past two years) involvement in design or implementation of** work contributing to the [CGIAR 2023 Innovation and Research strategy](#). A 'yes' to this question may disqualify an applicant from reviewing or evaluating a particular project/programmes/proposal.
- Question 2 investigates **active or former (during past two years) employment with CGIAR or partners/competitors**. A 'yes' to this question may disqualify an applicant from reviewing or evaluating projects/programmes/proposals stemming from, or involving, the employing entity.
- Question 3 refers to **family/friends' involvement,⁸ under the same terms as prompted by questions 1 and 2**. A 'yes' to this question would not a-priori disqualify an applicant from taking part

⁸ Involvement or friends or family is to be assessed with reference to direct contribution to the design or implementation of work related to the CGIAR Research Strategy. Employment at a CGIAR center in a non-related function to research in question or a role not corresponding to a research or research management profile will not be considered a potential conflict of interest.

in a specific review or evaluation, but there may be a low risk of conflict of interest which would have to be documented and managed.

- Question 4 refers to any **engagement with IAES** (during past 2 years). As a general rule, IAES will monitor situations in which the same individual is recruited for both reviewing proposals and evaluating the results of CGIAR work stemming from those proposals. This is to mitigate any potential bias and perceived conflict of interest that may arise from the familiarity and inputs provided at the design stage.
- Questions 5 and 6 prompt the **involvement with the private sector**, relevant to CGIAR impact areas, as well as the share of financial investments and research funding coming from the private sector. In cases where the former represents the majority of annual earnings, experts are required to provide details which can determine the allocation of review/evaluation tasks, ensuring the real or potential conflicts of interest is mitigated. At the time when the actual project/programmes/proposal is known to the selected subject matter expert, s/he will be asked to also declare if it **cites their own research**, includes their **active research collaborators or students** and/or refers to **work with which they are competing for funding**.

3. Managing conflicts of interest

Potential, perceived and real conflicts of interest will occur. Provided that these are handled transparently and managed appropriately, IAES should be able to ensure good governance of its independence and objectivity. Conflicts of interest must be duly identified, declared, recorded and managed.

Identification of conflicts of interest. Due to the nature of work and products produced for IAES, it is incumbent on the individual ISDC and SPIA Chairs/ Vice Chairs/Members, IAES staff/consultants and Reviewers/Evaluators to consider and volunteer any real, potential or perceived conflicts of interest. Many potential and perceived COI can be mitigated and managed with prior knowledge and consideration. Council/Panel members and staff should always be on the alert for any possibility of conflict of interest, particularly potential or perceived conflicts, which may not always be immediately obvious.

Declaring conflicts of interest. All parties engaging with IAES work will complete a Declaration of Interest upon initial engagement and will update the declaration periodically (see Section 4). If additional conflict of interest is identified during the course of the individual's work, to ensure transparency, it must be declared as soon as possible by the individuals concerned by bringing it to the attention of the ISDC and SPIA Chairs and the Director of the IAES.

Recording conflicts of interest. Conflicts of interest should be recorded on the appropriate pro forma and filed by IAES in a central conflict of interest register. As of July 2024, the paper pro-forma has been migrated onto an online system facilitated by MS Forms. This assisted digitalized maintenance of information on the individual's name, institution, role for which individual is engaged, start/end date of service, date of conflict of interest statement, dates of subsequent, updated conflict of interest statements, indication of identified conflicts of interest and its management, allowing for easy navigation.⁹ The online tool provides a record during the individual's collaboration with IAES, should any complaints or appeals arise. These records are for internal IAES use only and will only be shared with the ISDC and SPIA Chairs, if and when required.

Managing conflicts of interest. An identified conflict of interest must be managed appropriately. The conflict of interest should be discussed with the ISDC and SPIA Chairs (as appropriate) and the IAES

⁹ Submissions using paper pro-forma up to July 2024 are reflected in IAES-maintained Excel tool which was enhanced using MS Forms reports as of July 2024.

Director, and agreement reached on the most appropriate way to manage it. If no agreement is reached, the conflict of interest should be sent to an ad hoc committee of three persons¹⁰ that will propose the most appropriate solution to manage the conflict of interest. Several options exist, including:

- If the risk is assessed by the Committee as **low**, and the input of the relevant ISDC and SPIA Chair/ Vice Chairs/Member, IAES staff or Reviewer/Evaluator is required for other reasons (e.g. for their particular expertise or experience), then the individual could proceed as usual
- In some situations, it may be deemed appropriate for the ISDC and SPIA Chair/ Vice Chair/Member, IAES staff or Reviewer/Evaluator to proceed with other related work (such as assessing other proposals), but to be recused from comment on specific work for which the conflict of interest was identified.
- If the risk is assessed by the Committee as **high**, the safest approach is to recuse the ISDC and SPIA Chair/ Vice Chairs/Member, IAES staff or Reviewer/Evaluator from all work related to the conflict of interest, including other linked work. For example, staff members recruited directly from CGIAR Centers/One CGIAR or programs should not be involved in assessment of proposals from those Centers/programs for at least 2 years.

4. IAES procedures for managing conflicts of interest

Recruitment

When offered an engagement as ISDC and SPIA Chairs/Vice Chairs/Members, IAES staff and Reviewers/Evaluators, individuals should be asked to complete the appropriate Statement as per the Annexes and to declare any additional conflicts not covered by the stated questions, so that any potential conflicts can be explored. Copies of the dated forms are retained by the IAES, in the conflict of interest registry, including all risk mitigation measures, as outlined in section 3 above.

Ongoing activities and renewal of contracts

Once appointed, ISDC and SPIA Chairs/Vice Chairs/Members, IAES staff/consultants and Reviewers/Evaluators should bring to the attention of the Chairs and the IAES Director any new activity which they engage in, which relates to any of the questions in the original Statement (by submitting an updated Statement).

Besides the spontaneous declarations of new potential conflicts of interest:

- On an annual basis, in December, the ISDC and SPIA Chairs/Vice Chairs/Members will be invited to declare new arising interests;
- IAES staff will be invited to declare new arising interests when their employment contracts are renewed;
- Consultants/reviewers/evaluators will complete a Declaration when placed on the roster: they will be invited to update the declaration, including any new interests, at the beginning of any new engagement/task order for a particular piece of work.

¹⁰ The ad hoc committee will be composed by the IAES Director, the Director of Ethics in CGIAR and one external member, to be appointed. The committee will have a decision-making role and will work on the basis of unanimous consensus.

On leaving the ISDC/SPIA or Secretariat

If ISDC and SPIA Chairs/Vice Chairs/Members and IAES staff enter into negotiations on employment or a joint funding activity with a CGIAR Center/One CGIAR, program or other System entity for post-contract activities, prior to closing their association with the ISDC/SPIA/ IAES or within 12 months of their end-date, they are expected to consider jointly with the Chairs and Director how best to manage associated potential conflicts of interest.

Responsibility

The implementation of these procedures depends on the good faith of the ISDC and SPIA Chairs/Vice Chairs/Members, IAES staff/consultants and Reviewers/Evaluators, and the balanced judgment of the Chairs and Director. This policy is a ‘living document’ and provides the principles for sound conflict of interest management without prescriptively describing every possible instance that might give rise to a conflict of interest.

Annex 1. ISDC Chair/Vice Chair/Member Declaration of Interest Statement¹¹

1. Are you now employed by a CGIAR Center/One CGIAR or during the last two years, have you personally been employed as the DG or Head of Research of a CGIAR Center/One CGIAR, the Director of a research program or the CEO/DG of a significant public research institute which is a collaborator/competitor of a CGIAR Center/One CGIAR or served as a Board Chair or Chair of a Board Science Committee of a CGIAR Center/One CGIAR.

☐ YES

☐ NO

If Yes, please provide brief details:

2. During the last five years, have you personally been involved in the activities of a CGIAR Center/One CGIAR or a research program, as an employee, consultant, adviser, Board or Advisory Committee member (i.e. in receipt of financial remuneration beyond expenses) or in receipt of significant funding from a financial contributor to the CGIAR?

☐ YES

☐ NO

If Yes, please provide brief details:

3. Are you now, or have you personally been, during the last two years, employed by a partner organization which is either a significant collaborator with a CGIAR Center/One CGIAR or research program, a significant competitor for donor funding or in receipt of donor funding?

☐ YES

☐ NO

If Yes, please provide brief details:

4. During the last five years, has a family member or someone with whom you have a strong personal or professional relationship, been involved in the activities of a CGIAR Center/One CGIAR, CGIAR Advisory Body or research program, as an employee, consultant, adviser, Board or Advisory

¹¹ When offered an engagement as ISDC Chair/ Vice Chairs/Member, you are expected to complete this Declaration of Interest Statement. Once appointed, you should bring to the attention of the Chair and the IAES Director any new activity you engage in, which relates to any of the questions in the original Statement (by updating and signing the Statement). Furthermore, on an annual basis, in December, you will be invited to declare new arising interests.

Committee member (i.e. in receipt of financial remuneration beyond expenses) or as a financial contributor to the CGIAR?

☐ YES ☐ NO

If Yes, please provide brief details:

5. Are you (your organization or institutional department) a recipient of CGIAR funding (including SPIA grants)?

☐ YES ☐ NO

If Yes, please provide brief details:

6. Please give details of any other activity, engagement or relationship with the CGIAR during the last ten years:

7. Please give details of any ongoing remuneration you are receiving or consultancies relevant to CGIAR impact areas that you are carrying out for the private sector/industry¹²:

8. Do you hold financial investments with the private sector/industry that represent more than 50% of your annual earnings and/or receive more than 50% of your annual research funding from the private sector (in sectors relevant to CGIAR impact areas)?

☐ YES ☐ NO

If Yes, please provide brief details:

¹² If you are working or start working with another client under a non-disclosure or similar commercial-in-confidence arrangement, and if that work is relevant to CGIAR and may present a perceived or real COI, then careful consideration must be given as to whether it is appropriate, per the stated IAES COI policy, to enter into or continue an appointment with CGIAR IAES on behalf of ISDC.

- 9. Due to the nature of work and products for ISDC, it is incumbent on the individual to consider and volunteer any real, potential or perceived conflicts of interest. Please use this space to declare any other information needed for IAES, operating as secretariat to ISDC, to assess and manage real, potential or perceived conflicts of interest that have not been covered in the preceding questions:**

Declaration: I declare that the information provided on this Statement is true and complete.

Full Name: _____

Date
(DD/MM/YYYY): _____

Signed _____

insert digital signature, or print and sign, or SUBMIT in MS Forms

ISDC Conflict of Interest management record¹³

Name:

Date (DD/MM/YYYY):

Summary/title of conflict of interest declared:

Description of conflict of interest declared:

Agreed action to manage conflict of interest:

Signed by ISDC Member and Chair (for conflicts declared by Members):

Signed by ISDC Chair and Director, CGIAR Independent Advisory and Evaluation Service (for conflicts declared by the Chair)::

¹³ As per Section 3 (“Managing Conflicts of Interest”), managing any potential, perceived and real conflicts transparently and appropriately serves IAES to ensure good governance of its independence and objectivity.

Annex 2. SPIA Chair/Member Declaration of Interest Statement¹⁴

1. Are you now employed by a CGIAR Center/One CGIAR or during the last two years, have you personally been employed as the DG or Head of Research of a CGIAR Center/One CGIAR, the Director of a research program or the CEO/DG of a significant public research institute which is a collaborator/competitor of a CGIAR Center/One CGIAR or served as a Board Chair or Chair of a Board Science Committee of a CGIAR Center/One CGIAR.

☐ YES

☐ NO

If Yes, please provide brief details:

2. During the last five years, have you personally been involved in the activities of a CGIAR Center/One CGIAR or a research program, as an employee, consultant, adviser, Board or Advisory Committee member (i.e. in receipt of financial remuneration beyond expenses) or in receipt of significant funding from a financial contributor to the CGIAR?

☐ YES

☐ NO

If Yes, please provide brief details:

3. Are you now, or during the last two years have you personally been employed by a partner organization which is either a significant collaborator with a CGIAR Center/One CGIAR or research program, a significant competitor for donor funding or in receipt of donor funding?

☐ YES

☐ NO

If Yes, please provide brief details:

4. During the last five years, has a family member or someone with whom you have a strong personal or professional relationship, been involved in the activities of a CGIAR Center/One CGIAR, CGIAR Advisory Body or research program, as an employee, consultant, adviser, Board or Advisory

¹⁴ When offered an engagement as SPIA Chair/Members, you are expected to complete this Declaration of Interest Statement. Once appointed, you should bring to the attention of the Chair and the IAES Director any new activity you engage in, which relates to any of the questions in the original Statement (by updating and signing the Statement). Furthermore, on an annual basis, in December, you will be invited to declare new arising interests.

Committee member (i.e. in receipt of financial remuneration beyond expenses) or as a financial contributor to the CGIAR?

☐ YES ☐ NO

If Yes, please provide brief details:

5. Are you (your organization or institutional department) a recipient of CGIAR funding (including SPIA grants)?

☐ YES ☐ NO

If Yes, please provide brief details:

6. Please give details of any other activity, engagement or relationship with the CGIAR during the last ten years:

7. Please give details of any ongoing remuneration you are receiving or consultancies relevant to CGIAR impact areas that you are carrying out for the private sector/industry ¹⁵:

8. Do you hold financial investments with the private sector/industry that represent more than 50% of your annual earnings and/or receive more than 50% of your annual research funding from the private sector (in sectors relevant to CGIAR impact areas)?

☐ YES ☐ NO

If Yes, please provide brief details:

¹⁵ If you are working or start working with another client under a non-disclosure or similar commercial-in-confidence arrangement, and if that work is relevant to CGIAR and may present a perceived or real COI, then careful consideration must be given as to whether it is appropriate, per the stated IAES COI policy, to enter into or continue an appointment with CGIAR IAES on behalf of SPIA.

9. Due to the nature of work and products for SPIA, it is incumbent on the individual to consider and volunteer any real, potential or perceived conflicts of interest. Please use this space to declare any other information needed for IAES operating as secretariat to SPIA to assess and manage real, potential or perceived conflicts of interest that have not been covered in the preceding questions:

Declaration: I declare that the information provided on this Statement is true and complete.

Full Name: _____

Date
(DD/MM/YYYY): _____

Signed _____
*insert digital signature, or print
and sign, or SUBMIT in MS Forms*

SPIA Conflict of Interest management record¹⁶

Name:

Date (DD/MM/YYYY):

Summary/title of conflict of interest declared:

Description of conflict of interest declared:

Agreed action to manage conflict of interest:

Signed by SPIA Member and Chair (for conflicts declared by Members)::

Signed by SPIA Chair and Director, CGIAR Independent Advisory and Evaluation Service (for conflicts declared by the Chair)::

¹⁶ As per Section 3 (“Managing Conflicts of Interest”), managing any potential, perceived and real conflicts transparently and appropriately serves IAES to ensure good governance of its independence and objectivity.

Annex 3. CGIAR Standing Panel on Impact Assessment (SPIA) SPIA Chair/Members involvement in SPIA subcontracted research

The CGIAR Independent Advisory and Evaluation Service Conflict of Interest Policy aims at ensuring that any potential conflicts of interest are made open and transparent, and that processes are managed to take declared interests into account.

This Annex to the policy addresses the specific case of the SPIA Chair and/or Members' involvement in SPIA subcontracted research.

The SPIA country studies and the causal impact studies rely on subcontracted work to consortia and individual institutions. The research subcontracts are built under the leadership of a SPIA Member. While the day-to-day support required by each research consortium is built into the subcontracts, SPIA keeps the oversight and management of the overall workplan centralized.

Members are eligible to receive one research grant of up to USD 350,000 at a time from SPIA as principal investigators (PIs). Conflicts of interest may arise when the institution(s) of the Member affiliation is either an applicant or recipient of a SPIA research grant. This may include situations when the affiliated institution is a prime or sub-applicant.

When Members become PIs, they will recuse themselves from SPIA deliberations on those specific subcontracts. The procedure to follow in this situation is as follows (at the moment when a potential conflict of interest is identified):

- The Member managing or being part of the review/decision making process of the call must flag to the Chair (or in the case of the Chair, to the IAES Director and SPIA PMU) the moment they become aware of their institution's involvement in an expression of interest or proposal.
- SPIA will discuss the best solution to mitigate the conflict, involving the IAES Director when the case involves the SPIA Chair. IAES will document the SPIA resolution to the situation, supported by the PMU.

Possible mitigation measures, which will be case dependent, are (list is not exhaustive):

- The Member maintains the overall responsibility for managing the call process (or for being part of the review/decision making process) and subsequently managing the studies. A second Member reviews the affiliated institution's proposal independently and separately (i.e., that involves the institution for which a conflict of interest may arise). If funded, the second member retains oversight of the study;
- The proposal is assigned to another group of SPIA studies, handled by another Member;
- The proposal could be led by another research partner with the Member's institution being part of the study team, but without receiving a financial contribution.

Sufficient and appropriate firewalls will be established and documented to avoid preferential treatment to any affiliated institution of the Chair/Member, both at the proposal and grant stage, thereby mitigating the risk of any perceived or real conflict of interest.

Annex 4. IAES Staff/Consultant Declaration of Interest Statement¹⁷

1. During the **last five years**, have **you** personally been involved in the activities of a CGIAR Center/One CGIAR, research program or partner receiving funds for a program, as an employee, consultant, adviser, Board or Advisory Committee member (i.e. in receipt of financial remuneration beyond expenses) or as a financial contributor to the CGIAR?

☐ YES

☐ NO

If Yes, please provide brief details:

2. During the **last five years**, has a **family member or someone with whom you have a strong personal or professional relationship**, been involved in the activities of a CGIAR Center/One CGIAR, CGIAR Advisory Body or research program, or partner receiving funds from a program as an employee, consultant, adviser, Board member?

☐ YES

☐ NO

If Yes, please provide brief details:

3. Please give details of any other activity, engagement or relationship with the CGIAR during the **last ten years**:

4. Due to the nature of work and products for CGIAR IAES, it is incumbent on the individual to consider and volunteer any real, potential or perceived conflicts of interest. Please use this space to declare any

¹⁷ When hired as a IAES staff or consultant, you are expected to complete this Declaration of Interest Statement. Once appointed, you should bring to the attention of the IAES Director any new activity you engage in, which relates to any of the questions in the original Statement (by updating and signing the Statement). Furthermore, you will be invited to declare new arising interests when your employment contract is renewed.

other information needed for IAES to assess and manage real, potential or perceived conflicts of interest that have not been covered in the preceding questions:

Declaration: I declare that the information provided on this Statement is true and complete.

Full Name: _____

Date
(DD/MM/YYYY): _____

Signed _____
*insert digital signature, or print
and sign, or SUBMIT in MS Forms*

Annex 5. Reviewers and Evaluators’ Declaration of Interest Statement¹⁸

1. During the last two years, have you participated in the design or implementation of a CGIAR research activity, initiative or programme contributing to the CGIAR 2030 Innovation and Research strategy?

☐ YES ☐ NO

If Yes, please provide brief details:

2. During the last two years, have you been actively employed by a CGIAR Center/One CGIAR or a public/private research entity which is a collaborator/competitor of CGIAR?

☐ YES ☐ NO

If Yes, please provide brief details:

3. Are you aware whether a relative, close friend, close colleague or someone with whom you have financial ties is participating in the implementation of an activity, initiative or programme contributing to the CGIAR 2030 Innovation and Research strategy (or has done so in the past 2 years)?

☐ YES ☐ NO

If Yes, please provide brief details:

¹⁸ When hired as a reviewers/evaluator to complete ISDC, SPIA or IAES products, you are expected to complete this Declaration of Interest Statement. Once appointed, you should bring to the attention of the IAES Director any new activity you engage in, which relates to any of the questions in the original Statement (by updating and signing the Statement). Furthermore, you will be asked to update the Statement, including any new arising interests, at the beginning of any new engagement/task order for a particular piece of work.

4. During the last two years, have you been involved in the activities of the CGIAR Independent Advisory and Evaluation Service (IAES)?

☐ YES ☐ NO

If Yes, please provide brief details:

5. Please give details of any ongoing remuneration you are receiving or consultancies relevant to CGIAR impact areas that you are carrying out for the private sector/industry ¹⁹:

6. Do you hold financial investments with the private sector/industry that represent more than 50% of your annual earnings and/or receive more than 50% of your annual research funding from the private sector (in sectors relevant to CGIAR impact areas)?

☐ YES ☐ NO

If Yes, please provide brief details:

7. For assignment phase only > Please declare if any project/program/proposal you are being asked to review/evaluate:

- **Cites your research;**
- **Includes researchers with whom you have active collaborations, recently published joint papers or are in regular email correspondence;**
- **Includes work with which you are actively competing, or could be perceived to be competing, for limited funding;**
- **Names any of your past or current students as active participants; or**
- **Presents any features similar to those listed above that might present a potential/perceived/real conflict of interest.**

☐ YES ☐ NO

If Yes, please provide brief details:

¹⁹If you are working or start working with another client under a non-disclosure or similar commercial-in-confidence arrangement, and if that work is relevant to CGIAR and may present a perceived or real COI, then careful consideration must be given as to whether it is appropriate, per the stated IAES COI policy, to enter into or continue an appointment with CGIAR IAES on behalf of ISDC.

- 8. Due to the nature of work and products for CGIAR IAES, it is incumbent on the individual to consider and volunteer any real, potential or perceived conflicts of interest. Please use this space to declare any other information needed for IAES on its behalf and on behalf of the independent bodies it supports to assess and manage real, potential or perceived conflicts of interest that have not been covered in the preceding questions:**

Declaration: I declare that the information provided on this Statement is true and complete.

Full Name: _____

Date
(DD/MM/YYYY): _____

Signed _____
*insert digital signature, or print
and sign, or SUBMIT in MS Forms*



Independent
Advisory and
Evaluation
Service

Independent Advisory and Evaluation Service

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