



Review of
CGIAR Research Programs
Governance and Management
FINAL REPORT

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Maureen Robinson,
Sophie Zimm
Alison King, Urs
Zollinger



Independent
Evaluation
Arrangement

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ACRONYMS AND ABBREVIATIONS

CRP abbreviations

A4NH	CGIAR Research Program on Agriculture for Nutrition and Health
AAS	CGIAR Research Program on Aquatic Agricultural Systems
CCAFS	CGIAR Research Program on Climate Change, Agriculture and Food Security
Dryland Cereals	CGIAR Research Program on Dryland Cereals
Dryland Systems	CGIAR Research Program on Dryland Systems
FTA	CGIAR Research Program on Forests, Trees and Agroforestry
Genebanks	CGIAR Research Program for Managing and Sustaining Crop Collections
Grain Legumes	CGIAR Research Program on Grain Legumes
GRiSP	CGIAR Research Program on Rice
Humidtropics	CGIAR Research Program on Integrated Systems for the Humidtropics
L&F	CGIAR Research Program on Livestock and Fish
MAIZE	CGIAR Research Program on Maize
PIM	CGIAR Research Program on Policies, Institutions and Markets
RTB	CGIAR Research Program on Roots, Tubers and Bananas
WHEAT	CGIAR Research Program on Wheat
WLE	CGIAR Research Program on Water, Land and Ecosystems

Center abbreviations

CIAT	Centro Internacional de Agricultura Tropical (International Center for Tropical Agriculture)
CIFOR	Center for International Forestry Research
CIMMYT	International Maize and Wheat Improvement Center
CIP	Centro Internacional de la Papa (International Potato Center)
ICARDA	International Center for Agricultural Research in Dry Areas
ICRAF	World Agroforestry Centre
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IFPRI	International Food Policy Research Institute
IITA	International Institute for Tropical Agriculture
ILRI	International Livestock Research Institute
IRRI	International Rice Research Institute
IWMI	International Water Management Institute

Other

CGIAR	Global research partnership for a food secure future
Fund	Multi-donor trust fund that finances CGIAR research
Consortium	Consortium of International Agricultural Research Centers
CGIAR centers	CGIAR Research Centers
CRP	CGIAR Research Program
CP	Challenge Program

CPA	Consortium Performance Agreements
DDG	Deputy Director General
DG	Director General
HR	Human Resources
IEA	Independent Evaluation Arrangement (of the CGIAR)
IAC	Independent Advisory Committee (Humidtropics, Grain Legumes, Dryland Cereals, A4NH)
ISAC	Independent Scientific Advisory Committee (Dryland Systems)
ISPC	Independent Science and Partnership Council (of the CGIAR)
LC	Lead center
M&E	Monitoring and evaluation
OCS	One Common System (of the CGIAR)
PIA	Program Implementation Agreements
PMC	Planning and Management Committee (A4NH)
POP	Program Oversight Panel (AAS)
PPMC	Program Planning and Management Committee (L&F)
PPMT	Program Planning and Management Team (GRiSP)
RQ	Review Question
SAC	Stakeholder Advisory Committee (MAIZE)
SPAC	Science and Partnership Advisory Committee (L&F)
SRF	Strategy and Results Framework (of the CGIAR)
ToR	Terms of Reference
\$	US-Dollar
W1, 2 & 3	CGIAR funding windows 1, 2 & 3 ¹

¹ The different funding modalities of the CGIAR are explained in more detail under 3.2. Funding of CRPs

EXECUTIVE SUMMARY

The Review of CRP Governance and Management was requested by the Consortium and approved by the Fund Council in November 2012. The Independent Evaluation Arrangement (IEA) is responsible for the review, which was carried out between June 2013 and January 2014.

At the time the review was initiated, CRP governance and management structures were in place or approved for each CRP. This enabled the review to “take stock of experience so far, identify issues and provide lessons from existing CRPs and elsewhere which can be applicable to other CRPs” (Annex 1, Review Terms of Reference). The timing of the review was intended to provide an early informative assessment useful to the next program proposal cycle.

Data collection and analysis took place from July through October 2013. Initial findings were shared in November in a series of webinars with center DGs, CRP leaders and staff. A draft of the review report was circulated to key stakeholders for comment in late January. The final report was communicated to the Consortium on March 10, 2014.

The focus of the review is on CRP-specific governance and management, including the intersection of these functions with CGIAR center management and boards, Consortium and Fund Council. It covers 16 CGIAR Research Programs (CRPs) including the program established for “Managing and Sustaining Crop Collections” (Genebanks CRP) (Table 6).

The objectives of the review are:

- to develop an accurate and nuanced understanding of governance and management across the CRPs;
- to identify existing structures and practices that support program and system-level goals;
- to highlight structures and practices that impede or undermine performance;
- to recommend principles and practices for CRP governance and management that enhance performance and accountability.

Sources and definitions

The review relied on four principal sources for assessing CRP governance and management:

- Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards (IEG/World Bank 2007), from which the majority of the main criteria were drawn;
- guidance in the Strategy and Results Framework (SRF) concerning oversight, planning, management and implementation of CRPs;

- CGIAR guidelines for center boards adopted in 1996 and updated in 2007, which reflect agreed upon principles and practices for effective governance; and
- Governance Principles for Challenge Programs (2008), which offered precedents for the governance and management of CGIAR multi-stakeholder programs.

The review references the general definition of governance that appears in the Sourcebook to differentiate CRP governance from management (pg. 23). At the conclusion of the review, in connection with a recommendation with respect to CRP governance, the review suggests a set of responsibilities for a CRP governance body developed from the review's findings and conclusions (Table 12).

The ToR for the review and the Sourcebook employ "governance" in its common usage. The review team understood that in assessing CRP governance it would be important to distinguish between the roles and responsibilities of center boards, particularly lead center boards which have legal accountability for CRP performance, and the roles, responsibilities and more limited authority of CRP governance bodies. With that in mind, the review consistently refers to "center boards," "lead center boards," and "CRP governance bodies" throughout the review to differentiate between each group. "CRP governance body" also provides a useful collective description for the number of CRP governance bodies (23 active bodies at the time of the review) and also the variety of names (steering committee, oversight committee, stakeholder advisory committee, independent science panel).

Criteria and principal review questions

In assessing CRP governance and management, the review addresses the following criteria:

- **Legitimacy:** The extent to which governance and management structures facilitate the participation and voice of stakeholders
- **Accountability:** The extent to which accountability is defined, accepted, and exercised from the system-level to centers to CRPs
- **Fairness:** The extent to which partners and participants, similarly situated, have an opportunity to influence or benefit from a CRP
- **Transparency:** The extent to which the programs' decision-making, reporting, and evaluation processes are open and freely available to the general public
- **Efficiency:** The extent to which the governance and management structures enhance efficiency or cost-efficiency in the allocation and use of the resources
- **Effectiveness:** The extent to which results are achieved
- **Independence:** The extent to which decision making and oversight remain unconstrained by conflicts of interest

To achieve its objectives, the review responds to the following seven review questions (RQs) divided into those addressing primarily governance and those addressing primarily management.

Governance Review Questions

- RQ 1: To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?
- RQ 2: To what extent is governance of CRPs sufficiently independent and inclusive?
- RQ 3: To what extent do resource mobilization and resource allocation support effective planning and implementation?
- RQ 4: Are CRP governance structures and processes efficient?
-

Management Review Questions

- RQ 5: To what extent do CRPs have adequate resources to manage for results?
- RQ 6: To what extent does CRP management have the authority to manage for results?
- RQ 7: Is CRP management efficient?
-

Background and context

The CGIAR has undergone a transformation, driven by a new strategy that responds to 21st century realities. No part of the CGIAR is untouched by the changes that have taken place—centers, donors, partners, and all levels of leadership and management. Centers aligned their research activities, institutional capacities, financial resources and partnerships to 15 research programs (CRPs). Two new system-level pillars were created—the Fund Council and the Consortium. Donors committed to a new funding strategy and investment in the CGIAR as a whole has grown to \$1 billion.

The CRPs that emerged from the change process, including a program supporting center gene banks, occupy a complex organizational space within the CGIAR system. They reflect a programmatic strategy designed to accomplish the CGIAR's overarching goals of less rural poverty, better food security, better nutrition and health, and sustainably managed resources. Developed and delivered by centers and partners, the CRPs are characterized by:

- a focus on development outcomes,
- explicit expectations about the role of partners in shaping strategy and delivering results,
- their scale when compared to the CGIAR's earlier programmatic initiatives, such as Challenge Programs, and
- the complexity of the relationships between CRPs and centers.

CRP governance and management were designed to make use of existing structures and capacities in order to provide the CGIAR with the flexibility to change and adapt the portfolio of research programs as results are achieved and new opportunities and challenges emerge. In this respect, CRPs function as time-limited joint ventures that can mobilize resources and partners as effectively as possible. Centers provide an institutional framework for the CRPs and a critical mass of human and physical research capacity; lead centers also provide accountability for CRP performance under program agreements with the Consortium. Existing partnerships and collaborations provide a foundation and starting point for a more extensive and inclusive partnership strategy. Funding for the CRPs as a whole is almost equally divided between resources allocated by the Fund (W1, 2, 3) and bilateral resources raised by the centers (45% and 55%, respectively). As a result, the 16 CRPs and 15 centers are interlocked and interdependent for access to and control of resources and results, with functions that overlap, co-exist, complement and compete.

Key Findings: Governance

In the course of developing the CRP proposals a wide range of governance and management mechanisms was established. The review identified a total of 23 active governance bodies, not including lead center boards. Some CRPs have a single governance body; others have the functional equivalent of two or more.

Although the SRF provided guidance on CRP governance and management structures, the structures were developed to reflect specific programs, and reviewed and approved over a two-year period. The approved structures varied over time and from CRP to CRP and some have since evolved. Only a few CRP governance structures match precisely the structures that appeared in the SRF. As a consequence, for this review, CRP governance bodies are assessed using the review criteria and in comparison to each other rather than for compliance with the SRF.

The review considered the extent to which CRP governance bodies balanced independent and external members with those representing lead and participating centers. It also considered whether CRP governance bodies reported directly to lead center boards. Of 23 active CRP governance bodies, eight are wholly composed of members serving in an independent capacity. Five of these report directly to lead center boards. Five other CRP governance bodies report in writing to lead centers boards. The balance report through the lead center DG. An increasing number of CRP governance bodies link directly with center boards through dual appointments.

CRP governance overall is heavily influenced by lead and participating centers. External partners have limited roles at the governance level, and women and individuals from target regions are significantly under represented.

At the system level, the Fund Council and the Consortium are in the course of clarifying their relationship and relative authority in the dual pillar structure that is a central feature of the new CGIAR. Although intended to play separate and equal roles as “donors and doers,” the Fund Council has not demonstrated that the Consortium is a partner with equal standing. The centers and the Consortium are also clarifying their relationship within a new structure, negotiating the balance of representation, alliance and independence. This lack of system-level common understanding about roles and relative authority was also noted in the Phase 2 CGIAR Governance Review, and contributes to concern among centers that their role is marginalized and undervalued in the CGIAR’s new strategy and institutional arrangements.

Lead center boards confront an increased potential for conflicts of interest between their duty to centers and their accountability to the Consortium for CRPs. For all but a handful of CRPs, centers are heavily invested in the CRPs they lead, allocating substantial research capacity and bilateral resources to them. Many lead centers also have substantial influence and decision-making authority in CRP governance and management. In programs that rely on substantive engagement with partners and other stakeholders, confidence in decision making is contingent on assuring a level playing field and instituting mechanisms that guard against conflicts of interest. With some exceptions, lead center boards do not have sufficient safeguards in place to mitigate conflicts of interest and assure the independence of their oversight and accountability for the CRPs they lead.

Resource mobilization and resource allocation feature in the review in multiple contexts. While overall investment in the CGIAR has increased at a substantial rate, doubling in five years to \$1 billion, W1&2 funding, the most flexible of the resources available to CRPs, represented just 37% of funding in 2012. The extent to which CRPs are reliant on bilateral support either through the Fund or through centers has the potential to distort priority setting within the CRPs and limits the flexibility to allocate resources. For five CRPs bilateral funding ranges from 70 to 80 percent. The lack of a system-wide resource mobilization strategy that complements the centers’ substantial capacity to raise funds perpetuates a distinction between the resources raised and allocated through the Fund and those raised by the centers. As a result, even as overall investment in the CGIAR has risen at an impressive rate, the internal discourse about roles and responsibilities for resource mobilization drains good will and erodes a sense of common purpose.

Key Findings: Management

CRP management draws heavily upon existing center research and administrative capacity. The review found that this provided the CRPs with adequate access to these management resources. CRP management costs averaged 3-4 percent. Although the percentage was similar across the CRPs, the underlying expenses that comprised the management budgets varied across CRPs to such an extent that it was impossible to make comparisons or to form an opinion about the relative cost-effectiveness of current management structures. The ways in which lead centers budgeted for their responsibilities for CRP management also

varied widely, from a calculation based on all or part of a CRP's management budget to a fee for services.

Transaction costs were also routinely cited as being too high. The use of "transaction costs" covered a wide array of activities, including the convening and interaction that has attended the implementation of the new strategy. The review notes the ongoing streamlining and harmonization underway with respect to reporting that helps to address a significant contributor to transaction costs, and considers that convening multiple new governance and management structures has added to overall costs.

The reviewed considered the reporting line for CRP leaders, which for most is through the lead center DG, does not provide the CRP leader with the authority to manage for results. In addition, at present, the majority of CRP leaders also work with steering committees and program planning and management committees that are duplicative in their representation and sometimes distinct from management teams. These bodies populated primarily by senior leaders from lead and participating centers further shape planning and decision making and put additional limitations on the CRP leader's authority.

Conclusions

The review validated broad support for the underlying intent and strategy of the new CGIAR and a positive sense that new and more collaborative research was underway.

CRP governance and management were intentionally designed to make use of existing structures and capacity rather than duplicate them unnecessarily. The benefits of this strategy were evident for mobilizing research and management resources. In general, the review found the basic accountability framework for CRPs to be functional. The flow of accountability from the Fund Council to the Consortium to the Centers makes good use of the CGIAR's corporate structure, allowing the research portfolio to change and evolve as results are achieved and new opportunities or challenges emerge. The constellation of governance bodies closest to the CRPs was less functional.

Nevertheless, the carefully delineated legal framework laying out accountability for CRPs and their performance has given rise to an acute awareness of boundaries—between the Consortium and centers, and between centers and CRPs. The shift in investment from centers to programs as well as uncertainty about the level and flow of W1&2 funds have heightened the sense of risk on the part of centers and raised concerns about a loss of standing within the system as a whole. Many people made the point that CRPs cannot be seen in isolation; they are programs being implemented by institutions to achieve results.

The review concluded that there were a number of opportunities to improve the effectiveness of CRP governance and management, but that a stronger analysis of the management side of the issue depended on standardizing the categories of expense that

describe CRP management costs. Although in the aggregate, CRPs appeared to have access to the management resources they need, the management budgets as presented did not present equally clear or comparable descriptions of underlying management costs. Overall sensitivity to overhead expenses requires more consistency and transparency in their calculation. Similarly, the personnel costs associated with CRP management need to be presented in a more straightforward fashion. Leveraging existing management resources should not make the cost of management invisible.

Although there was a consensus that progress had been made in streamlining and standardizing reporting, these improvements did not fully address concerns with transaction costs, which meant different things to different people. For most of those interviewed, the level and intensity of interactions and meetings among CGIARs leaders, managers and scientists, donors and partners constitute the biggest contribution to higher transaction costs after reporting. This level of intensity may naturally decline as systems and processes are institutionalized but the increase in collaboration and consultation required by the CGIAR SRF comes with higher demands on time and resources. Given new, inherent costs associated with the strategy, there is an ongoing need to manage the costs of doing business. The effective engagement of partners will rest in part on making sure these costs are not prohibitive.

The review concluded that CRP governance can be simplified to clarify roles and increase efficiency and effectiveness. There are too many CRP governance bodies, many of them duplicative. Although evolving, too few of the existing CRP governance bodies brought independence and legitimacy to the governance function. This deprived the CRPs of a single, balanced and independent body to provide oversight and a clear line of authority that supports effective decision-making. Additionally, without such structures in place, center boards lack a mechanism that both addresses the potential conflicts of interest they face and supports their accountability for CRP performance.

The dominant role of centers in CRP governance and management may be attributable to the level of center resources committed to CRPs, but it negatively affects the legitimacy of decision making by raising issues of conflicts of interest, and by failing to include the sufficient participation and perspectives of key stakeholders, including external partners, women and individuals from target regions.

The existing management structures can also be simplified and clarified. Accountability for the performance of a CRP should clearly rest with CRP management. Many things will contribute to a CRP's successful performance, but the CRP leader should have the authority to manage for results, and the accountability for that performance should be to a CRP governance body designed to fulfill that role, rather than through the lead center DG. In considering how best to achieve both effective and efficient CRP governance and management, the review looked at the structures and practices that had been endorsed for the Challenge Program, which included an independent governance body with oversight of

the program leader, and considered this a better arrangement for CRP governance and management than what is now in place in most CRPs. Particularly, if CRPs are intended to build and leverage partnerships at many different levels, the CRP leader should not be accountable to a single partner for performance or operate in a structure where some partners more than others influence decision making.

As CRPs move further into implementation and outcomes are more clearly defined, the various committees that currently encircle CRPs also add complexity to the management process, crowding CRP management and tending to reinforce the status quo. Even in the most collaborative settings, CRP management needs the clarity as well as the flexibility to engage effectively in priority setting, resource allocation and evaluation. A part of this flexibility is linked to the capacity to build management and advisory structures that fulfill management needs with respect to planning and implementation.

Recommendations

Eight recommendations emerged from the review. These are informed by the need to:

- streamline structures,
- strengthen the independence and legitimacy of decision making,
- provide CRP leaders with the authority to manage for results,
- strengthen accountability and transparency, and
- recognize the need to sustain the institutional capacity of centers.

The review also looked at the underlying diversity of the CRPs and how this diversity should inform governance and management structures. The recommendations are intended to highlight a core group of principles that support good governance and effective management rather than a rigid set of structures.

The recommendations also reflect a conscious effort to recognize effective structures and practices already in place or emerging that can be adopted more broadly without significant disruption to centers, partners and the CRPs at this stage in the development of the programs. The pace and magnitude of change within the CGIAR has been deeply disruptive, but CRPs are actively moving past their start-up phase and beginning to work as intended. Both the programs and the centers need a period of operational stability in which to implement plans, build partnerships and experience results. The review recommends retaining the current accountability structure, in which lead centers are accountable for CRP performance, and building on evidence of effectiveness, it argues for a more balanced role for lead center boards and DGs in the governance and management of the programs.

The recommendations and the basis for them are discussed in full in the Conclusions and Recommendations sections of the report.

Governance Recommendations

- 1. Create a single, balanced governing body for each CRP that reports directly to the lead center board on the performance of the program. The CRP governance body should bring together appropriate expertise, include a majority of independent expert members, and accommodate lead center and partner representation.**

The recommendation creates a more effective and efficient structure for providing immediate accountability and support for priority setting, resource allocation and evaluation of the CRPs. A CRP leader would be directly accountable to this body for performance. A single, balanced, expert and independent body assures donors, partners and stakeholders that no interests but the best interests of the program will shape deliberations. It assures lead center boards of an independent mechanism for assuring program performance and maintains their accountability function in the current program agreements. The recommendation eliminates duplicative structures and contributes to more efficient decision-making.

Responsibility for action: Consortium Board

Timing: 2015 renewal of program plans

- 2. Assure transparency in the work of CRP governance bodies by making available on CRP websites the names of members and their qualifications, posting meeting agendas and minutes, and otherwise sharing information that builds confidence in the basis and quality of decision making.**

Because a balanced and independent governing body cannot reasonably include the full representation of partners and stakeholders, it is important to conduct business in a transparent fashion in order to maintain confidence in the legitimacy and fairness of decision making. A number of CRPs currently include this information on their websites.

Responsibility for action: CRP governance bodies, CRP leaders

Timing: Immediately with endorsement of the recommendation

- 3. Institute policy and decision-making mechanisms for managing conflicts of interest at the governance and management levels of CRPs.**

Such mechanisms are considered good practice and reflected in the guidelines and policies of center boards. A number of CRPs have adopted policies and decision-making mechanisms of this kind. Broader implementation offers the opportunity for

CRPs to compare their policies and practices in this area and identify which have been effective and offer a model to other CRPs.

Responsibility for action: Consortium Board

Timing: 2015 renewal of program plans

Management Recommendations

4. **Strengthen the authority of the CRP leader to manage for results:**
 - **place the reporting line and accountability for performance with the CRP governing body included in Recommendation 1,**
 - **give CRP leaders the authority to establish appropriate management and program advisory arrangements,**
 - **institute a formal role in the performance evaluation of CRP program managers and coordinators employed by centers.**

The recommendation creates a line of authority for a CRP starting with the lead center board and continuing through the CRP governance body to the CRP's leadership. It strengthens and clarifies the role of the CRP leader and the authority needed to manage for results. CRP leaders would have the flexibility to put management and program advisory structures in place that are responsive to program and partnership needs. A component of the authority to manage for results is a role in the evaluation of management team members. The recommendation has been revised from the initial draft to reflect the current diversity of senior research leaders involved in CRP management, principally DDGs, and the accountability for hiring and staff performance that rests with a center DG to whom these positions are direct reports. (An equivalent situation occurs when CRP research managers are employed by organizations outside the CGIAR.) The revised recommendation includes the CRP leader as an important input to performance evaluation in these circumstances as this input supports the overall quality of management for which the CRP leader is accountable.

Responsibility for action: Consortium Board

Timing: Guidance for CRP Second Call (2015)

5. **Establish uniform guidelines that harmonize CRP management budgets, including staff costs attributed to program administration, coordination of key functions, and research management, to reflect the legitimate costs of program management and to better assess management efficiency and effectiveness.**

The CRP proposal process contained limited instructions for preparation of management budgets. Consequently, some CRPs outlined comprehensive staffing plans with associated costs, and others relied on a percentage calculation of the total projected CRP budget to estimate the cost of managing the programs. Budget development and accounting systems should provide sufficient uniformity to make useful comparisons across CRPs and centers, and to benchmark CGIAR expenses against comparable research or multi-stakeholder programs.

Responsibility for action: Consortium Board

Timing: Guidance for CRP Second Call (2015)

Center and CGIAR System

- 6. Resolve the outstanding issue of maintaining center financial reserves through a prudent and equitable system-level agreement between the Fund Council and the Consortium on the use of W 1&2 funds with respect to reserves.**

It is in the long-term interests of the CGIAR to assure that the centers as the institutional framework for the CRPs have the resiliency and financial stability to deliver results at the level and within the timeframes projected. Although the uncertainty about the levels and timing of W1&2 funding are being resolved, this does not wholly address the broader need for the CGIAR's own funding to play a role in assuring the financial stability of the institutional framework that underlies the CRPs. The recommendation does not address the issue of a CRP reserve for W1 funds or relate in any way to the idea of centralizing the management of existing center reserves.

Responsibility for action: Fund Council/Consortium Board

Timing: Coincident with the renewal of CRPs through 2017

-
- 7. Create guidelines that increase transparency and encourage the alignment of resource mobilization on the part of centers for activities that strengthen centers' capacity to achieve the SRF, or for purposes consistent with center mandates but outside CRPs.**

While there remains a strong rationale and motivation to bring as many donors as possible into the Fund, there are likely to be limits to the resources available to the centers through the Fund as well as donors who elect to fund centers directly. Some centers currently pursue bilateral support for the purposes suggested by the recommendation; others do not. The recommendation brings forward the idea that

centers can be partners and major investors in CRPs and committed to achieving the SRF, while also maintaining their institutional stability, and the flexibility to invest in and renew facilities and infrastructure as part of long term planning. Similarly, centers, consistent with their mandates, should be able to contribute to regional priorities outside the SRF as well as center-specific opportunities or needs. To avoid conflicts between these activities and broader efforts to increase the size of the CGIAR Fund and the number of donors to it, clear guidelines as well as transparency about these transactions are needed.

Responsibility for action: Fund Council/Consortium Board

Timing: immediately, with endorsement of the recommendation

8. Evaluate the Genebanks CRP for lessons learned on investing in system-wide research assets.

The review generated limited findings, conclusions and a recommendation for the governance and management of the Genebanks CRP, noting its differences from the research CRPs. Over the course of the review, the CRP was consistently viewed by stakeholders as an example of a critical system-level investment. The recommendation is intended to generate lessons learned about the value of such investments, and how best to structure them.

Responsibility for action: Fund Council/Consortium Board

Timing: 2016, prior to the CGIAR system-level evaluation

1. INTRODUCTION

1.1. Review purpose

Beginning in 2014, the agreements under which the CGIAR Research Programs (CRPs) operate will be updated and extended through 2016. The second call for proposals is planned to begin in mid-2015. With this in mind, the Review of CRP Governance and Management was requested by the CGIAR Consortium and approved by the CGIAR Fund Council at its 8th Session in November 2012. The review is an input into this process and informative to primary stakeholders in the CRPs:

- CGIAR research centers
- CRP leaders and research managers
- CRP partners
- CGIAR Fund Council
- CGIAR Consortium

CRPs have many additional stakeholders who contribute to and benefit from the work they do. The review is also of potential value to this larger group.

1.2. Review objectives

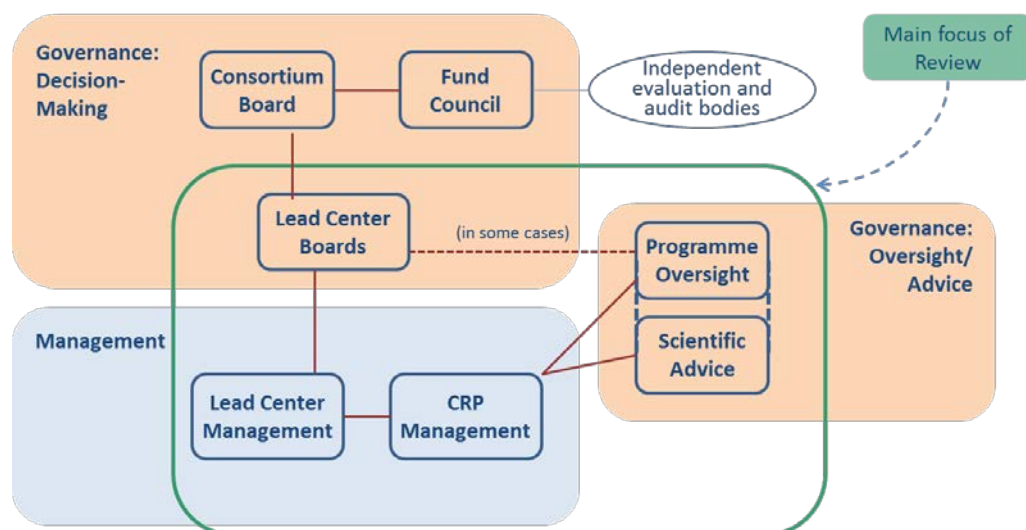
The CGIAR Independent Evaluation Arrangement (IEA) developed the review's Terms of Reference (ToR) in consultation with the Consortium, Fund Council and CGIAR center and CRP leadership (Annex 1). The objectives of the review are:

- to develop an accurate and nuanced understanding of governance and management across the CRPs;
- to identify existing structures and practices that support program and system-level goals;
- to highlight structures and practices that impede or undermine performance;
- to recommend principles and practices for CRP governance and management that enhance performance and accountability.

1.3. Review focus

The focus of the review is on CRP-specific governance and management, including the intersection of these functions with CGIAR lead center management and boards, the Consortium and Fund Council (Figure 1). It covers 16 CGIAR Research Programs including the program established for "Managing and Sustaining Crop Collections" (Genebanks CRP) (Table 6). The latter supports the management of the collections of plant genetic resources held by 11 centers through a partnership with the Global Crop Diversity Trust.

Figure 1: Main Focus of the Review



Source: Review team.

1.4. Review criteria and questions

Based on the criteria suggested in the “Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards” (IEG/World Bank 2007) for assessing governance and management, and taking into consideration the CGIAR’s own work in defining good governance and best practices, the review addresses the following criteria:

- **Legitimacy:** The extent to which governance and management structures facilitate the participation and voice of stakeholders
- **Accountability:** The extent to which accountability is defined, accepted, and exercised from the system-level to centers to CRPs
- **Fairness:** The extent to which partners and participants, similarly situated, have an opportunity to influence or benefit from a CRP
- **Transparency:** The extent to which the programs’ decision-making, reporting, and evaluation processes are open and freely available to the general public
- **Efficiency:** The extent to which the governance and management structures enhance efficiency or cost-efficiency in the allocation and use of the resources
- **Effectiveness:** The extent to which results are achieved
- **Independence:** The extent to which decision making and oversight remain unconstrained by conflicts of interest

Independence in the context of the review refers to a characteristic or quality of behavior; it is not used in the review to designate an entity apart from or separate from another body.

Efficiency, as defined in OECD-DAC and in the IEA Glossary of Evaluation Terms, refers to how economically resources/inputs are converted to results. Many CRPs are just operationalizing, making it difficult to evaluate governance and management efficiency in those terms, and it was beyond the scope of the review to look at results achieved by individual CRPs. Consequently, the review uses this criterion in a narrower sense, and bases the assessment on a more qualitative analysis and perception of structures and processes rather than CRP outputs.

Seven review questions have been identified (below). The review questions have been distilled from the initial questions in the review ToR and from research conducted during the first phase of the review based on a broad list of potential issue areas identified in the review ToR. The review questions are informed by the Sourcebook's criteria, good governance principles and the SRF and thus the Review does not assess the CRP governance bodies solely against the guidance provided in the SRF, which was very limited.

The questions are divided into those addressing primarily governance and those addressing primarily management. With 15 centers and 16 CRPs, each with its own constellation of governance and management structures, as well as two system-level entities, dividing the questions into governance and management clarified within each area the most relevant questions that needed to be addressed. By organizing and focusing the review questions in this way, the review could target the gathering and analysis of data as the basis for the findings. In order to further specify the questions, sub-questions have been developed (Annex 2: Review Framework).

Governance Review Questions

- RQ 1: To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?
- RQ 2: To what extent is governance of CRPs sufficiently independent and inclusive?
- RQ 3: To what extent do resource mobilization and resource allocation support effective planning and implementation?
- RQ 4: Are CRP governance structures and processes efficient?

Management Review Questions

- RQ 5: To what extent do CRPs have adequate resources to manage for results?
- RQ 6: To what extent does CRP management have the authority to manage for results?
- RQ 7: Is CRP management efficient?

The relation between the review questions and the review criteria is shown in Table 1.

Table 1: Relation between Review Questions and Criteria

Review Questions	Review Criteria						
	Legitimacy	Accountability	Fairness	Transparency	Efficiency	Effectiveness	Independence
1. To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?		■					
2. To what extent is governance of CRPs sufficiently independent and inclusive?	■		■				■
3. To what extent do resource mobilization and resource allocation support effective planning and implementation?						■	
4. Are CRP governance structures and processes efficient?					■		
5. To what extent do CRPs have adequate <i>resources</i> to manage for results?				■	■	■	
6. To what extent does CRP management have the <i>authority</i> to manage for results?		■				■	
7. Is CRP management efficient?				■	■		

Source: Review Team

2. REVIEW APPROACH AND METHODOLOGY

2.1. Defining CRP governance and management

Governance

CRPs are intended to function as time-bound joint programs that engage with a broad range of partners to achieve defined results. Legal accountability for CRP performance resides with lead center boards under Program Implementation Agreements (PIAs) with the Consortium. The structure avoids the creation of new institutional entities in favor of using an existing network of incorporated and internationally chartered centers to serve as hosts and fiduciaries of the CRPs.

While the CRPs share a common footprint for accountability, they show substantial variability in the governance arrangements in place. In addition to center boards, which have the legal governing authority for the CRPs they lead, an array of CRP-specific governance bodies have also been established. These range from steering and stakeholder committees to science and program oversight and advisory bodies, and, depending on their

composition and ToR, a number of management committees. Originating from guidance in the 2011 CGIAR Strategy and Results Framework (SRF), many of these bodies approximate the governance functions defined in the Sourcebook for Evaluating Global and Regional Partnership Programs (Sourcebook) and elsewhere. While the review acknowledges the role and legal standing of lead center boards, it looks closely at the ToR, composition, performance and relationship to decision making of the full range of bodies linked to individual CRPs that play a role in their governance.

Definition and Use of Governance in the Review

The review ToR, the Sourcebook and other sources employ “governance” in its common usage. In assessing CRP governance, the review distinguishes between the roles and responsibilities of center boards, particularly lead center boards, which have legal accountability for CRP performance, and the roles, responsibilities and more limited authority of CRP governance bodies. With that in mind, the review consistently refers to “center boards,” “lead center boards,” and “CRP governance bodies” throughout the review to differentiate between each group. “CRP governance body” also provides a useful collective description for the number of CRP bodies active at the time of the review (23), and also the variety of names and functions assigned to them (steering committee, oversight committee, stakeholder advisory committee, independent science panel, etc.).

The Sourcebook defines governance broadly to encompass those bodies in a global partnership responsible for:

- strategic direction
- management oversight
- stakeholder participation
- risk management
- conflict management
- audit and evaluation

In addition to the definition offered in the Sourcebook, the review draws on three additional and relevant sources to define CRP governance as well as frame the principles and practices that inform the review:

- the guidance in the SRF that recommended that CRPs include mechanisms that would oversee the planning, management and implementation of the CRP and provide expertise and insights on strategy, performance, resource allocation and partners;
- the CGIAR guidelines for center boards adopted in 1996 and updated in 2007, which reflect agreed upon principles and practices for effective governance; and
- Governance Principles for Challenge Programs (2008), which as multi-stakeholder programs that relied on CGIAR centers to serve as the legal entity for program

accountability, provide precedents for the governance (and management) structures of CRPs (see box below).

CGIAR Challenge Programs

Challenge Programs (CP) were created as time-bound programs focused on issues of “overwhelming significance” that aligned with the CGIAR’s system priorities. They were intended to engage centers and partners and be collaborative in nature. From the beginning, the programs were discouraged from having a single institution dominate the venture. Over time, this principal was institutionalized through guidance, endorsed by the CGIAR Executive Committee, on the preferred governance and management structures—including a balanced and independent governance body with clear authority to oversee the performance of the programs, and a program manager who reported directly to the CP governing body and had the authority to manage staff and resources for results.

Like CRPs, Challenge Programs functioned as unincorporated partnerships, hosted by centers. They were also intended to mobilize new resources. In this regard they are unlike CRPs. CRPs rely heavily on the centers’ existing research capacity to achieve results and reflect a new programmatic funding model that channels resources to centers for research activities covered under CRP performance agreements. Furthermore, CRPs are considered the main vehicles for achieving the CGIAR’s and centers’ mandates, while Challenge Programs only represented a small part of the CGIAR’s research programs.

Among the principles and practices recommended for center governance and the governance of the Challenge Programs was the need for individuals on these bodies to “exercise objective, independent judgment,” acting in their individual rather than representative capacities. The principles for Challenge Programs also emphasized the need to “avoid unnecessary institutional representation in Challenge Program governance but respect legitimate host interests.”

Management

Defining management for the purpose of the review is more straightforward. The seven general functions outlined in the Sourcebook are relevant for the different settings in which CRP management by program leaders/directors, management teams and management committees occurs:

- Program implementation
- Regulatory compliance
- Reviewing and reporting
- Administrative efficiency

- Communication and knowledge sharing
- Learning
- Performance assessment

With respect to management, the review also references the Governance Principles for Challenge Programs, which included the need both to clarify responsibilities between the program and the host on the operational level, and “establish an effective vertical chain of command” to address the potential problem for program directors of “two masters.”

2.2. Inception phase

During the inception phase (May-July 2013), the following work was done and captured in an inception report:

- Desk review of background and context
- Identification of emerging issues and questions
- Initial interviews with stakeholders
- Design of review framework and data collection approach
- Agreement on detailed time line and work plan

2.3. Data sources and data collection methods

The review framework provides an overview of data sources and methods used to collect evidence along the review questions and sub-questions (Annex 2).

The following data sources and data collection methods were used to gather information:

- Review of background documentation (Annex 3)
- Collection and analysis of CRP financial information
- Collection and analysis of CRP governance and management committee ToRs and membership information
- Mapping of current CRP governance and management structures (Chapter 5: Overview of Governance and Management)
- 71 interviews with Consortium and Fund Council staff, donors to the Fund, CRP leaders, center board chairs and Directors General (DGs), and center finance staff/heads of corporate services. Most interviews were conducted via phone/Voice over the Internet Protocol (Table 2 and Annex 4)
- Two web-based surveys of participants in CRP governance and CRP management (excluding the Genebanks CRP); yielding high response rates of 76 respondents (48% of survey participants) and 146 respondents (60% of survey participants), respectively (Table 3 and Annexes 5 and 6)

Interviews included the universe of center DGs and CRP leaders, center finance staff, as well as key informants in both the Fund and Consortium offices. Donors, a number of center

DDGs and others were interviewed in person in connection with a meeting with CRP leaders, donors and partners at the Consortium offices in June 2013. Center board chairs were invited to comment directly to the review team leader on the draft review report.

Because of the variability of “time on task” among the CRP governance bodies, the review relied on sources of information that were common to all of the programs—program proposals, original and revised ToRs, reporting structures, leadership and composition of the CRP governance and management bodies, and information on practices from DGs and CRP leaders. Minutes of CRP governance bodies were referenced as background if available on websites; they were not considered to be a consistent or reliable source of data for a cross-sectional analysis, particularly given the limited history of meetings for a significant number of CRP governance bodies at the time of the review.

Table 2: Persons interviewed

	Number of persons interviewed
Consortium leadership team	5
Donors/Fund Council staff	9
Center DGs (or Deputy DGs on their behalf)	15
Center finance staff	20
CRP leaders	18
Center Board Chairs	4 ²
Total	71

Source: Review Team, Annex 4.

For the purpose of distributing the governance and management surveys, CRPs were asked to provide the names and contact information for four categories of management/coordination staff (Chapter 5.2) and the individuals serving on all of the respective CRP governance bodies (Table 8). Some people received both a governance survey and a management survey because of roles in CRP management as well as on one or more CRP governance bodies.

² Three center board chairs were interviewed after the first draft report was shared.

Table 3: Surveys – Participants and Response Rates

	Participants	Response Rates
Governance Survey	157 individuals invited to participate in survey 76 of which responded	48.4%
Management Survey	243 individuals invited to participate in survey 146 of which responded	60.1%

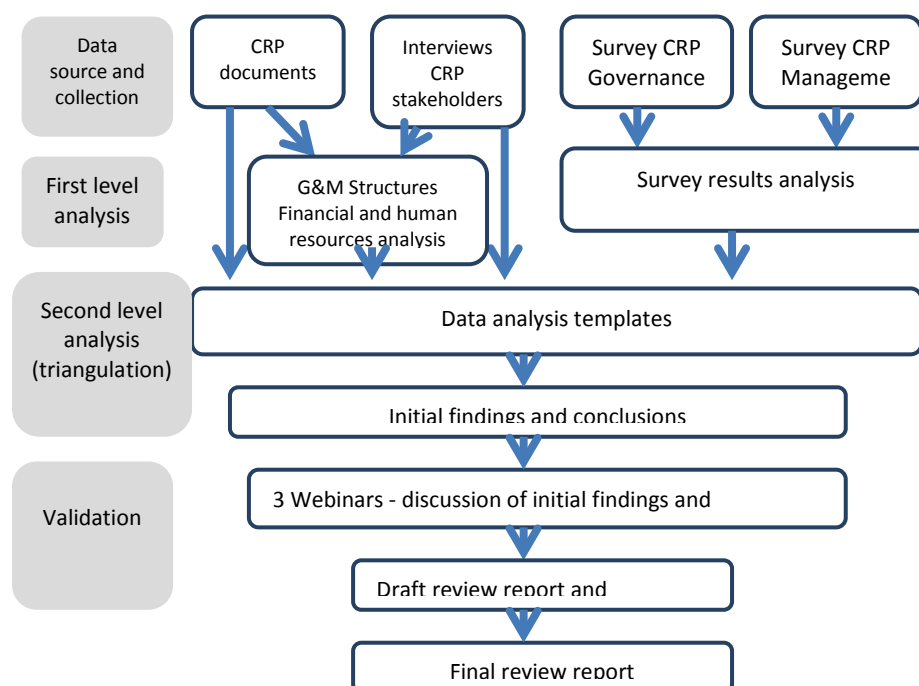
Source: Review Team, Annex 5 and 6.

2.4. Data analysis

Data collected were analyzed and validated in three steps (Figure 2).

A **first level analysis** was conducted of CRP governance and management structures, and financial and human resources based on the CRP documents and interviews, and of the survey responses.

Figure 2: Data collection and analysis process



A **second level** analysis brought together all evidence and early findings from all data sources into data analysis templates. This allowed for a triangulation of evidence. Based on the data analysis templates, initial findings and conclusions were developed.

The analysis phase was followed by two **validation** steps: first, three webinars were conducted (November 2013) in order to present initial findings and conclusions to stakeholders. The webinars enabled leaders of CRPs and centers to engage with the review team and discuss the review's initial findings and conclusions. In total, at least 34 stakeholders participated in the webinars³.

After the webinars, the draft review report was written. **The draft review report was circulated to stakeholders for validation.** Stakeholders were invited to provide factual corrections and comments on the review's findings, conclusions and recommendations. All of the centers submitted comments and indicated that the report had been shared with center board chairs and with members of the centers' management staff. Most feedback from CRP leaders was incorporated in center feedback, but a number of CRP leaders responded separately. Comments and corrections were also provided by the Consortium Office.

Comments on substantive issues were organized into a matrix according to themes and common issues. The team leader and the Head, CGIAR-IEA, carefully reviewed all the comments and discussed any implications for the report, bearing in mind the independence of the reviewers and that the ultimate responsibility for the content of the report rests with the review team leader. The matrix with responses was provided to stakeholders in conjunction with the distribution of the final review report.

Factual corrections (mostly on the composition of the CRP governance bodies and financial data) were reviewed by the Evaluation Analyst (IEA) with reference to the information received at the time of data collection. The information was either validated or updated and incorporated into the report. Any further clarification that was necessary was sought bilaterally with the respective center or CRP staff. The analysis and findings based on data was revisited and revised if necessary.

2.5. Quality assurance

During the entire process, quality has been assured by close interaction with the IEA. During the inception phase, a peer review team⁴ provided additional advice. After the inception phase, the review team was reinforced by the inclusion of methodological support from an external evaluation consultancy.

2.6. Main limitations of the review

The distribution of the two web-based surveys of participants in CRP governance and CRP management (excluding the Genebanks CRP) was based on information supplied by the

³ Participants represented 13 different CRPs and included seven CRP leaders.

⁴ Composed of Douglas Horton and John Markie, members of the IEA Quality Assurance Advisory Panel (QAAP).

CRPs. The management survey yielded a high 60% response rate, including responses from 15 CRP leaders. Some CRPs had a higher response rate than others. Data collected through the governance survey, with a 48% response rate and a bias toward the views of center management (serving on CRP governance bodies), is used cautiously. Care has been taken not to generalize to the whole population. Both surveys benefit, but at the same time, are limited by the extent to which they rely on “insiders.” Future CGIAR reviews and evaluations may consider expanding data gathering to include individuals not so personally involved in the CRPs governance and management.

The review found that many CRP governance bodies are still at the start-up phase and only beginning to convene, making it too early to address the transparency criteria with respect to CRP governance. Transparency as a best practice in governance and management is discussed in the findings on CRP management costs, and also in the conclusions and recommendations with respect to governance.

There is a lack of detailed budget and expenditure data for CRPs, which prohibited comparisons of management costs across programs. This is discussed at length in the findings and is addressed in a recommendation.

Feedback from partners or members of CRP governance bodies was solicited through the surveys; additional information was developed by analyzing the composition of CRP governance and management bodies. Aspects of the review, including the applicability of review questions, were not always relevant to the Genebanks CRP; when an analysis excludes the Genebanks CRP, this is noted, as are findings, conclusions and recommendations relevant only to this CRP.

In spite of the limitations, the review team is confident that, after the validation process of the preliminary findings and conclusions, the final findings and conclusions are sufficiently supported by evidence.

2.7. Team composition/roles and responsibilities

Table 4: Team Composition/Roles and Responsibilities

Team member	Roles and responsibilities
Maureen Robinson	Team leader - inception report, desk review, interviews, data analysis, webinar presentation of preliminary findings and conclusions, lead author of review report.
Sophie Zimm	IEA Evaluation Analyst - desk review, interviews, survey management, data analysis, drafting of parts of review report.
Alison King & Urs Zollinger (joined in August 2013)	Evaluation experts - methodological support, survey design and analysis, advice on report drafting, quality control, webinar moderation.

Source: Review team.

2.8. Timeline

Table 5: CRP Governance and Management Review—Milestones and Timeline

Milestones	Timeline
Inception phase	May – July 2013
Data collection and analysis	July – October 2013
Initial findings and conclusions	4 November 2013
Webinars	13/14 November 2013
Draft review report	9 January 2014
Consultation on draft review report	22 January 2014
Final review report	March 10, 2014
Report presentation w/Consortium/Fund Council leaders	March-May, 2014

Source: Review team.

3. CGIAR RESEARCH PROGRAMMES

3.1. Overview of CRPs

As the review began, all of the CRPs have been approved for funding and CRP leaders have been identified. Although the majority of the CRPs are in approximately the same stage of development, two of the CRPs – Global Rice Science Partnership (GRiSP) and Climate Change, Agriculture and Food Security (CCAFS)—were placed on a fast track for approval, and consequently, their governance and management structures have been operational longer. Additionally, CCAFS originated as a Challenge Program, and in the course of the transition to a CRP, retained certain Challenge Program governance and management features. At the other end of the continuum, Dryland Systems, Humidtropics, Grains Legumes, and Dryland Cereals only hired program leaders in 2013, and their governance and management structures, although outlined in the program proposals, are nascent.

This span of organizational development enables the review to straddle an important point in the implementation of the CRPs. There is a sufficient record of activity with respect to CRP governance and management within the larger CGIAR context to perceive the structures, practices and principles that contribute to effectiveness and efficiency. At the same time, the start-up nature of the CRPs enables the review to contribute to learning and adaptation at a formative stage.

Table 6 provides an overview of the research focus of each CRP, the center that serves as the legal entity and “lead” for the CRP, and the dates of approval. The table also indicates the general categories into which the CRPs are commonly grouped: systems CRPs; commodity; policy; and natural resource management CRPs. It also includes the CRP on

gene banks, which supports the management of the collections of plant genetic resources held by 11 centers through a partnership with the Global Crop Diversity Trust.

Table 6: CRPs Date of Approval and CGIAR Lead Center⁵

CRP	Lead Center	Date of Approval
Dryland Systems	ICARDA	Mar-2012 ⁶
Humidtropics	IITA	Mar-2012
AAS	WorldFish	Jul-2011
PIM	IFPRI	Dec-2011
WHEAT	CIMMYT	Dec-2011
MAIZE	CIMMYT	Apr-2011
GRiSP	IRRI	Nov-2010
RTB	CIP	Nov-2011
Grain Legumes	ICRISAT	Mar 2012
Dryland Cereals	ICRISAT	Mar 2012
L&F	ILRI	Jul-2011
A4NH	IFPRI	Dec-2011
WLE	IWMI	Nov-2011
FTA	CIFOR	Apr 2011
CCAFS	CIAT	Nov-2010
Genebanks	Global Crop Diversity Trust	Mar 2012

Source: Review team. System CRPs in green, Commodity CRPs in orange, Policy and other CRPs in blue.

The SRF provided guidance on the key features of the CRPs governance and management structures:

- Each CRP will be managed by one lead center, which will have fiduciary and operational responsibilities for its implementation.
- Each CRP will have a PIA signed between the Consortium and the lead center that specifies milestones and outputs against funding on a multi-year basis for the proposed life span of the CRP. Rolling annual contracts will adjust future funding, contingent on the CRP's performance of the contract. The Consortium Board will develop the appropriate framework for evaluation of performance.
- The lead center, in consultation with other participating centers, will appoint a Director for the CRP who will be responsible for the quality and relevance of the outputs produced under the CRP.
- The lead center, in consultation with other participating centers will establish:
 - a Planning and Management Committee composed of a representative of the lead center, a representative of each participating center, and a representative of other partners that have substantial responsibilities in

⁵ CRPs in this table and throughout the report are listed in conformity with the earlier CRP numbering system (e.g. CRP 1.1. on Dryland Systems, CRP 4 on A4NH).

⁶ Inception phase was approved in November 2011 (6th Fund Council Meeting)

the implementation of the CRP. This Committee will oversee the planning, management and implementation of the CRP;

- a mechanism to ensure that the work in the CRP is of the highest quality; this will usually include a Scientific Advisory Committee composed of individuals who can bring together state-of-the-art scientific expertise and insights on strategy, partners, etc. This Committee will advise, report, and be accountable to the Planning and Management Committee.

Because of the Consortium Board's ultimate accountability for the performance of the CRPs, it reserved the approval of the most appropriate governance arrangement for each CRP.

In addition to proposing the features of CRP governance and management, including the role of the lead center, the plan for implementing the programs relied on utilizing existing management functions within centers, such as finance and human resources (HR), rather than duplicate these within CRPs. As a result, CRPs were expected to require only small, cost-efficient management units.

The timing and process for review and approval of program proposals over a two-year period resulted in CRP governance and management arrangements that frequently varied from the guidance in the SRF. The overview of existing CRP governance bodies illustrates the variability of current arrangements (Annex 7, also Table 8 for the list of governance and management bodies reviewed).

Table 7 illustrates the complexity of the relationships of the centers to the CRPs and by implication the CRPs to the centers. In addition to the lead centers, which have fiduciary responsibilities for a particular CRP, a small to large number of other centers participate in the same CRP. For example, 15 centers contribute to the research activities in CCAFS; 12 centers participate in Policies, Institutions and Markets (PIM) and Water Land and Ecosystems (WLE); whereas only two centers are involved in the Wheat, Maize, and Dryland Cereal CRPs. Adding to the complexity, while all of a center's research activity may be conducted within CRPs, the number of CRPs in which centers participate varies greatly, with the International Center for Tropical Agriculture (CIAT) participating in the greatest number (a total of 10 CRPs).

Finally, although there are 16 CRPs and 15 centers, not all centers serve as lead centers. Three centers (IFPRI, CIMMYT and ICRISAT) lead two CRPs and three centers (Africa Rice, Bioversity and ICRAF) lead none. The Genebanks CRP is managed by the Global Crop Diversity Trust, an organization outside the CGIAR, but closely allied with it.

Just as the centers and their boards develop strategies, allocate resources, and manage for results consistent with institutional mandates, CRPs and their governance bodies engage in a parallel set of activities to fulfill programmatic goals. Both sets of entities base these activities on the same set of research activities. As a result, lead centers are both governing

CRPs and partnering with them to achieve results. Centers, whose research activities within a CRP are subject to evaluation, are effectively tasked with evaluating themselves as the principal actors on CRP management and steering committees. The resultant complexity of relationships between CRPs and centers has created a matrix system of governance and management where center functions and CRP functions overlap, co-exist, complement and compete.

Table 7: Center Participation in CRPs

CRP	Africa	Bio	CIAT	CIFOR	CIMMYT	CIP	ICARDA	ICRISAT	IFPRI	IITA	ILRI	IRRI	IWMI	ICRAF	World	TOTAL
Dryland Systems		✓	✓			✓	LC	✓			✓		✓	✓		8
Humidtropics Systems		✓	✓			✓				LC	✓		✓	✓		7
AAS		✓											✓		LC	3
PIM		✓	✓		✓	✓	✓	✓	LC	✓	✓		✓	✓	✓	12
WHEAT					LC		✓									2
MAIZE					LC					✓						2
GRIISP	✓		✓									LC				3
RTB		✓	✓			LC				✓						4
Grain Legumes			✓				✓	LC		✓						4
Dryland Cereals							✓	LC								2
L&F			✓				✓				LC				✓	4
A4NH		✓	✓			✓		✓	LC	✓	✓			✓	✓	9
WLE		✓	✓			✓	✓	✓	✓	✓	✓		LC	✓	✓	11
FTA		✓	✓	LC										✓	✓	4
CCAFS	✓	✓	LC	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓	15
Gene Banks	✓	✓	✓		✓	✓	✓	✓		✓	✓	✓		✓		11
TOTAL CRPS	3	10	12	2	5	8	9	8	4	9	8	3	6	8	6	

Source: Review team, based on information provided in CRP Annual Reports 2012.

3.2. Funding of CRPs

CRPs are funded through the CGIAR Fund, which comprises three channels or “windows,” and through bilateral funding raised by centers based on their participation in specific CRPs. The following describes each category of support.

- Window 1 (W1) - Donor funds are co-mingled and allocated by the Fund Council to CRPs within the scope of the SRF. In addition to allocations to the CRPs, W1 funds cover approved system costs, including the Consortium Office and Board, Fund Office and Fund Council, the ISPC and independent evaluation and audit functions.
- Window 2 (W2) – W2 comprises sub-accounts for each of the CRPs into which donors may designate funds to specific CRPs. Within each sub-account, donor funds are co-mingled.
- Window 3 (W3) – W3 enables donors to channel funds directly to centers to implement aspects of the SRF. Donors can designate specific amounts for use at the discretion of the centers, consistent with the SRF. Although channeled through the Fund, neither the Fund Council nor the Consortium makes decisions about the allocation or use of W3 funds.
- Bilateral funds – These funds support center research activities included in the CRPs. They result from resource mobilization on the part of the centers and are

restricted to specific research activities, or activities within certain regions. They are not channeled through the Fund but allocated directly by centers to CRPs.

W1 represents the least restricted of CRP funding, both for the CRPs and for the Fund in terms of the flexibility to invest resources strategically. Beyond the designation to a particular CRP, W2 funds provide the CRPs with comparable flexibility to invest strategically. W3 and bilateral funding are the most restricted types of funding. In 2012, the Fund (W1, 2, 3) represented 45% of CRP funding, with the balance generated by centers through bilateral funds. Total bilateral funding, when W3 is combined with funds raised by centers, is 63%.

The Fund was established with the goal of increasing both the level and coherence of investment in a system-level strategy focused on the goals of less rural poverty, better food security, better nutrition and health, and sustainably managed resources. The availability of three windows through which funds flow facilitates the transition of donors to programmatic funding and accommodates donor preferences as well as limitations placed on donor agencies by their governments.

From 2011 to 2012, its first two years of operation, the Fund grew from \$384 million to \$513 million, an increase of 34%. Responsibility for resource mobilization for the Fund has been viewed as the responsibility of the Fund Office, although the Consortium's Constitution includes a role in resource development. Efforts are ongoing to increase the level of funds and to gain multi-year commitments from donors.

Shortly before the end of 2013, the CGIAR announced that it had achieved the goal of raising \$1 billion, a doubling of investment in the system over a five-year period.

4. OVERVIEW OF CRP GOVERNANCE AND MANAGEMENT

4.1. Overview of CRP governance structures

Drawing on the structures included in the CRP proposals, updated to reflect current ToR for them, the review identified 26 bodies with a role in CRP governance. This is in addition to the lead center boards and the Consortium Board, all of which, because of their accountabilities for CRP performance, are part of the overall governance structure for the CRPs.

At the outset, it should be noted that the name of a particular body is not a predictor of its role or composition. While most steering committees, for instance, are small and populated primarily by center DGs, there are a number (e.g. WLE and Dryland Systems) that are larger,

with external members. Similarly, five variously named program planning and management committees, despite their names are considered by the review to play a governance role at present based on the substantial inclusion of representatives of centers and partners in addition to managers of the CRP's research program (i.e. theme leaders, regional leaders). Additionally, in some CRPs (e.g. WHEAT, MAIZE, and RTB), these committees are very like the steering and stakeholder committees also in place.

Only a handful of the CRP governing bodies are well established (CCAFS, GRiSP, WLE and AAS). Most are still in the early stages of convening, clarifying their ToR, and beginning to define a plan of work. At the time of the review, three of the identified 26 bodies had not been activated, involving Dryland Systems, RTB and FTA. While each of these CRPs has a steering committee in place, additional proposed governance bodies were placed on hold while research and management structures were established.

Table 8 lists the governance bodies that were the universe for the review and that were the basis for analysis. As the table makes clear, some CRPs have multiple governance and advisory entities.

Table 8: The Universe of CRP Governance Bodies

CRP	Name of Body	Governance/Advisory Role
Dryland Systems	Steering Committee	✓
	Independent Scientific Advisory Committee (ISAC)	✓
	Research Management Committee	Not activated ⁷
Humidtropics	Independent Advisory Committee (IAC)	✓
AAS	Program Oversight Panel (POP)	✓
PIM	Science and Policy Advisory Panel (SPAP)	✓
WHEAT	Stakeholder Committee	✓
	Management Committee	✓
MAIZE	Stakeholder Advisory Committee (SAC)	✓
	Management Committee	✓
GRiSP	Oversight Committee	✓
RTB	Steering Committee	✓
	Program Advisory Committee	Not activated ⁸
	Management Committee	✓
Grain Legumes	Steering Committee	✓
	Independent Advisory Committee (IAC)	✓
Dryland Cereals	Steering Committee	✓
	Independent Advisory Committee (IAC)	✓
L&F	Science and Partnership Advisory Committee (SPAC)	✓
	Program Planning and Management Committee (PPMC)	✓

⁷ Dryland Systems Research Management Committee activated in November 2013, after data collection was completed.

⁸ RTB Program Advisory Committee activated subsequent to review period.

A4NH	Independent Advisory Committee (IAC)	✓
	Planning and Management Committee (PMC)	✓
WLE	Steering Committee	✓
FTA	Steering Committee	✓
	<i>Scientific and Stakeholder Advisory Committee</i>	<i>Not activated</i>
CCAFS	Independent Scientific Panel (ISP)	✓
TOTAL:	26 bodies, 23 active at the time of the review	

Source: Review team.

4.2. Overview of CRP management structures

The Review looked at several levels of CRP management:

- CRP management and coordinating units, including the CRP leader
- CRP management teams and committees (sometimes overlapping with PPMCs)
- CRP research managers/theme leaders
- CRP focal points in participating centers

Most management staff are employed or hosted by centers; and not all management staff are members of management teams. Individuals can play management roles in more than a single CRP and because of this, management survey respondents were asked to select one CRP for the purposes of responding. Of a total of 146 respondents, 74 indicated that they spent 40% or less of their time on the selected CRP; 39 reported that more than 80% of their time was spent in CRP management.

Each CRP has a leader, usually referred to as CRP or Program Director. As of mid-2013, all CRPs have leadership in place. The CRP leader for both the Wheat and Maize CRPs is the CIMMYT DDG for Research and Partnership; each of these CRPs also has a Program Manager. The leader of AAS is a DDG at WorldFish.

74% of management survey respondents, including 9 of 15 CRP leaders, were employed by a center at the time of their recruitment. The high “draw” from within the existing pool of CGIAR personnel is indicative of both the depth and quality of existing capacity and the initial strategy of leveraging that capacity to launch the CRPs. There are indications that as CRPs operationalize, managers and coordinators are being drawn from outside the centers, particularly for new expertise and to broaden partnerships.

Although center focal points are not members of management teams or committees to any significant degree, their role, particularly with CRPs with 4 or more participating centers, was regularly noted in interviews with CRP leaders and others. The center focal point is a front-line position for communications between the CRP and the center as well as for pulling together work plans and reporting documents.

CRP management units are typically small, averaging 3.5 full time staff and 1 half time staff.

Table 9: Overview of CRP Management Structures

CRP	Management Unit	Full Time	Part Time	Management Committee
Dryland Systems	Management Team	3	0	Research Management Committee
Humidtropics	Executive Office	2	0	Management Committee
AAS	Program Support Unit	3	0	Program Leadership Team
PIM	PMU	5	1	Management Committee
WHEAT	Program Management Team	2	2	Management Committee Reviewed as governance body
MAIZE	Management Team	3	2	Management Committee Reviewed as governance body
GRiSP	PMU	3	0	Prog. Planning and Management Team
RTB	PMU	4	0	Management Committee Reviewed as governance body
Grain Legumes	Program Director	2.5	0	Research Management Committee
Dryland Cereals	PMU	2.5	0	Research Management Committee
L&F	Management Unit	4	0	PPMC Reviewed as governance body
A4NH	PMU	5	2	PMC Reviewed as governance body
WLE	Operations team:	8	3	Management Committee
FTA	Management Support/Program Coordination Unit	2	1	Senior management team
CCAFS	Coordinating Unit	7 ⁹	5	Programme Management Committee
Genebanks	Management Team	1	3	Management Committee

Source: Review team, based on information received from CRP management.

5. GOVERNANCE FINDINGS

5.1. Introduction

The review addressed the following four main questions with respect to CRP governance:

RQ 1: Are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?

⁹ CCAFS Coordinating Unit includes also 4.5 staff who are paid by bilateral funding but are dedicated CRP staff. That is why the review considers them as CRP management and coordination staff.

RQ 2: Is governance of CRPs sufficiently independent, inclusive and transparent?

RQ 3: Do resource mobilization and resource allocation support effective planning and implementation?

RQ 4: Are CRP governance structures and processes efficient?

In framing these questions, the review relied on the definition of governance drawn from the Sourcebook that appears in Chapter 3 (Review approach and methodology) along with other CGIAR-specific resources. Governance is broadly defined to encompass those bodies in a global partnership responsible for:

- strategic direction
- management oversight
- stakeholder participation
- risk management
- conflict management
- audit and evaluation

In analyzing information and developing findings, the review distinguishes the roles and responsibilities of lead center boards and their accountability for CRP performance, from the roles, responsibilities and levels of authority of CRP governance bodies. The review uses “center board,” “lead center board” and “CRP governance body” to further clarify meaning.

To develop findings, the review looked at CGIAR founding documents, CRP program proposals, updated ToR for CRP governing bodies where available, and minutes, reports and communications from the Fund Council and Consortium. Governance structures were explored in interviews with Consortium and Fund Council senior management, DGs and CRP leaders. Additionally, a governance survey was distributed to 157 individuals identified as members of CRP governance bodies.

Only a few of the CRPs strictly conform to the proposed management and advisory structure in the SRF, and the review is not intended to evaluate CRP governance and management structures for their compliance with it. The review is to “take stock of experience so far, identify issues and provide lessons from existing CRPs and elsewhere which can be applicable in other CRPs (Annex 1: Review ToR).

In addition to looking at clarity of roles and accountabilities at the system and center levels, the review examined the governance and advisory arrangements that were outlined in each of the CRP proposals. The review solicited information from each CRP with respect to the current composition and frequency of meetings. This information was updated based on corrections and additional information submitted during the comment period for the draft report. The review attempts to incorporate the information available from CRPs as of February 24, 2014. Table 8 provides an overview of these structures. [Annex 7 provides more detailed information on their composition, leadership and reporting lines.]

RQ1: Clarity of roles, responsibilities and accountabilities for CRP governance

RQ 1.1. System-level roles and accountabilities for CRP governance

FINDINGS:

- The Fund Council and the Consortium do not operate as partners with equal standing in the CGIAR dual pillar governance structure, rather the relationship implies a hierarchy in which the Fund Council has a superior role.
- Centers perceive their role to be marginalized and undervalued in the CGIAR's new strategy and institutional arrangements.
- The lack of system-level consensus about roles and relative authority creates complexity and contributes to a loss of confidence.

System-level roles and accountabilities—for the Fund Council, Consortium and centers—have been defined in corporate documents and program performance contracts that govern CRP implementation. However, the experience of operating in a new structure where familiar actors play new roles and new actors bring challenging perspectives reveals a complexity not evident in the organizational chart for the new CGIAR. More broadly, and indicative of the ways in which accountabilities are clear but not straightforward, is the steady scrutiny of the boundaries between the centers, the Consortium and the Fund that functioned as subtext to governance and management issues covered in the review.

Consortium and Fund Council Roles

The role clarification underway at the Consortium *vis a vis* both the Fund Council and the centers that make up the Consortium, demonstrate where roles—actual or assumed—are in flux or unclear. Minutes of Fund Council meetings show donors and the Consortium grappling with their roles *vis a vis* each other, but also by extension, the role of centers within the new research investment structure. For example, the last year saw difficult discussions between the Fund Council and Consortium about the Consortium's role in resource mobilization, its ability to receive bilateral funding, and pushback on the Consortium's recommendations about process and timing for the second round of program proposal development.

More generally speaking, as the Consortium moves well past its own start-up phase, its interactions with the Fund Council put into relief basic governance and management questions about accountability and authority as well as the balance of influence in the CGIAR's present dual-pillared structure. The Consortium is accountable to the Fund Council for delivering system-level research results through CRPs and, as a system-level entity, is itself funded by the Fund. While the organizational chart indicates separate spheres of

action but equal standing in the structure, the minutes of Fund Council meetings suggest a body that considers it has higher standing in the structure and can direct the Consortium and its CEO. The Phase 2 Review of CGIAR Governance noted the challenges of the dual-pillar structure, and the lack of clarity in roles and standing. At a more practical level, the Phase 2 review also noted the absence of joint committees and other collaborative governance mechanisms involving the Fund Council and Consortium that might span the distance between “donors and do-ers.” The CRP review found that, in the absence of collaborative governance mechanisms that build consensus around issues and recommendations, a dynamic emerges in which the Consortium is a petitioner and the Fund Council exercises veto power.

From the review of minutes and reports as well as interviews, an additional sorting out of roles and relative standing is evident between the centers and the Fund Council as the Council defines what it will and will not support. The review discusses its findings on resource mobilization and allocation later in the chapter, but notes here in the context of the clarity of roles and accountability the concerns among center DGs over the apparent marginalization of the centers in the new CRP-focused CGIAR. This trickles down to the ways lead centers narrowly construe their fiduciary role with respect to CRPs and accounts, in part, for the dominance of lead and participating centers in the governance of CRPs.

Consortium and Center Roles

The Consortium is a new feature of the CGIAR structure. In the former structure, the equivalent body was not a legal entity and, in this respect, embodied the “consultative” nature of the CGIAR. In the new structure, the Consortium is a legal entity, comprising the centers as its members. It plays multiple roles, representing and articulating the collective value and contributions of the centers to both external audiences and the Fund Council, and building compliance and collaboration on center and CRP policy and practice. It is the body to which lead centers are accountable for CRP performance.

Governance of the Consortium as outlined in the Consortium’s constitution anticipates the complexity of this role by providing for a board that wholly comprises independent directors. In this way, the Consortium’s actions, like those of a center board, are to be guided by the CGIAR’s mandate and the best interests of the system as a whole. The first years of the Consortium’s organizational life have put pressure on this conception of the Consortium. In interviews with DGs and notes from a retreat with DGs and center board chairs, there is a sense among some that the representative function of the Consortium has not been sufficiently robust, the Consortium is too independent in its actions, and that centers are being marginalized.

Further to this issue, an ad hoc Governance, Risk and Compliance Committee, convened to address governance matters arising from the IITA financial fraud, pointed out “the need to develop a common understanding of what it means to be a member of the Consortium.”

Couched within a broader examination of how to maintain financial accountability and improve governance within the new CGIAR governance structure, the Committee proposed an adjustment in the role of centers and center boards in the adoption of Consortium policy recommendations. One result is an erosion of the Consortium Board's authority to act on policy matters without first gaining approval from three-quarters of centers, a high threshold of agreement.

RQ 1.2. CRP governance bodies' roles and responsibilities

FINDING:

- **The governance structures of CRPs are unnecessarily complex and duplicative.**
-

The review identified 23 active CRP governance bodies currently in place for 15 CRPs (not including the Genebank CRP). Seven of the CRPs had steering committees or stakeholder committees, and four of those also had in place variously named program planning and management committees with identical or overlapping roles. Two of the CRPs had a combination of steering committees (or their equivalents) and an independent oversight or advisory body.

The ToR and accountabilities vary among the CRP governance bodies. Five bodies report directly to lead center boards. Five report to boards via written reports. Three report to steering committees.

In the governance survey, criticism was leveled at the establishment of multiple governance bodies for individual CRPs. More respondents were critical than supportive when asked whether the establishment of more than one body was justified by higher quality or more effective oversight. The survey also indicated that of 74 respondents representing 14 CRPs, 55 considered their role to be principally advisory to CRP management, 8 advisory to the lead center DG, and 11 advisory to the lead center board.

It is clear from comparing the originally proposed ToR with the current ToR that roles and responsibilities for CRP governance bodies are evolving even as they get underway. The Independent Science Panel of the CCAFS CRP, which drew on its earlier life as a Challenge Program Advisory Committee for its ToR, clarified relative roles and responsibilities between it and the CIAT board. The Dryland Systems CRP modified the structure and role of its Steering Committee. The Program Oversight Panel of the AAS CRP devoted a recent meeting to clarifying its role and developing a work plan based on it.

RQ 1.3. The role of center boards

FINDINGS:

- Lead center boards confront an increased potential for conflicts of interest between their duty to centers and their accountability to the Consortium for CRPs.
 - The reliance of center boards on DGs and CRP leaders to report on CRP performance is at odds with the independent review that boards require for CRP financial performance.
-

The new accountability of a lead center board for the programmatic performance and financial accountability of a CRP increases the potential for conflicts of interest on the part of the board. This potential for conflict is inherent—the immediate interests of the center and those of a CRP with multiple partners will not always align; therefore, the board when these circumstances occur, will find itself with a clear conflict.

For all but a handful of CRPs (CCAFS and AN4H are two examples), centers are heavily invested in the CRPs they lead, allocating substantial research capacity and bilateral resources to them. As centers update their institutional strategic plans, they are also addressing the extent to which research and relationships will be pursued wholly within CRPs or fulfilled through initiatives that are pursued by a center as part of its institutional mandate or in response to opportunity. Both these circumstances—which involve choices about the mobilization of resources—raise the potential for conflicts of interest.

The potential for conflict is not an uncommon feature of center governance; center boards draw their members from host countries, from regional organizations, partners, and from influential networks. Given the impact of conflicts of interest on stakeholder and donor confidence as well as the risk to reputation, long standing governance guidelines for center boards emphasize practices that protect against conflicts of interest. These include the expectation that all board members act in their capacity as individuals and not as representatives, the adoption of conflict of interest policies, and rules for declaring interests or conflicts when they occur. These policies were routinely monitored as part of the annual performance measurement index used prior to the CGIAR reform and continue to be part of the practices of center boards. Features of these policies and practices have been incorporated into ground rules with respect to decision making within various CRP governance and management bodies.

In the past, center boards needed to concern themselves primarily with conflicts experienced by individuals within the board or as part of senior management. With CRPs, the conflicts are likely to be institutional in character. For lead centers, these risks are compounded by the extent to which CRP governance and management are seen to be controlled or influenced by the center. Boards routinely guard against the risk of staff influence in key areas of accountability—DGs, for instance, do not participate actively in annual audits or play a lead role in the board nomination process. Center experience serving as fiduciaries for the Challenge Programs is also relevant in that institutional interests were acknowledged and the risk of conflicts of interest was mitigated through

independently composed program advisory boards that balanced center and partner interests.

Presently, five CRPs (Humidtropics, AAS, GRiSP, WLE, CCAFS) have governance bodies with independent chairs that report directly to lead center boards on CRP performance and planning, enabling those boards to manage risks in this area. Another five (GRiSP, PIM, A4NH, Maize, FTA, CCAFS) have as part of their structure representation of the lead center board on the CRP's governance body. The balance of lead center boards without these mechanisms in place are more reliant on the DG, alone or in combination with a CRP leader, and written reports to serve as the principal point of information on a program's performance or priority setting.

RQ 2: Independence and inclusiveness of CRP governance

RQ 2.1. Independence

FINDINGS:

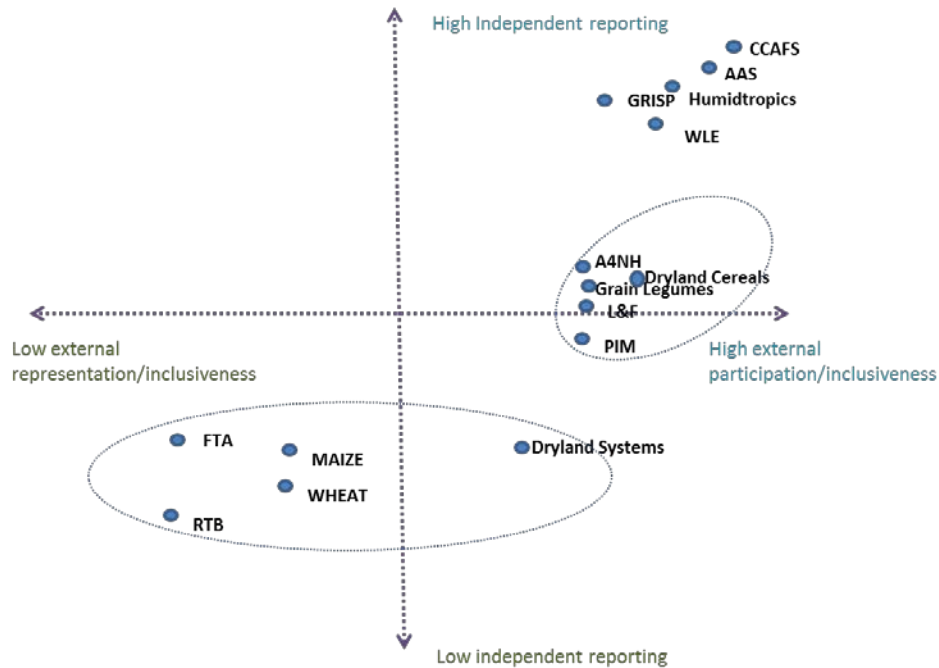
- Among the current array of CRP governance bodies, there is a substantial difference in their degree of independence based on their ToR, composition and reporting lines.
- Independent CRP governance bodies, currently in place in certain CRPs, demonstrate their value in providing active oversight to CRPs and supporting the lead center boards' accountability for CRPs.

In assessing whether independence was high, medium or low, the following criteria were used:

- the governance body included a majority of members external to the centers and CRPs or independent and serving in an individual, expert capacity
- the ToR included responsibilities for strategic oversight, including research priorities, resource allocations and evaluation of results
- there was a direct reporting relationship to the lead center board

The graph below (Figure 3) maps the governance structures of the CRPs using the extent to which there is adequate inclusion of external members (inclusive) and the extent to which ToRs and the reporting relationship with the lead center board contribute to independence.

Figure 3: Mapping of Governance Structures according to Independence and Inclusiveness



Source: Review team.

Rated as having high independence:

The **AAS** POP has six independent members and a single position for the lead and the participating center. The POP is chaired by an external member and reports directly to the WorldFish board.

The **CCAFS** ISP is independently composed, and has clear ToR and a strong relationship with the CIAT board.

The **GRiSP** Oversight Committee’s external representation is significant and center representation draws on the boards of participating centers. DGs of IRRI and AfricaRice are *ex officio*. The committee reports directly to the lead center board.

The **Humidtropics** Independent Advisory Committee has eight independent members; the DG of IITA serves *ex officio*. The committee reports directly to the lead center board.

The role and composition of the **WLE** Steering Committee provides independent oversight of the program. In a CRP with 11 participating centers and other, non-CG partners, the composition of the committee demonstrates the feasibility of achieving legitimacy and fairness in program governance without direct representation.

Rated as having medium independence:

The **A4NH** Independent Advisory Committee comprises external members and includes a liaison from the lead center board. The board meets annually and reports in writing to the IFPRI board.

Grain Legumes and **Dryland Cereals** have identical governance mechanisms. The Steering Committee has a stronger role than the Independent Advisory Committee in that the reporting relationship to the board is clearly through the lead center DG, whereas the Independent Advisory Committee is intended to communicate its work in a written report to the board. ToRs for the two bodies also contain overlapping functions.

The **Livestock and Fish** Science and Partnership Advisory Committee is independently composed (though presently small), and has an effective oversight function in its ToR. It does not have a direct report to the ILRI board, but is required to submit an annual report to the lead center board which is accompanied by a commentary from CRP management.

The **PIM** Science and Policy Advisory Panel is smaller than mandated and reports to the lead center board in writing. The SPAP meets annually. The IFPRI board has recently identified a liaison to serve on the panel.

Rated as having low independence:

Although the **Dryland Systems** Steering Committee includes representatives of partners and stakeholder organizations outside the CG, all of the members may send delegates in their stead, rendering participation representative in nature. This reduces the committee's potential effectiveness and balance of interests, and emphasizes the dominant role of the lead center. The independent Scientific Advisory Committee is primarily a panel of expert consultants under contract to provide advice and feedback to the program, which reports to the Steering Committee.

The **FTA** Steering Committee is a small group primarily composed of lead and participating center leaders with significant decision-making and oversight authority. The CIFOR board relies on the Steering Committee for oversight of the CRP. The CRP leader reports regularly to the CIFOR (lead center) board, and annually to the ICRAF board. The Scientific and Stakeholder Advisory Committee was not constituted, although the matter is under review.

Leadership and reporting of the **MAIZE** Stakeholder Advisory Committee and Management Committee are consolidated within CIMMYT and duplicative. The CIMMYT board has limited independent oversight of the program. A CIMMYT board member is a member of the Management Committee but also represents one of the CRP's major partners (SAGARPA). The institutional overlap between the Stakeholder Advisory Committee and

the Management Committee is substantial; only four current SAC members are from institutions not represented on the Management Committee. The 10 member Management Committee, which is the executive committee for the program, includes 6 individuals from CIMMYT and 2 from IITA.

The **RTB** Steering Committee initially held its membership to participating center DGs and only recently added a single partner representative. Formation of the Program Advisory Committee was delayed, leaving the CIP board reliant on the Steering Committee for oversight of the CRP.

Leadership and reporting of the **WHEAT** Stakeholder Committee and Management Committee are consolidated within CIMMYT management. The CIMMYT board has no independent source of oversight for the program. The Stakeholder Committee brings together individuals who can champion Wheat regionally and with donors (Fund Council), and is chaired by the CIMMYT DG. The Management Committee, which is the executive committee for the program, includes 5 individuals from CIMMYT and 2 from ICARDA, and is co-chaired by the centers' DDGs.

Genebanks CRP

The Genebanks CRP is not mapped in this analysis. The CRP reports directly to the Consortium. The allocation and distribution of resources to the center gene banks is well defined although still contingent on annual planning and performance. There is a small committee of outside advisors who provide independent, peer reviewed assessments, and a Management Committee that as of late 2013 includes three representatives elected from among the gene bank managers. Communications with gene bank managers and an annual general meeting brings managers together for planning purposes and to identify special initiatives. Some conflicts of interest issues involving the Trust's role as the CRP's manager were raised in interviews with CRP leaders and DGs but this did not emerge as a widespread concern.

RQ 2.3. Inclusiveness

FINDINGS:

- The lack of adequate participation by women and individuals from target regions in CRP governance bodies reduces the legitimacy of these CRP governance bodies.
- There is a gap between the data on inclusiveness and the perceived level of effort on the part of centers and CRPs to ensure adequate representation.

Figure 4 provides a visual representation of inclusiveness of CRP governance bodies based on three dimensions of inclusiveness: external participation (non-center partners and

individuals), gender and representation of target regions. The figure draws on the data presented in Annex 8, which show 192 individuals participating in CRP governance bodies (excluding 12 *ex officio* members). It needs to be noted that Annex 8 is based on updated information through February 24, 2014, and that the analysis of representation excludes the *ex officio* members.

External participation

On the whole, representation from outside centers or center partners was almost 60%; lead centers and participating centers are equally represented on CRP governance bodies overall (21% each of total). Of the 58% that was external, it was not possible to determine, based on the data requested from the CRPs, the percentage of individuals representing non-center partners and those who served on governance bodies in their individual capacities as outside experts. Keeping in mind that most CRPs have multiple governing bodies, eight have a body wholly comprised of external members (Dryland Systems, Humidtropics, PIM, Grain Legumes, Dryland Cereals, L&F, A4NH and CCAFS). In contrast, the RTB Management Committee, the L&F Program Planning & Management Committee and the FTA and RTB steering committees have little or no external participation. In the governance survey, the overwhelming majority of respondents of those not affiliated with the centers (41 of 46) considered representation of non-CGIAR partners on governance bodies to be adequate.

Target regions

Out of a total of 23 active governance bodies (also see Annex 8) an average of 24% of total members are from target regions. Again, keeping in mind that most CRPs have multiple governing bodies, some governance bodies (within PIM, Wheat, Maize, Grain Legumes and Dryland Cereals) had more than 50% target region representation; seven had zero. The latter were mostly steering committees and variants of PPMCs. The limited composition of these committees, drawing as they do on the leadership in place at centers and frequently limiting the partners included in these bodies to those with levels of investment in the research portfolio comparable to the centers, self-limits the inclusion of participants from target regions.

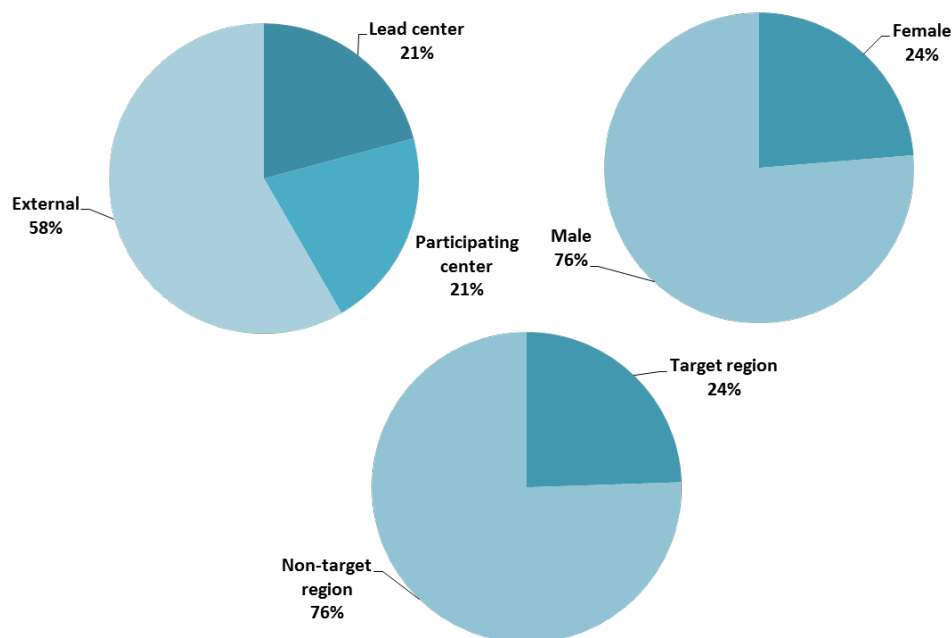
Gender

In the same universe of governance bodies, women comprised only 24% of members. Three bodies reported no women participation: Dryland Systems Steering Committee and Independent Science Advisory Committee, and Grain Legumes Steering Committee. It is notable that, with the exception of the Dryland Systems Science Advisory Committee, these bodies draw heavily on center DGs and senior research staff for their composition.

While the review found the representation of target regions and women to be lacking, the governance survey produced a different assessment. Asked specifically about the efforts that have been made to ensure adequate representation of target regions and women, response rates were affirmative (regions: 70.2% or 52 respondents agreed or tended to agree, women: 73.0% or 51 respondents). The contrast between the data in Annex 8 and

survey responses may reflect the difference between what is in place and survey respondents' willingness to reward points for perceived effort.

Figure 4: CRP governance bodies' composition



Source: Review team, based on total number of members (excluding ex-officio) and information of CRP governance bodies in ANNEX 8.

RQ 3: Extent to which resource mobilization and resource allocation support effective CRP planning and implementation

RQ 3.1. Windows 1&2 funding

FINDINGS:

- Uncertainty about the levels and timing of W1&2 allocations and the year-to-year nature of funding is an impediment to CRP planning and to developing multi-year strategies.
- The Consortium is working to dispel the perception among CRPs and centers that the playing field is not level with respect to funding decisions as it prepares the guidelines for the second call for proposals.

Despite growth in overall funding to the Fund and to the system as a whole, the first years of the new funding structure have presented centers and CRPs with challenges.

Eighty percent of the Fund's current funding reflects annual rather than multi-year commitments, and, in both 2011 and 2012, disruptions in funding, delays in the release of funds, and shifts in Windows 1&2 allocations distracted from the ability of the CRPs to engage confidently with partners and plan effectively. CRP leaders noted the perverse incentives that emerged with changes to allocations and delayed funding—success in attracting W2 support risked a reduction in the allocation of W1 funding, and the lack of a clear policy on carrying unexpended funds forward from one year into the next, encouraged short-term—"use it or lose it"—decision making versus decision making with a more strategic focus. Overall, funding uncertainty and the shifts in W1 were considered by CRP leaders to make centers and CRPs cautious.

For centers, the disruptions and uncertainties raised concerns about maintaining organizational stability through the ups and downs of CRP funding, putting in play concerns about maintaining cash reserves (Chapter 3.3.) and a protective posture with respect to resource mobilization. Comments on the management survey echoed these concerns about the effect on centers as well as CRPs of unclear decision-making regarding commitments and carryovers, and perceived preference of centers' to fundraise for their interests rather than for CRPs.

While the Consortium addressed the element of year-to-year uncertainty by assuring each CRP of at least 90% of its 2012 W1&2 expenditures in 2013¹⁰, and additional improvements to budgeting and financing are proposed for the next proposal cycle, the initial experiences left CRP leaders and senior managers generally frustrated with decision making by the Fund Council and the Consortium. Additionally, for some CRPs as well as for centers with a major stake in particularly hard hit CRPs, there was a sense that the playing field was not level and some CRPs and centers were asked to make more significant adjustments to program planning and implementation than others. The draft guidelines for the call for second proposals include greater clarity about how adjustments and decisions about W1 allocations will be made among CRPs in future.

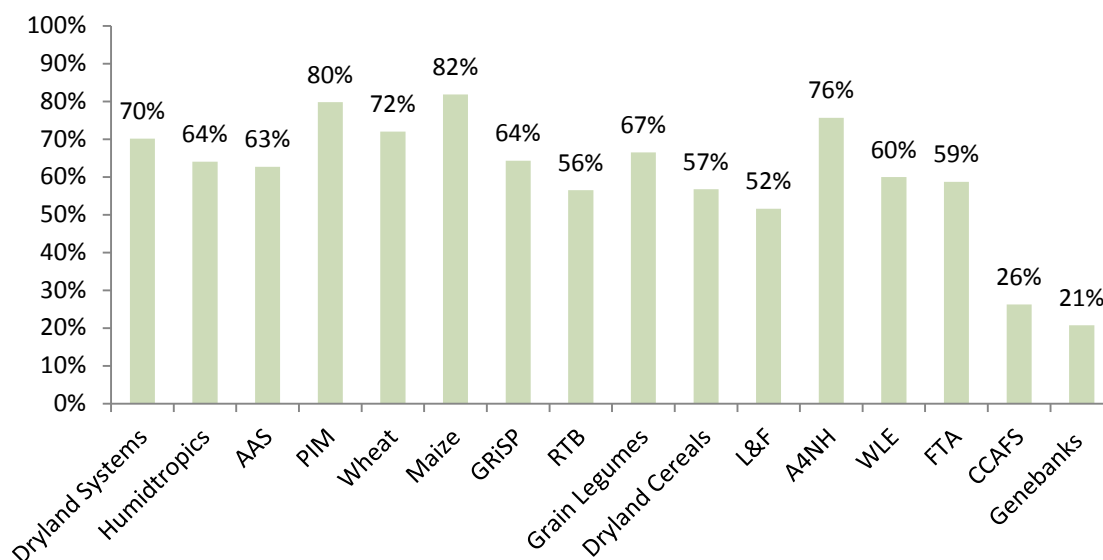
RQ 3.2. Impact of bilateral funding

FINDINGS:

- The scale and growth of W3 and center-raised bilateral funding have the potential to distort priority setting within CRPs as well as their flexibility to allocate resources.
- The lack of an integrated system-wide resource mobilization strategy that leverages the strengths of all parties to mobilize resources exacerbates the potential for divergent priorities among centers, CRPs and the system as whole.

¹⁰ CGIAR Consortium 2012 Reflections and 2013 Outlook: Accountability for Performance through Partnerships (January 2013)

Figure 5: Percentage of CRP W3 and Bilateral Funding of Total CRP Funding (2012)



Source: CGIAR Annual Report 2012, page 41.

Even in an environment where overall funding has grown, the configuration of support is viewed as essential to programmatic success. While the level of overall investment through the Fund (W1,2,3) represented 45% of 2012 CRP funding, when W3 funds are added to center-raised funds, bilateral support for CRPs totaled 63%. For 5 of the 16 CRPs (including Genebanks), total bilateral funding was 70% or higher (Figure 5).¹¹ On average, W3 and bilateral funding represented 63% of total funding in 2012.

The review found that bilateral funding has the potential to impact CRP priority setting, slowing the change management process initiated with the CGIAR's adoption of a programmatic strategy.

To the extent that a CRP's budget relies on substantial bilateral support, CRP planning and priority setting are subject to two different challenges—donor intent, and a center's willingness to view the CRP's priorities as identical to its own and mobilize resources on behalf of it. While donor strategy and intent may align substantially with plans, the scale, timing and nature of a bilateral investment from outside the Fund is subject to more contingencies and restrictions than the resources available through the Fund. As an example, CCAFS, with close to 75% of its funds originating through W1&2, has greater latitude to allocate resources based on strategy and performance than a CRP like WLE that relies on 11 participating centers to raise 60% of its annual budget. CCAFS' ability to refine

¹¹ CGIAR Annual Report 2012

its strategy and, if indicated, change the allocation of resources to achieve results is also aided by access to an independent science panel. Leaders of other CRPs found themselves with less flexibility, and anticipated that in an environment strongly reliant on center-raised bilateral funding, stronger monitoring and evaluation processes will be needed to support decision making that affects activities that may reflect center or donor priorities.

The capacity of the centers to mobilize resources and the degree to which the system is reliant on that capacity to fully fund the CRPs slows the pace of system-level change. W1&2 funding and multi-year support provide the CGIAR and the CRPs with the most flexibility to leverage change and accelerate the implementation of research linked to the SRF. W1&2 funding also facilitates coherence across the CRPs and builds a sense of shared ownership of the SRF. In interviews, center DGs were uniformly on board with pursuing a programmatic strategy that leveraged existing research capacity and offered the potential to create new capacity across the system and in conjunction with partners beyond the CG. They were also alert to the levels of bilateral funding they were raising and their institutional prerogatives to develop strategies that fulfilled their duty to act in the best interests of their center. (This included re-evaluating the CRPs in which they participate as well as levels of participation.)

The Phase 2 review of CGIAR governance found a lack of an overarching resource mobilization strategy for the CGIAR. The CRP review found that the lack of an integrated and complementary strategy that acknowledges and leverages the capacity and intent of centers to continue to raise substantial bilateral support creates an environment in which the CGIAR's priorities and the centers' priorities become differentiated.

RQ 3.3. Center reserves

FINDING:

- Without a clear system-level strategy for center financial reserves, centers see significant risks to using reserves to maintain CRP cash flow or to finance short falls, both of which raise fiduciary issues with center boards.

Maintaining an adequate operating reserve has been a long standing indicator of a center's overall financial health and sustainability. At one point, this indicator was part of a CGIAR performance monitoring system that factored into funding decisions by the World Bank and other donors, and reserves (and their management) continue to be considered important to center and system financial well-being.

In the past, apart from investment earnings on the reserves themselves, reserves principally accrued from "saving" core, unrestricted support and from income-generating activities. Center reserves typically provided for three to six months of operating support, and were an important tool for meeting cash flow needs as well as maintaining research and business continuity in the event of adverse circumstances.

Today, although W1&2 are characterized by the Consortium Office as similar to the core, unrestricted support that centers once received, centers do not accept that definition. To a lesser extent, CRP leaders share that view. W1&2 are considered to be restricted to CRPs; their use must reflect the approved budget for them; and there is no provision in any of the three Fund windows for the CRPs or the centers to develop or maintain reserves. The reduction in center access to unrestricted support is illustrated by the 2009 aggregate total for unrestricted funding among centers (\$168 million) and the 2012 aggregate (\$28.7 million).

When the distribution of W1 & 2 funds was suspended in response to financial fraud at IITA, CRPs turned to centers to maintain the budgeted plans of work until payouts resumed. Center boards considered carefully the risk involved; most approved, assuming that they would eventually be made whole, but others did not. In 2012, when funding commitments came late in the year and allocations changed, those CRPs losing funds looked to participating centers for potential coverage with a less positive result. IWMI, for example, as lead center for WLE, has twice committed substantial funds from its reserves to cover potential gaps or delays in funds for the CRP. While IWMI was eventually made whole in both instances, these constituted significant risks for the center and slowed program implementation as a prudent response to the uncertainty.

For centers, the reserve issue brings into focus the institutional risks associated with a programmatic funding structure that relies on institutional capacity but appears to have declined so far to contribute to building institutional stability. A number of center DGs refer to CRPs as a framework within which a center's research mandate will be realized, emphasizing the discretionary nature of a center's involvement as well as alluding to the duty of center boards to act in a center's best interests. The reserve issue was the subject of a recommendation in the Phase 2 review of CGIAR governance, which the Fund Council did not specifically address but which is under discussion at the Consortium.

RQ 4: Efficiency of CRP governance structures and processes

RQ 4.1. CRP governance costs and perceived value

FINDINGS:

- The numerous levels of CRP governance are inefficient and costly, with room for streamlining.
- The cost of a governance body was considered justified by center DGs and CRP leaders who perceived the body added value to the CRP or to lead center accountability.

As noted in Chapter 4 (Overview of CRP Governance and Management), a total of 23 active governance bodies, not counting lead center boards, are in place to provide the 15 CRPs with a combination of governance, oversight and advice. The review found observations about the complexity and inefficiencies of creating and convening multiple bodies to be valid. Some of those interviewed drew parallels with the centers' experience with the relatively straightforward governance and management structures of the Challenge Programs, viewing these structures as more efficient than what has developed for CRPs. Many viewed the multiple bodies as contributing to high transaction costs for the centers. In part this may be attributable to representatives of participating centers serving on a governance body or management committee for more than one CRP or multiple committees linked to an individual CRP.

The governance survey also explored the efficiency of CRP governance bodies. Asked for an opinion on whether the establishment of multiple CRP governance bodies is justified by higher quality and more effective oversight, of those respondents voicing an opinion, more were critical (30) than supportive (23). Of the critical voices, 63.6% were external to centers. One respondent noted: "The total level of CRP governance—ranging from the Consortium to the lead center and the specific CRP governance bodies—far exceeds what is needed to manage the level of Window 1 and 2 funded annual activities."

In interviews, the additional costs of overall CRP governance would be estimated using as a rule of thumb the costs of convening center boards. However, based on stakeholder estimations, the review found that the average cost of convening a CRP governance body was less costly than a center board. More specifically, the review found the average annual costs for convening a typical CRP governance body for twice-a-year meetings to be approximately \$120,000 per year. The cost associated with center boards ranged between \$300,000 to 380,000. There are reasons for the difference—Center board members typically receive modest honorarium for board service, board meetings occur over longer periods of time, and travel expenses, which include staff travel, are high. That said, although the cost of convening a single governance body may be comparatively smaller, the cost of convening all the existing CRP governance bodies would be costly—more than \$3 million a year.

As noted above, although respondents to the governance survey did not consider that multiple governing bodies could be justified as making CRPs oversight more effective, on the question of value relative to cost, three-quarters of respondents (57 respondents), including 31 external representatives, agreed or tended to agree that their time devoted to overseeing or advising a CRP was well spent. Interviews confirmed the perceived value of specific bodies, particularly those that were viewed as bringing expertise together with clear ToR and relevant agendas.

6. MANAGEMENT FINDINGS

6.1. Introduction

The review addressed the following three main questions with respect to the CRP management:

- RQ 1. To what extent do CRPs have adequate resources to manage for results?
- RQ 2. To what extent does CRP management have the authority to manage for results?
- RQ 3. Is CRP management efficient?

To reflect on these questions, the review relied on the definition of management that appears in Chapter 3 (Review approach and methodology) related to general management responsibilities:

- Program implementation
- Regulatory compliance
- Reviewing and reporting
- Administrative efficiency
- Communication and knowledge sharing
- Learning
- Performance assessment

To develop findings, conclusions and recommendations with respect to CRP management, management topics were explored in interviews with CRP leaders, center DGs and other senior managers. Interviews were also conducted with lead center corporate services staff, staff with direct responsibilities for CRP budgeting and reporting, and senior staff in the Consortium Office.

A survey was circulated to 243 CRP leaders, CRP management staff as well as focal points; 146 responded (60.1%) (Annex 6). Responses were received from 15 CRPs, with CCAFS and WLE providing the highest number of responses (19 and 18, respectively).

The review attempted a comparative analysis of management and coordination costs across CRPs. It drew from the program proposal descriptions of management and coordination arrangements, the initial budget projections for these expenses, and budget data for relevant fiscal years.

The analysis of financial data focused on financial reports for 2012, a year in which the majority of CRPs were operational. In those cases where CRPs were not fully operational in 2012 (Dryland Systems, Humidtropics, Dryland Cereals and Grains Legumes), 2013 budget information was used. The most useful findings arose from consideration of the assumptions about management costs and arrangements outlined in the program proposal

process, an analysis of individual CRP management arrangements and costs, and information developed from the management survey.

RQ 5: Adequacy of resources to manage for results

RQ 5.1. Adequacy of human and financial resources

FINDINGS:

- CRP resources for management purposes are considered adequate.
- The provision of administrative support by centers is considered to be efficient.

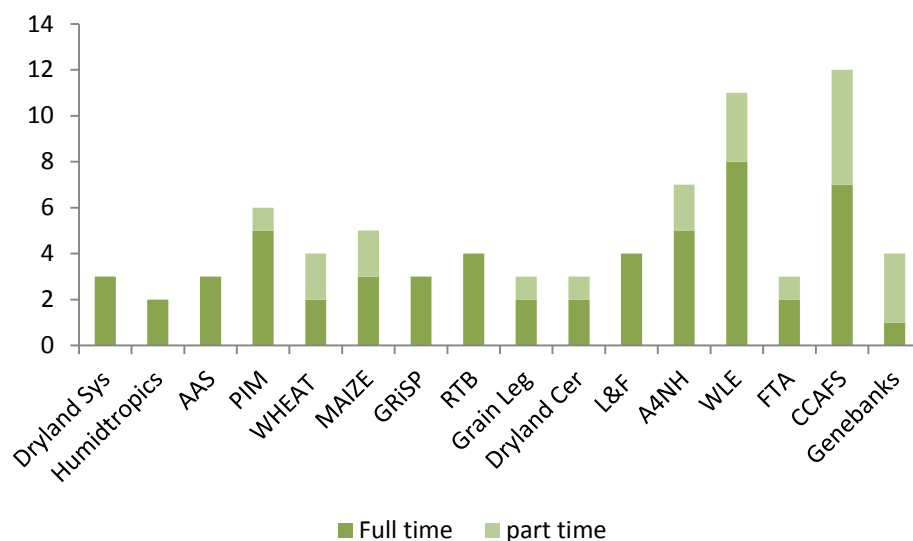
CRP Management Units

CRP management units were designed to be intentionally small. The design relied on a complementary structure that drew on existing center capacity to meet the majority of the programs' management needs. CRP management requirements as they appeared in proposals tended to focus on new capacity or new expenses required to lead and manage them. The projected staffing for program management ranged from relatively detailed to simply projecting management costs as a percentage of the CRP's budget.

Figure 6 shows the number of staff associated with CRP management units (see also Table 9). The average is around 3.5 full-time equivalent staff members and one part-time staff. The standard management unit includes at a minimum, a CRP leader supported by administrative staff. In some cases, a dedicated communications, gender or M&E person is part of the management unit. Humidtropics, AAS and WLE also have operational managers who support the CRP leader in the management of the program. CCAFS and WLE included a larger number of management staff in their units, including in CCAFS, students from the university where the CRP is currently hosted. It should be noted here, that 4.5 staff of CCAFS are paid by bilateral funding; however they are dedicated CRP management and coordination staff and thus have been included.

The size and composition of the management units is discussed again in Chapter 7 as part of management efficiency.

Figure 6: Number of Full and Part Time Staff of CRP Management Units



Source: Information provided by CRP management.

Adequacy of Management Resources

Although the program management units are small, the number of staff involved in program management and coordination is significantly larger, and primarily available to the CRPs through arrangements with lead and participating centers. 117 respondents to the management survey (80.1%) and 11 CRP leaders considered CRPs to have adequate human resources with the skills and expertise to manage CRPs effectively.

94 survey respondents (64.3%), including nine CRP leaders, “agreed” or “tended to agree” that sufficient financial resources are available to manage the CRP effectively.¹² Asked to indicate where additional human resources could be added, respondents included communication specialists, gender experts, and administrative support. Interviews with CRP leaders indicated that additional expertise was being recruited in these areas, adding partnership development and M&E to the list.

In addition, the majority of respondents to the survey found it efficient to draw on centers for administrative services, particularly for finance administration, general administration and human resources.

¹² Please refer to chapter 7 on the efficiency of CRP management for an analysis of actual figures.

RQ 6: Authority of CRP management to manage for results

FINDINGS:

- A significant number of CRP leaders lack sufficient authority to manage for results.
- By placing the CRP leader directly in the “chain of command” within a lead center, the relationship is supervisory in structure and, for some, supervisory in nature.
- CRP leaders do not have enough scope to recruit research managers and program coordinators or a formal role in evaluating the performance of CRP management staff employed by centers.

CRPs are time bound programs, and like a joint venture, bring partners and resources together for specific purposes. For the CGIAR, they are intentionally programs and rely on existing legal entities to operate. The management literature describing multi-stakeholder partners, including the *Sourcebook*, references the complexity of the relationship of the host or parent organization (or lead center) to the partners as well as the dilemma of the program leader with “two masters.” Although lead centers are accountable under the PIAs for the performance of CRPs, the success of the overall strategy in creating CRPs relies on the capacity within the program to identify and refine strategy, mobilize partners, evaluate results, and target resources. These tasks do not take place in a vacuum but their accomplishment is more certain when CRP leadership has an unambiguous relationship to program management, and the standing and authority to manage effectively and be accountable for results.

The review looked at the existing structure and nature of the CRP management arrangements to determine if the role and authority of the CRP leader was sufficient to manage for results. In particular, it considered:

- Structural issues, principally the reporting relationship of the CRP leader within the lead center, and
- The degree to which the lead center or participating centers inhibit or limit the authority of the CRP leader, principally by safeguarding established interests through their relative positions on decision-making bodies.

The review also used interviews to explore the balance between the structural issues and the characteristics of effective working relationships between CRP leaders and centers, and in the management survey asked a series of questions relating to the management authority of CRP leaders.

Table 10 provides an overview of the current reporting relationship of CRP leaders within the lead center, and the degree to which current CRP decision making bodies represent substantial vested interests in decision making. These two factors were identified as potential constraints on a CRP leader’s authority. In general, the reporting line is the greatest constraint, followed by the dominance of the lead center in governance and

management bodies. The role of participating centers, in conjunction with these factors, adds to the obstacle course.

Table 10: Structure and Reporting Lines of CRP Management

CRP	CRP leader reporting line	Center role in governance and management		Notes
		Lead center	Participating centers	
Dryland Systems	LC DG	High	Medium	
Humidtropics	LC DDG	High	High	
AAS	Program Oversight Panel	Medium	Low	LC DDG leads AAS
PIM	LC DG	High	Low	
Wheat	Program manager reports to LC DDG	High	Low	LC DDG leads both Wheat and Maize
Maize	Program manager reports to LC DDG	High	Low	
GRiSP	LC DG	Medium	Medium	
RTB	LC DG	High	High	
Grain Legumes	LC DG	High	Medium	
Dryland Cereals	LC DG	High	Low	
L&F	LC DG	Medium	Low	
A4NH	LC DG	Medium	Medium	
WLE	LC DG	Low	High	
FTA	LC DG	High	High	
CCAFS	LC DG	Low	Low	
Genebanks	Assistant Executive Director of the Trust reports to ED of Trust and Consortium	Medium	Low	<i>Not included in the following analysis.</i>

Source: Review team.

CRP leader reporting line

In considering the authority of the CRP leader, the concept of a lead center versus a host organization creates multiple perspectives for evaluating authority and relative standing in a management hierarchy. First is how the reporting relationship is viewed within the lead center—primarily as a supervisory or “command and control” function, or as an administrative strategy that may also possess the advantage of bringing program management in close proximity to resources committed by the host to the venture. The descriptive language in program proposals, the ToR for CRP leaders, and the organizational charts that picture accountability emphasize reporting. The second is where within a center the CRP leader reports.

Most of the CRP leaders report to or through the DG. The reporting relationship in AAS appears to be through the POP but since the current CRP leader is also a DDG in WorldFish, it is not clear that AAS is outside the norm. In CCAFS, the CRP leader reports to the CIAT DG but performance evaluation involves the ISP.

Three of the CRP leaders report within the lead center at levels below the DG. In the case of Humidtropics reporting is through IITA's DDG. Both of the CRPs for which CIMMYT is lead center have program managers who report to the DDG for Research and Partnerships. Although the working relationships between the CRP leaders and the lead center managers to whom they report are collegial, the reporting relationship makes the leadership of the CRP part of middle management in the center and places a limit on the CRP leader or manager's authority. In two of the three cases, the lead center is also dominant in the governance structure, adding to the challenge a leader might face in advancing a course of action that does not conform to the center's interest.

The issue of the collegiality of the relationship versus its structural definition is important to note. Two-thirds (10) of the CRP leaders reported in the management survey that they agreed or tended to agree that their roles and responsibilities within their CRP and CGIAR center/organization are compatible. Nine of the 15 CRPs leaders were employed in a center prior to recruitment to the position of CRP leader. These leaders know the centers, know center leaders from earlier work together and are familiar with the research talent that comes together in the CRP. These CRP leaders clearly represented a highly regarded, known quantity at the time they were selected to lead the start up of the programs. In examining the structure, the review does not question or undercut the quality of the working relationships in place. Instead, it looks past the immediate relationships to imagine different leaders in place, lacking the same professional history, exercising management authority in the structure that exists. While one assumes that collegiality would continue to be the norm, the structures as they presently exist do not make clear the authority of the CRP leader to manage for results.

Center role in governance and management

Interviews with CRP leaders confirmed the complexity of managing for results when lead and participating centers dominate governance structures and when there is no intervening or intermediate body that is sufficiently balanced or independent to back stop management decision making.

Comments included in the management survey pointed out the challenges of these arrangements, including the observation: "the director [has to] tend to political considerations far too frequently...and has to worry about his own DG and the DGs of other centers before he can make decisions." Another respondent noted "the need to acknowledge the fine balance [of CRP and center management structures] and understand both as valid perspectives in a dialogue, not one dominating over the other."

According to management survey results, 5 of 15 CRP leaders agreed that they have adequate authority to manage and lead the CRP within the framework of its approved program plan and budget, and to recommend changes in research priorities to achieve desired results. An additional 3 CRP leaders tended to agree.

Three CRP leaders agreed and 5 tended to agree that they have adequate authority to:

- Recruit program and research staff members
- Evaluate staff performance and determine changes in assignment or employment
- Manage budgets and allocate resources

While one CRP leader indicated that it was too early to judge, the remaining six CRP leaders either disagreed or tended to disagree that they had adequate authority in these areas.

The interviews reflected a similar span among CRP leaders—a few felt emphatically that they had the necessary authority, another group were positive but more tentative, and the balance did not express confidence in the scope of their authority.

Recruitment and evaluation of management staff

The process of identifying the recipients of the management survey highlighted the extent to which individuals play roles in more than one CRP and the degree to which CRP management has been drawn from centers (74%). The latter is not surprising given the quality and depth of research experience in the CGIAR.

The combination of factors presents management challenges. Although 79 respondents to the management survey (54.9%), considered CRP leaders to be sufficiently involved in evaluating staff performance and determining the need for changes in assignments, as noted above a number of CRPs leaders had a different take on these questions. In interviews, no CRP leader indicated a role in annual performance evaluation when management staff was less than full-time, was a long-time member of a center's staff or if, within the management structure of the center, the staff member had a supervisor. Informal evaluation is the norm, but primarily when performance falls short. (CCAFS is an exception. The senior management team comprises full time positions, and though hosted by centers and partners, participates in an annual evaluation process involving the CRP director.) One of the perceived benefits of the development of IDOs is the framework they will provide for a range of evaluation, not just of program performance but also management performance.

RQ 7: Efficiency of CRP management

RQ 7.1. CRP management and coordination budgets

FINDING:

- CRP proposals included vague and inconsistent descriptions of management structures and, to meet expectations about cost-efficiency, low or *pro forma* estimates of CRP management costs.

At the time CRP proposals were drafted, there was limited guidance on what and how much to budget with regards to management and coordination. There was no guidance on how lead centers would charge overhead (indirect costs) to the CRPs they lead or what kind of management costs they should charge directly.

The proposals reflected an assumption that management costs should reasonably be no more than 4-5 percent of the total budget and include very small management units. Some of the proposals included a breakdown of budgeted management costs, indicating staffing and projected expenses for program management activities, such as partnership development, gender coordination or communications; others described little more than the position of CRP leader and the addition of a percentage calculation to cover unspecified management costs. Annex 9 provides an overview of projected management costs included in proposals (calculated on the first year's budget and the most conservative scenario in subsequent years if more than one scenario was presented).

The Independent Science and Partnership Council (ISPC) commented at that time on the "light" management arrangements presented in the proposals and expressed concern that the pressure to keep management costs low was more important than defining an adequate management model and then budgeting resources for it.

RQ 7.2. Comparison of CRP management costs

FINDINGS:

- On average, management and coordination costs are 4% of CRP budgets, which is consistent with the estimates in the CRP proposals.
- CRP management positions are frequently incorporated in participating center budgets.
- Administrative costs are treated inconsistently, some expensed directly and some included in overhead charges.
- Because of the lack of uniformity in identifying CRP management costs, there is no straightforward way to compare costs on a CRP-to-CRP basis.

This section of the report provides an overview of CRP management costs and highlights inconsistencies in budgeting and reporting costs that make comparison of these costs difficult. The following section compares the management budgets for four CRPs to illustrate in detail the range of underlying expenses that appear within this category.

In 2012, CRP management and coordination costs in terms of total CRP expenditures ranged from as little as 1 percent (Grain Legumes and Dryland Cereals) to around 5-6 percent (AAS, RTB and CCAFS).

Figure 7 illustrates the total 2012 actual management and coordination costs per CRP (as reported for 2012)¹³, and these costs as a percentage of total expenditures. (Figures for CRPs that were not fully operational in 2012 (Dryland Systems, Humidtropics, Grain Legumes, Dryland Cereals) are based on 2013 budgets.) Excluding these CRPs, management costs in 2012 averaged 4 percent (depending on the CRP, between \$1 million and \$2 million), which is in line (at the lower end) with what was presented in the CRP budget proposals.

The outlier in Figure 7 is the CRP on Dryland Cereals, which shows a significantly higher percentage of its budget allocated to management. Although the level of expenditure for the CRP is comparable to Grain Legumes, its 2013 budget was 60% less. It is worth noting that ICRISAT as lead center drafted both proposals and there is a consistency to the management structures and costs presented for both CRPs. These include the cost of the CRP director and management unit, product line coordinators, CRP steering committee, research management committee, and an independent advisory committee. This suggests some basic features of CRP management are fixed and comparable, and that the cost of certain basic management structures is similarly fixed rather than a percentage of total budget.

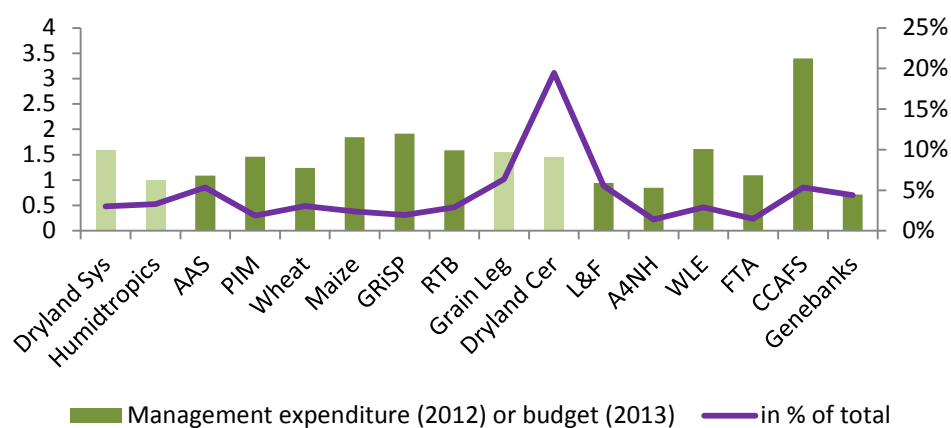
With the exception of these two CRPs and a handful of others, CRP management costs are also difficult to accurately assess and compare because not all corporate services (mostly administrative support services) provided to CRPs by the centers, especially lead centers, are accounted for. Centers charge overhead to the CRPs as well as direct expenses for specific services and positions. The way and the extent to which services are charged by the centers to the CRPs vary (as illustrated in Table 11).

In several cases a CRP and a center are basically equivalent, the research program of the center is fully allocated to the CRP(s) they lead (IRRI with GRiSP, CIMMYT with WHEAT and MAIZE, CIFOR with FTA). In these cases, differentiating the cost of CRP from center management is primarily a matter of highlighting new or different costs associated with the CRP (a CRP leader, governance and management committees, for instance).

¹³ Source: CRP Themes Report, L131 of Lead Center Report to Consortium (2012)

Interviews with center DGs and financial staff highlighted costs incurred by centers that are more implicit and have not been charged to the CRPs, as part of overhead rates or direct costs. The issue is whether the increased reporting requirements, coordination demands and participation in CRP-level activities and meetings as well as system-level activities (like evaluations) are adequately reflected in the overhead rates, which are between 10 and 19%. Also, the lead center has higher indirect costs associated with responsibilities for a CRP than are reflected in the CRP budgets. However, there was no guidance at the time of the proposals as to what extent and how lead centers can charge different overhead rates. By choosing to charge a flat management fee, CIAT as lead center for CCAFS was an exception in that it is the only lead center that included in the CRP budget an overall “service charge” that captures the lead center resources needed for CCAFS management.

Figure 7: CRP Management and Coordination Expenditures or Budgets (in \$ million and % of total)



Source: CRP Annual reports 2012 or budgets for 2013 (as received from CRP management)

RQ 7.3. Composition of CRP management costs

FINDING:

- Although financial reports to the Consortium use standard classifications to capture CRP management costs, the underlying expenses differ substantially for each CRP.

To develop findings on the question of CRP management efficiency, the review looked at budget information and financial statements for all CRPs and presents detailed information on four to further substantiate its findings.

Table 11 provides an illustration of the varying composition of management expenses and highlights the challenge of developing review findings on the basis of totals and percentages. For each of the four selected CRPs, the underlying component elements of the 2013 management budgets (expenditure 2012 for CCAFS) are shown as well as the aggregated costs reported to the Consortium.

“CRP Management and Coordination” for all CRPs is reported using a uniform, natural classification of expenditures (personnel, collaboration costs, supplies and services, operational travel, indirect costs). The format does not reveal the management structures in place or the detail of their associated cost.

As Table 11 makes clear, in the course of “rolling up” expenses to arrive at the natural classifications mentioned above, the CRPs include very different categories and attributed expenses, making simple comparisons based on the standard reports not meaningful.

Some CRPs (GRiSP, RTB and WLE) include costs in their respective budgets that are not strictly management although the funds (e.g. a competitive grant program, capacity building) may be managed through the program management unit. There are CRPs that, in addition to the staff that comprise the program management unit, also report the salaries of a range of additional positions including theme leaders, regional coordinators, scientists and focal points. Also, CCAFS has 4.5 dedicated CRP management staff who are paid by bilateral funding. By contrast, the AAS 2012 budget included only a portion of the CRP director’s salary.

The table shows how little a single number and common set of classifications tell about the variety of underlying activities that are captured in management budgets:

- 20% of GRiSP’s budget is related to science capacity building and thus scholarships and trainings;
- 40% of Dryland System’s budget is related to regional coordinators, reflecting a regional strategic management function for that CRP
- 13% of L&F budget is related to Theme Leaders and coordinators; a structure and level of budget detailed observed with several CRPs.

The table also shows the variety of ways lead centers charge CRPs for management services. On the one hand, IRRI charges GRiSP \$0.263 million based on IRRI staff time spent on CRP issues but no overhead on GRiSP management budget. On the other hand, CIAT charges CCAFS fees that total of \$1.7 million for management services. By comparison, ILRI charges 17.5% overhead rate on L&F management costs.

Table 11: Composition of CRP Management Budgets

	GRiSP 2013	Dryland Systems 2013	L&F 2013	CCAFS 2012 (in line with 2013 expected)
Total expenditure (expected) in \$	99 million	30 million	32 million	63 million
Management in \$ and %	2.7 million 2%	1.6 million 2%	2.1 million 7%	3.4 million 5%
Reported as	Programme Coordination and	Director office and other	CRP Management	CIAT Coordinating Unit and CIAT Management

Review of CRP Governance and Management

	Capacity Building	Governance Unit		
PROGRAMME MANAGEMENT UNIT				
PMU staff	Programme Director and small support group, 3 staff 0.230 million 8%	0.325 million, 3 staff 20%	Management office, 4 staff 0.535 million 30%	CRP Director and coordinating unit staff, 7 staff (4.5 staff paid by bilateral funding) 0.890 million 26%
PMU operations (travel, office, Supplies and services)	0.075 million 3%	0.187 million 12%	0.164 million 9%	0.630 million 19%
M&E	M&E and Impact Assessment 0.082 million 3%	Not included	M&E and Impact Assessment 0.250 12%	0.04 million for reviews Less than 1%
GOVERNANCE AND PLANNING				
Governance committees	Oversight Committee 0.080 million 3%	SC ISAC RMC 0.185 million 12 %	PPMC SPAC 0.108 million 5%	ISP 0.190 million 6 %
LEAD CENTER RESOURCES				
Lead center charges:	General administrative support (based on time that IRRI staff spends on GRISP) 0.263 million 10%		ILRI overhead of 17.5% applied, total of 0.310 million	15% overhead on coordinating unit and research carried out by CIAT for CCAFS
				Flat rate of 1.7 million, includes overhead for CIAT management on behalf of 4 partner universities ¹⁴
OTHER BUDGET ITEMS				
Include....	Science Capacity Building 0.551 million 20%	Regional Coordinators for 5 Regions 0.625 million 40%	Resource mobilization 0.019 million	
			Theme Leaders and VC Coordinators 0.223 million 13%	

Source: Review team, based on information received from CRP/lead center finance staff.

¹⁴ From 2014 onwards CIAT will charge a flat rate of \$1 million.

RQ 7.6. Financial reporting

FINDING:

- While financial reporting is considered to be improving, it is still cumbersome and current guidelines do not address new issues arising from CRPs.
-

The complexity of financial reporting for CRPs depends to a certain extent on the number of participating centers in any single CRP. Thus, CCAFS with 15 participating centers needs more coordination and consolidation than CRPs like WHEAT, MAIZE and Dryland Cereals with only two participating centers. Financial reporting for the CRPs brings into relief the differences in timing and accounting systems among the centers. The CGIAR One Common System (OCS) offers an eventual solution but currently depends on centers to elect to participate.

Lead center boards are sensitive to the fiduciary responsibility they have for CRPs and the difficulty center auditors face in seeking assurance on financial figures from other centers. An additional problem is the lack of guidance with respect to CRP reporting and the fact that the existing guidelines do not clearly state what costs should be part of CRP management and coordination costs.

Most of the reporting issues are under study and likely to show steady improvement. Implementation of the OCS is also anticipated to streamline reporting and build a more standard way to describe and capture CRPs' financial realities.

RQ 7.7. Transaction costs

FINDINGS:

- CRPs have called on substantial commitments of time to operationalize the programs and to put systems in place at the CRP and the system-levels and the level and intensity of interaction have increased the cost of doing business.
 - Collaborative programs that rely on substantive engagement with partners to build relationships and align research activity have inherently higher transaction costs than programs implemented by a single entity.
-

Excessive transaction costs were frequently cited in connection with the creation of CRPs, although the respondents to the management survey were almost evenly divided on the question. The review kept the issue in mind when looking at the CRP governance costs, management budgets and center expenses and overhead. One issue was whether transaction costs are excessive or unnecessary.

This section pulls together related data that appears in earlier sections that touch on the cost of doing business and where inefficiencies can be seen to exist. It also looks at the “emotional” element of the subject, which surfaced in the interviews and in the surveys.

To the emotional element, CRPs have called on substantial commitments of time to operationalize the programs and to put systems in place at the CRP and the system-levels. DGs and center board chairs, CRP leaders and management staff are engaged in a high level of interaction with their peers, with the Consortium, and partners. The intensity of interaction, rather than specific examples of superfluous activity, factors into the sense that transaction costs associated with the CRPs and the start up of the Consortium are too high.

Linked to the demands on the time and resources that planning and consultation require is the finding on the implicit costs of leading and participating in CRPs—what a DG described as the cost of being a good citizen—compounded with the front-end experience of CRP management that turns out not to have been budgeted or estimated correctly or consistently. The current multiple levels of CRP governance are not viewed as efficient or effective.

Financial and program reporting are agreed to have been burdensome and the requirements and timing inconsistent, and contracting processes were noted as cumbersome and an obstacle to working with non-CGIAR collaborators. The creation of the CGIAR Fund did not eliminate bilateral funding and the reporting and potential evaluations associated with bilateral support continue, although reporting to bilateral donors was compared favorably by some center staff to reporting to the Consortium. There are efforts underway to streamline and rationalize CRP reporting of various kinds and the steady adoption of OCS will contribute to this process.

A collaborative strategy that engages partners in meaningful and various ways has costs associated with it that are high and may be necessarily inefficient. The review considers that the CRPs are too early in their development to assess what kinds of inefficiencies are to be expected and accepted, although partner engagement, consultation and consensus building are integral to the strategy. Potentially more problematic are costs relative to the scale of a transaction. CRP leaders discussed the challenges of disproportionate expenses or accountability mechanisms that attend smaller engagements with partners. Centers themselves are reconsidering their engagement in specific CRPs as the cost of participation is weighed against the value of the research activities.

RQ 7.8. Management functions

FINDINGS:

- There is early evidence that indicates CRP management is functioning effectively to build a sense of common purpose around goals and to increase research collaboration across centers and with colleagues outside the CGIAR.
 - The authority and ability to manage for results will be buttressed by the adoption of a stronger and clearer results framework against which to plan and evaluate CRP activity.
-

The interviews with center DGs, CRP leaders and research managers generated a steady acknowledgment that CRPs have brought research scientists across the CGIAR and colleagues from outside the CGIAR together in new and productive ways. The management survey included a strong indicator that those involved in CRPs (82%) feel part of a CRP team working toward shared goals, and that roles and responsibilities for management within a CRP are clear (74.4%).

Significant management challenges were noted earlier—the level and flow of funds from W1&2, navigating the process of managing for results in governance and management settings that involve too many layers of decision making or are dominated by lead centers or participating centers, and burdensome reporting.

Although too early to assess, the CRP management budgets may not be the only area in which the requirements for effective management have been underestimated. A comment in the survey, which was echoed in conversations, was “the amount of time spent on management has increased and the time for research has decreased.” This may be a fair observation or it may indicate that CRPs require a set of management skills and a percentage of time on management tasks that may not be immediately available to managers. The CRP leaders’ lack of participation in performance evaluation limits the ability to provide feedback and support that contributes to staff development in these areas. As management teams begin to function, there is evidence that staff development is taking place. A number of CRPs have invested in bringing management teams together to build skills and relationships. AAS has begun to consider how to best structure its management team and improve communications.

An important contribution to more effective management will be the development of system-level and program-level development outcomes. CRP managers have collaborated with the Consortium on the development of a common framework that will support planning, partner engagement, resource allocation and evaluation. The authority to

manage for results can be expected to be buttressed by a stronger and clearer results framework.

7. CONCLUSIONS

From an organizational standpoint, the creation of a new CGIAR is a significant accomplishment, involving transformational change that has encompassed existing centers, donors, and partners, all levels of leadership and management, new programs, new partners, new donors and new expectations of performance. Centers aligned thousands of activities along with their associated research expertise, financial resources and partnerships to 16 research programs. Two new system-level pillars were created. Investment in the CGIAR has grown.

The transformation reflected a consensus on a new strategic framework and the need for new ways of working. CRPs are the principal vehicle for implementation of the new strategy and their effective and efficient governance and management will contribute to their looked-for success.

However, change of the magnitude that has occurred within the CGIAR is deeply disruptive. Some of the disruption is by design, but much of it is attributable to unanticipated events (the suspension of W1&2 funding, slower than anticipated contributions to the Fund). The Fund Council, the Consortium and the CRPs are actively moving past the start up phase and beginning to work as intended. While the CRPs are designed to be time limited, they and the centers require some reasonable period of operational stability in which to implement plans, build partnerships, and measure results. On the horizon is the second call for program proposals. While this process is intended to incorporate lessons learned and allow for more coherence across the CRP portfolio, it will place demands on CRPs, centers, partners and other stakeholders at a time when the impact of other disruptions are just beginning to ebb.

Three years into active implementation there is a body of experience that is informative about what is working and what is not, which issues involve small adjustments and which deserve a deeper look.

Basis for Conclusions

The CRP Governance and Management Review identified seven principal evaluation questions as well as criteria for the review. Table 1 (Chapter 3) shows the intersection of the criteria with the review questions. In addition to accountability, efficiency and effectiveness, the review considered the extent to which the existing structures and

arrangements for CRP governance and management are transparent, legitimate, fair, and independent. **Independent in this context refers to the extent to which decision making and oversight remain unconstrained by conflicts of interest; it is not used in the review to designate an entity apart or separate from another body.**

Although the CRPs differ in research focus, scale, mix of funding, and the number of participating centers, the principal review questions and the criteria were considered to be broadly applicable to all of the CRPs. Some of the review criteria are relevant for both governance and management, and in some areas, the conclusions in the review touch on more than one criterion.

The review also sought to use a core set of definitions and a consistent set of terms to describe the governance and management structures associated with the CRPs. The specific role and accountability of lead center boards for the performance of CRPs under agreements with the Consortium are acknowledged throughout the review, and reflected in the conclusions and the recommendations.

The CGIAR and center boards have focused for many years on articulating the principles and practices of effective governance consistent with international standards for corporate governance. The review relies on the CGIAR's own guidelines in this area to frame the assessment of governance with respect to the CRPs, and references the CGIAR's governance principles for Challenge Programs as informative to CRP governance bodies.

Although the SRF provided guidance to centers in proposing CRP management and advisory structures, only a few of the CRPs strictly conform to the proposed structure. The review was not intended to evaluate CRP governance and management structures for their compliance with the SRF. As the ToR for the review makes clear the intent was to “take stock of experience so far, identify issues and provide lessons from existing CRPs and elsewhere which can be applicable in other CRPs.”

Overall Conclusions

CRP governance and management were intentionally designed to make use of existing structures and capacity rather than duplicate them unnecessarily. The benefits of this strategy were evident for mobilizing research and management resources. **In general, the review found the basic accountability framework for CRPs to be functional.** The flow of accountability from the Fund Council to the Consortium to lead centers makes good use of the CGIAR's corporate structure, allowing the research portfolio to change and evolve as results are achieved and new opportunities or challenges emerge. The constellation of governance bodies closest to the CRPs is less functional.

In addition to finding the basic accountability framework functional, the review also found the shortcomings of the current accountability structure, including the conflicts of interest

that currently exist for center boards with respect to the CRPs they lead, to be manageable. **Rather than recommending a shift in accountability for CRP performance to the Consortium Board, which has fewer inherent conflicts than center boards, the review concluded that there exists within the present array of CRP governance structures examples of effective arrangements for minimizing these risks that can be adapted to meet the needs of both lead centers and CRPs for effective governance and oversight.** This conclusion which leads to refining and strengthening CRP governance within the present accountability structure avoids the disruption that would accompany a shift in accountability directly to the Consortium Board; it also avoids upending existing agreements, which risks distracting from the ongoing management of CRPs and eroding the good will of the centers with respect to the Consortium.

The review validated broad support for the underlying intent and strategy of the new CGIAR and a positive sense that new and more collaborative research was underway. The Review highlighted though the need for clarifying and streamlining CRP governance and management functions to reduce the demands on human and financial resources as well as facilitate meaningful partner engagement.

Although the review could see where the roles and relationships of the Fund Council, Consortium and CGIAR centers are evolving as the new CGIAR gathers speed, all three parts of the structure are integral to achieving the goals embodied in the SRF. The Phase 2 Review of CGIAR Governance considered the strengths and weaknesses of these relationships. The Mid-Term review will look more closely at larger organizational issues; the CRP review considered the roles and relationships of the CGIAR's principal institutional actors as the context within which CRPs operate. **Many people made the point that CRPs cannot be seen in isolation; they are programs being implemented by institutions to achieve institutional goals.**

Governance

- The carefully delineated legal framework laying out accountability for CRPs and their performance has given rise to an acute awareness of boundaries—between the Fund Council and the Consortium, between the Consortium and lead centers, and between lead centers and program participants.
- The shift in investment from centers to programs as well as uncertainty about the levels and flow of W1&2 funds have heightened the sense of risk on the part of centers and raised concerns about a loss of standing within the system as a whole.
- The establishment of the Fund and the growth in overall investment in the CGIAR is a more positive narrative than the internal conversation about the relative roles of the Fund Council, Fund Office, Consortium and the centers in mobilizing resources would indicate. While levels of W1&2 may continue to grow, bilateral funding will continue to be an important part of overall funding for CRPs and the system. There is an opportunity to develop a better and more integrated strategy for resource

mobilization that moves beyond current roles and boundaries, and builds on the evident capacity across the system and at all levels to mobilize resources.

- The dominant role of centers, in particular lead centers, in CRP governance and management may be attributable to the level of center resources committed to the CRPs, but it negatively affects the legitimacy of decision making. In addition to raising issues of conflicts of interest, it risks creating imbalances in influence and authority among centers and partners, and contributes to the insufficient participation of women and the failure to include at meaningful levels the perspectives of key stakeholders, including partners and individuals from target regions.
- Strategic oversight of CRPs could be effectively provided by a single CRP governance body with a balanced, independent character that supports the accountability of the lead center board for the performance of the program. A number of CRPs currently have such an arrangement in place and the review concluded these to be highly functional.

Management

- By drawing on existing center resources, CRPs have brought together the human and administrative capacity to launch and manage the programs. Even playing relatively new and multiple roles, research staff reported the ability to navigate their respective roles in centers and CRPs.
- As currently structured and reported, it is impossible to determine CRPs' core management and coordination costs or to make comparisons across CRPs. The inclusion of staff costs and the characterization of administrative expenses vary widely, leaving even a comparison of management expenses based on percentages of total budgets subject to doubt.
- The management accountability and reporting structures in place for CRP leaders do not provide CRP management with the clarity and authority to manage for results. If CRPs are intended to build and leverage partnerships to achieve results, the CRP leader should not be accountable to a single partner for performance. The scope of authority and accountability for performance would be clearer if the reporting line for the CRP leader flowed through a balanced and independent CRP governance body responsible only for the performance of the CRP.

Conclusions: CRP Governance

CRP governance should be simplified to clarify roles and increase effectiveness and efficiency. The multiple bodies that have developed in connection with CRPs have overlapping roles and frequently consolidate decision making with respect to priority setting and resource allocation within lead and participating centers.

Too few of the CRP governance bodies bring independence and legitimacy to the governance function. The dominance of lead and participating centers in CRP governance

bodies presents conflicts of interest as well as the potential for bias in favor of maintaining the status quo. It was surprising to see the data on the lack of inclusiveness of CRP governing bodies, and then to have survey respondents indicate substantial satisfaction with the efforts to include women and individuals from target regions on these bodies. **Given the focus and intent of the SRF, a CRP governance body with no women or a very small minority of women cannot be said to have legitimacy; similarly, a CRP governance body that lacks the inclusion of individuals from target regions also fails in this regard.**

CRP governance bodies must balance their capacity to engage in effective oversight and decision making with the need to bring balance and perspective to their work. The standards that guide center boards, which emphasize the need to incorporate these features, provided a touchstone for the review.

One of the benefits of a balanced CRP governance body is the assurance it provides to partners and other stakeholders that the playing field is level and that priority setting, resource allocation, and evaluation are focused on the CRP and its purposes and not on other interests.

The review also considered the challenges that a center board faces in balancing the interests of the center with those of the CRP and found most lead center boards lacked an adequate mechanism within the CRP governance bodies that would preserve their accountability and also manage the risk of real or potential conflicts of interest.

Particularly for programs that are intended to engage partners at every level, governance bodies must protect the confidence of partners in the legitimacy and fairness of decision-making. This is particularly true when governance bodies cannot reasonably bring all stakeholders and interested parties to the table. The composition of governing bodies needs to convey a balance of perspectives and also a balance of interests. In the same way that a board relies on outside auditors as an important mechanism for assuring financial accountability, lead center boards would benefit from a CRP governance mechanism that both balances the legitimate interests of centers, partners and stakeholders, and supports independent decision making. These goals are not in conflict with maintaining the lead center boards' fiduciary responsibilities with respect to program performance.

In assessing the current array of governance bodies surrounding CRPs, it was clear that it was possible to put an independent, balanced governance body in place and to have it function effectively. Humidtropics, CCAFS, GRiSP, WLE and AAS, for example, have balanced and independent bodies in place, and the structures forming at other CRPs have the potential to play this role if composed and authorized to do so. **There was evidence that these structures can bring value to a range of CRPs, and that the composition of the CRP governance body did not need to be rigidly fixed in order for it to be balanced, nor exclude center representation to be independent.** Most of these bodies include a role for the lead center and partners.

Conclusions: CRP Management

If CRPs are intended to build and leverage partnerships to achieve results, the CRP leader should not be accountable to a single partner for performance. Similarly, if partnership is a critical element in the successful realization of the SRF, clear accountability for an effective partnership strategy, that includes centers as well as other partners, should rest with CRP leadership and management.

The role of CRP leaders also needs to be clarified to distinguish it from the hierarchy and reporting lines of center management. CRP leaders need the authority and independence to manage for results. Management authority and independence are difficult to achieve when the lead center DG or center senior management construes the relationship with the CRP leader to be supervisory. **CRPs would benefit from a management structure comparable to the Challenge Program model in which management accountability flows through an independent governance body to the lead center.**

The review does not discount or fail to appreciate the collaborative and collegial working relationships that currently exist between CRP and center leaders. Nevertheless, the review considers the current reporting line for CRP leaders to be a structural weakness worth remedying. Even with positive working relationships in place, most of the CRP leaders had experienced a moment when their authority was tested, or could envision the circumstances.

At present, each CRP incorporates different expenses into its management budget and covers other management costs through center overhead and within program agreements. **The lack of transparency for management costs is a challenge to accountability. It makes it impossible to benchmark these costs or to make reasonable comparisons across CRPs on their relative efficiency.** It also inhibits the ability to learn across CRPs about how different structures and their costs can add to overall performance. Efforts should be made to harmonize the core features of a CRP management structure, capture the cost of CRP management and coordination more fully, and report these costs consistently.

The current accounting of management costs also preserves an illusion of efficiency. It presents as reasonable that holding expenses at a modest percentage of the total budget signals efficiency. In reality, management costs do not always rise or fall in step with changes to the total budget. As it now stands, some CRP budgets incorporate a core group of positions in the management structure; others recognize very few. A number of CRPs include in their management budgets program funding that is administered directly from within the program management unit. For CRPs like GRiSP, Wheat and Maize, there is close to a one-to-one relationship between the CRPs and the centers' existing research programs. While the research programs are now within the CRPs, the management of those activities is accounted for elsewhere. None of these variations seems to result in management budgets that exceed 3-4% or fall much below that percentage.

The good news coming from the review is that despite the difficulty of capturing the costs of management, there is a consensus that the research and administrative resources available to the CRPs are sufficient. **There is also evidence that CRPs have generated more collaborative research work across the centers and with colleagues from partner organizations than in the past.** Although evaluations of the CRPs by IEA will look at priority setting and research results, the review surfaced positive feedback from CRP managers that they feel a part of teams contributing to common goals, although stretched by reporting and other management tasks that limit their direct involvement in research activities.

Efforts to harmonize budgeting, research structures and reporting are underway and should continue to build coherence and a common vocabulary for doing business. **While economies may be achieved through these efforts and accountability improved, collaborative programs that rely on substantive engagement with partners to build relationships and align research activity have inherently higher transaction costs than programs implemented by a single entity.** The nature of the CRPs may inherently increase transaction costs compared to the former CGIAR because of the investments needed to engage partners, build capacity, and achieve development outcomes. The value and cost of managing for these results should be acknowledged, measurable, and susceptible to comparison.

Conclusions: Crosscutting issues

Resource mobilization

Resource mobilization and resource allocation featured in the review in multiple contexts:

- As a constraint on CRP priority setting and resource allocation,
- As a strategic issue that needs to leverage the potential for more complementary and collaborative work between the Fund Council and centers, and
- As an element in the institutional resilience and sustainability of centers

The review considered the question of whether resource mobilization and resource allocation support effective planning and implementation. **In general, the current level of bilateral funding, and the extent to which CRPs still rely upon it, is a constraint on effective planning and implementation but one that most centers and CRPs continue to accommodate.** There is a legitimate concern that centers' priorities for fund raising are not always aligned with particular CRPs. And, there was a broader concern with the way in which W1 funds are allocated and a lack of clarity about the basis for the allocations. In combination, these factors influenced planning for the CRPs, making it difficult to pursue multi-year strategies and also to commit to partners when the uncertainty about the timing, levels and sources of funding combine as they have as the CRPs begin. This is at least partially addressed by the new 2014-2015 Financing Plan.

CRP funding is likely to continue to include a combination of W1&2 and bilateral support, but the balance of that support will be critical to the success of the SRF. W1&2 funding and multi-year support provide the CGIAR and the CRPs with the most flexibility to leverage change and accelerate the implementation of research linked to the SRF. **W1&2 funding also facilitates coherence across the CRPs and builds a sense of shared ownership of the SRF. These are compelling reasons to assure that all CRPs enjoy a minimum level of W1&2 funding.** Trying to accelerate implementation of the SRF and build coherence across the portfolio will be more difficult if bilateral funding continues to be 70 percent or higher of a CRP's budgeted resources.

Resource mobilization and allocation also enter into the relationship of the centers with the Fund Council and the Consortium. **While overall resources have doubled over the last five years and the Fund Council annually increases the funds available through the Fund, there is an inordinate level of internal strife and dissatisfaction over resource mobilization.** The thinking at the beginning of the reform process about who would take the lead in mobilizing resources and who would step back has not turned out exactly as planned, and yet investments in the CGIAR have climbed.

The review considers that there is an opportunity to rethink how investment in the CGIAR is viewed and to reframe the resource mobilization strategy in support of the SRF in a more complementary and strategic way. The current tenor of the conversation about resource mobilization, the allocation of Windows 1&2 and bilateral funding risks becoming entrenched and divisive.

Challenges to Centers

While the CRPs are often referred to as joint ventures, the review considers the new structure of the CGIAR, involving the Fund Council, the Consortium, the centers and partners, as something comparable and that parallels the development of CRPs in many respects. In addition to the resolution of how resource mobilization will be “parsed” in terms of roles and relationships, **the partners need to consider issues of fairness.** The Fund Council, Consortium and centers share a commitment to a common set of ambitious and urgent goals, but their roles are not entirely complementary or in equilibrium at this stage of the new CGIAR's development.

The review accepts the view, articulated with some consistency by the centers that the success of the CRPs relies on a stable network of institutions. **The role of the centers in relationship to the CRPs is not just as fiduciaries or as fiscal agents.** The centers bring reputation, a critical mass of research capacity (human and physical), global and regional relationships and the corporate structures necessary to the implementation of a programmatic strategy. While it may be true that other research organizations may at some

point be eligible for support from the Fund, those institutions will have the same need the centers have to maintain their organizational stability and currency.

The financial stability of centers is in the vital interests of CRPs and the success of the CGIAR strategy. If the Fund chooses not to be the investor of choice for this kind of funding, centers need the flexibility to raise bilateral funding outside the CRPs.

The Genebanks CRP

The review included the Genebanks CRP and noted relevant findings on particular review questions. The review considered the Genebanks CRP to be effectively managed and for the current governance and accountability structure to be adequate. In late 2013, three representatives, elected by the 11 gene bank managers, were added to the CRP Management Committee, which improves stakeholder engagement at that level.

More generally, **the Genebanks CRP is an example of an investment in system-wide assets, such as research databases and potential high value investments in research facilities or capacities that enable world-class research to continue to be conducted through the CRPs.** The review recommends that a more comprehensive effort be undertaken to determine relevant lessons learned from the Genebanks CRP.

8. RECOMMENDATIONS

The review offers eight **recommendations** that relate to CRP governance and management, and center and system-level issues that relate to the overall success of the CGIAR's programmatic strategy. (A recommendation in an earlier draft of the review with respect to the composition of the Genebanks CRP's management committee was made redundant by changes adopted by the CRP in late 2013.)

The review noted earlier in the report the dynamic nature of this period in the CGIAR system. Even as the review was underway, issues identified as relevant to it were the focus of ongoing efforts at problem solving and continuous improvement. The challenges of financial accountability with multiple partners and new reporting systems are being steadily addressed in a cooperative fashion between the centers and the Consortium, including clearer, more consistent reporting and improvements to audit processes. On the program side, the ongoing development of system-level outcomes linked to the SRF and aligned with a common framework for program-level outcomes should lead to clearer accountability for performance between the Consortium, the centers and the CRPs. The Phase 2 Review of CGIAR Governance, which overlapped with this review, included findings and

recommendations of relevance to it. Finally, the efforts to develop guidelines for the second round of program proposals reflect substantial lessons learned that coincide with findings in this review.

With this in mind, the recommendations focus on matters of CRP governance and management that remain outstanding and where the review can offer value to the programs as they currently operate and as planning begins for the next program cycle.

Basis for the recommendations

The recommendations are informed by the need to:

- streamline structures,
- strengthen the legitimacy of decision making,
- provide CRP leaders with the authority to manage for results,
- strengthen accountability and transparency, and
- recognize the need to sustain the institutional capacity of centers.

The review also looked at the underlying diversity of the CRPs and how this diversity should inform governance and management structures. The recommendations are intended to highlight a core group of principles that support good governance and effective management rather than a rigid set of structures.

Governance Recommendations

- 1. Create a single, balanced governing body for each CRP that reports directly to the lead center board on the performance of the program. The CRP governance body should bring together appropriate expertise, include a majority of independent expert members, and accommodate lead center and partner representation.**

The recommendation creates a more effective and efficient structure for providing immediate accountability and support for priority setting, resource allocation and evaluation of the CRPs. A CRP leader would be directly accountable to this body for performance. A single, balanced, expert and independent body assures donors, partners and stakeholders that no interests but the best interests of the program will shape deliberations. It assures lead center boards of an independent mechanism for assuring program performance and maintains their accountability function in the current program agreements. Five CRPs have such CRP governance bodies in place (Humidtropics, AAS, GRiSP, WLE, CCAFS); one (RTB) is in formation. These comprise a broad variety of CRPs in terms of their focus (commodity, system, NRM) and the complexity of their underlying partnerships. Other CRPs have an existing governance body that can adjust its composition, leadership, or reporting process to meet this recommendation. The recommendation eliminates duplicative structures and contributes to more efficient decision making. It does not mandate a size or a

formula for composition in order to assure that, although there is a common structure, there is the flexibility to tailor the body to the needs of individual CRPs, lead centers and partners. A suggested structure and terms of reference for the recommended CRP governance body are outlined in Table 12 at the end of the document.

Responsibility for action: Consortium Board

Timing: 2015 renewal of program plans

- 2. Assure transparency in the work of CRP governance bodies by making available on CRP websites the names of members and their qualifications, posting meeting agendas and minutes, and otherwise sharing information that builds confidence in the basis and quality of decision making.**

Because a balanced and independent governing body cannot reasonably include the full representation of partners and stakeholders, it is important to conduct business in a transparent fashion in order to maintain confidence in the legitimacy and fairness of decision making. A number of CRPs currently include this information on their websites.

Responsibility for action: Governing body chairs, CRP leaders

Timing: Immediately with endorsement of the recommendation

- 3. Institute policy and decision-making mechanisms for managing conflicts of interest at the governance and management levels of CRPs.**

Such mechanisms are considered good practice and reflected in the guidelines and policies of center boards. CRP governance and management bodies should adopt practices comparable to those that guide center boards in these areas. For CRP management teams, which draw heavily on center research and management staff, these practices should also facilitate more efficient decision making. A number of CRPs have adopted policies and decision-making mechanisms of this kind. Broader implementation offers the opportunity for CRPs to compare their policies and practices in this area and identify which have been effective and workable.

Responsibility for action: Consortium Board

Timing: 2015 renewal of program plans

Management Recommendations

4. **Strengthen the authority of the CRP leader to manage for results:**
 - **place the reporting line and accountability for performance with the CRP governing body included in Recommendation 1,**
 - **give CRP leaders the authority to establish appropriate management and program advisory arrangements,**
 - **institute a formal role in the performance evaluation of CRP program managers and coordinators employed by centers.**

The recommendation creates a line of authority for a CRP starting with the lead center board and continuing through the CRP governance body to the CRP's leadership. It strengthens and clarifies the role of the CRP leader and the authority needed to manage for results. CRP leaders would have the flexibility to put management and program advisory structures in place that are responsive to program and partnership needs. A component of the authority to manage for results is a role in the evaluation of management team members.

The recommendation has been revised from the initial draft to reflect the current diversity of senior research leaders involved in CRP management, principally DDGs, and the accountability for hiring and staff performance that rests with a center DG to whom these positions are direct reports. (An equivalent situation occurs when CRP research managers are employed by organizations outside the CGIAR.) The revised recommendation includes the CRP leader as an important input to performance evaluation in these circumstances as this input supports the overall quality of management for which the CRP leader is accountable.

Shifting the line of accountability from the lead center DG (or DDG) to a CRP governance body is not at odds with the employment arrangements in place for the CRPs. Research and program staff hired for CRPs are now "hosted" by centers (not always the lead center) for employment purposes and are considered managed by and accountable to CRP leaders for their performance. The recommendation is also not at odds with the lead center's accountability for program performance. This particular accountability mechanism does not need to extend to the CRP leader's performance if there is clear accountability for performance through a CRP governance body.

Responsibility for action: Consortium Board
Timing: Guidance for CRP Second Call (2015)

5. **Establish uniform guidelines that harmonize CRP management budgets, including staff costs attributed to program administration, coordination of key functions, and research management, to reflect the legitimate costs of program management and to better assess management efficiency and effectiveness.**

The CRP proposal process contained limited instructions for preparation of management budgets. Consequently, some CRPs outlined comprehensive staffing plans with associated costs, and others relied on a percentage calculation of the total projected CRP budget to estimate the cost of managing the programs. Budget development and accounting systems should provide sufficient uniformity to make useful comparisons across CRPs and centers, and to benchmark CGIAR expenses against comparable research or multi-stakeholder programs.

Responsibility for action: Consortium Board

Timing: Guidance for CRP Second Call (2015)

Center and CGIAR System

6. **Resolve the outstanding issue of maintaining center financial reserves through a prudent and equitable system-level agreement between the Fund Council and the Consortium on the use of W1&2 funds with respect to reserves.**

It is in the long-term interests of the CGIAR to assure that the centers as the institutional framework for the CRPs have the resiliency and financial stability to deliver results at the level and within the timeframes projected. Although the uncertainty about the levels and timing of W1&2 funding are being resolved, this does not wholly address the broader need for the CGIAR's own funding to play a role in assuring the financial stability of the institutional framework that underlies the CRPs. The recommendation does not address the issue of a CRP reserve for W1 funds or relate in any way to the idea of centralizing the management of existing center reserves.

Responsibility for action: Fund Council/Consortium Board

Timing: Coincident with the renewal of CRPs through 2017

- 7. Create guidelines that increase transparency and encourage the alignment of resource mobilization on the part of centers for activities that strengthen centers' capacity to achieve the SRF, or for purposes consistent with center mandates but outside CRPs.**

While there remains a strong rationale and motivation to bring as many donors as possible into the Fund, there are likely to be limits to the resources available to the centers through the Fund as well as donors who elect to fund centers directly. Some centers currently pursue bilateral support for the purposes included in the recommendation; others do not. The recommendation brings forward the idea that centers can be partners and major investors in CRPs and committed to achieving the SRF, while also maintaining their institutional stability, and the flexibility to invest in and renew facilities and infrastructure as part of long term planning. Similarly, centers, consistent with their mandates, should be able to contribute to regional priorities outside the SRF as well as center-specific opportunities or needs. To avoid conflicts between these activities and broader efforts to increase the size of the CGIAR Fund and the number of donors to it, clear guidelines as well as transparency about these transactions are needed.

Responsibility for action: Fund Council/Consortium Board

Timing: immediately, with endorsement of the recommendation

- 8. Evaluate the Genebanks CRP for lessons learned on investing in system-wide research assets.**

The review generated limited findings, conclusions and a recommendation for the governance and management of the Genebanks CRP, noting its differences from the research CRPs. Over the course of the review, the CRP was consistently viewed by stakeholders as an example of a critical system-level investment. The recommendation is intended to generate lessons learned about the value of such investments, and how best to structure them.

Responsibility for action: Fund Council/Consortium Board

Timing: 2016, prior to the CGIAR system-level evaluation

Table 12: Suggested structure for CRP governance body

The CRP governing body's **responsibilities** should include:

- strategic oversight of the program, including priority setting and the evaluation of results
- overseeing external evaluations of CRP programs and activities
- maintaining awareness of stakeholder perspectives and needs
- serving as the direct report for the CRP leader and conducting an annual performance review (and overseeing the selection process when necessary)
- reporting at least annually to the lead center's board through the lead center board chair or the chair of the board's program committee
- serving as an expert resource to the CRP and the senior management team

The CRP governing body's **composition** should include:

- a majority of external members
- individuals known and respected for their professional expertise
- a balance in gender
- geographic balance with representation from CRP target regions
- participating center, partner and stakeholder representation
- *ex officio* representation of the lead center DG and CRP leader

The size of the governing body should be functional, enabling participation and making management and support of the body reasonable for CRP management.

The CRP governing body's members **appointment** should be as follows:

- Members should be appointed by the lead center board for a fixed term, with a single option for renewal at the recommendation of the governing body
- the chair should be an independent member elected by members of the governing body for a fixed term
- The basis for including partners or stakeholder representatives should be clearly articulated with the expectation that representative members will participate in their individual capacity and minimize both conflicts of interest and the appearance of conflicts of interest

ANNEX 1: REVIEW TERMS OF REFERENCE



TERMS OF REFERENCE FOR THE REVIEW OF CRP GOVERNANCE AND MANAGEMENT

1. Background

The Context: In December 2009, the CGIAR adopted a new institutional model designed to improve delivery of appropriate research for development results in a changing global environment. The core institutional elements of the new CGIAR are the CGIAR Fund and the CGIAR Consortium each with their own decision making boards and secretariats. The Independent Science and Partnership Council (ISPC) provides advice to the Fund Council through appraisal of the CRP Proposals and of strategies and plans for the CGIAR as a whole and individual programs. The Independent Evaluation Arrangement (IEA) has been established, with the mandate of leading the implementation of the CGIAR Policy for Independent External Evaluation. There are also arrangements for coordinated internal audit.

The new CGIAR emphasizes a more results-oriented research agenda, clearer accountability across the CGIAR, partnerships and a strengthened programmatic approach through mega programs called CGIAR Research programs (CRPs). The Strategy and Results Framework (SRF) agreed in 2011 provides the overall framework for the design of the CRPs. Restructuring CGIAR research work in CRPs is intended to ensure CGIAR research and capacity building is concentrated in areas of CGIAR comparative advantage and enhance collaborative research among the Centers and with partners, (recognising the need for innovative collaborative arrangements and multi-disciplinarity in tackling the ever growing issues in agricultural development in G77 countries, particularly the poorest countries).

15 CRPs have been developed as the main organizational mechanism for planning and conducting research within the following themes:

- Improve yields and profits of crops, fish, and livestock
- improve sustainability and environmental integrity, adapt to and mitigate climate change
- improve the productivity, profitability, sustainability, and resilience of entire farming systems
- improve policies and markets
- improve nutrition and diets.

In addition, a Research program for all CGIAR Centers has been specifically established for “Managing and Sustaining Crop Collections” which is managed by the Crop Diversity Trust Fund.

"A Strategy and Results Framework for the CGIAR" (SRF) outlines a set of principles for the design of CRPs and identifies the main governance and management arrangements for each CRP. The Joint Agreement which is signed by the Fund Council and the CGIAR Consortium gives the framework for the submission and approval of CRP proposals and the transfer and use of funds from the CGIAR Fund for implementation of CRPs. The CGIAR Consortium and the Fund Council enter into Consortium Performance Agreements (CPA) for the delivery of research through the portfolio of CRPs. The CGIAR Consortium in turn enters into Program Implementation Agreements (PIAs) with the Lead Centers of CRPs to implement the CRPs. These contractual arrangements are meant to strengthen accountability and the delivery of research results. Not all Centers are Lead Centers and most Centers are involved in several CRPs to varying degrees.

The Issues: Each CRP has developed its own governance and management model, with structures and mechanisms covering all or partially oversight and strategic functions, scientific advice and management. All CRPs are “led” by a CRP leader whose time is mostly or entirely dedicated to CRP management. The initial budget of each CRP allotted by the Fund Council to the Consortium, is then allocated by the Consortium to the Lead Centers. The role of Centers’ governance and management structures, in particular those of the Lead Center, in the governance and management of the CRP vary greatly among the CRPs, in part due to the limited guidance with regards to governance and management in the SRF.

In the overall CGIAR architecture, the CRP governance and management structures run in parallel with Centers’ governance and management structures in a way that forms a complex governance and management matrix framework. The composition of governance bodies, the role of the Lead Center management in CRP management, size of management teams, management arrangements at country and regional levels all vary between CRPs and to some extent need to, given the diverse characteristics of the CRPs with respect to typology of research, number of Centers involved, geographical spread and extent of the budget for work in the area of the CRP which is covered from central CGIAR funding (Windows 1&2).

While it needs to be recognized that the CGIAR institutional arrangements, including the CRPs, are only now settling into full functionality, a number of issues in CRP management and governance have begun to emerge partly due to the often complex governance and management structures of the CRPs and the large distribution of decision making authority among the different stakeholders. These issues can have negative results for: unity of strategic direction; managerial, research and governance efficiency; both financial and research risk management; accountability and the extent of donor and beneficiary confidence; and for the image which the CGIAR communicates to a larger world.

Perceived issues which have emerged but remain to be verified, include those related to:

- Problems for both management and external governance resulting from lack of definition of roles and overlapping of roles at the level of the Consortium, the CRP, Lead Center and the managements and Boards of other participating Centers;
- Meaningful involvement of a wider group of stakeholders beyond the CGIAR in oversight and external governance;
- Clarity on management responsibility, including budget allocation, particularly the allocation of Window 1 funding and HR selection and performance assessment, between Center managements and CRP managements;
- In both overall oversight and governance, overlaps in execution of their mandates by the Fund Council and Consortium with respect to CRPs, including on budget allocation;
- System difficulties for both managers and oversight functions in accounting for expenditures against individual research objectives as distinct from organizational units and categories of expenditure (e.g. personnel and travel);
- Lack of financial, partnership and research risk identification and management frameworks;
- Managing the interface between CRP budgets and those for maintenance of infrastructure and reserve funds;
- Managing the interface and/or input to CRPs of project funds mobilized bilaterally by Centers for specific purposes;
- Managing the boundaries amongst the CRPs
- Current capacity of internal and external oversight functions (RBM, Monitoring, Evaluation, Audit).

Ongoing and Completed Studies in CGIAR Governance and Management: Recognizing the need for overall improvements in governance and senior management functions for the CGIAR as a whole a

number of initiatives have been undertaken and are at present underway. These include:

- A Governance review has been commissioned jointly between the Fund Council and Consortium. It is supported by a Governance Reference Group with joint membership between the Fund Council and Consortium. The report of Phase 1 which covered most aspects of governance and senior management functions was completed in February 2013. A series of inputs and workshops were provided for this by the Consortium and Centers, the Fund Council Secretariat and by the ISPC. Phase 1 identified the governance and management of CRPs as an issue. Phase 2 has been contracted to Price Waterhouse Coopers (PWC) and is intended be concluded in July 2013. It is compliance oriented and concentrates on:"
 - Determining to what extent the CGIAR governance bodies (the Consortium board, Center Boards and Fund Council are following the requirements imposed by the CGIAR System agreements, i.e. are in compliance, and the effectiveness of their internal governance)
 - Reviewing whether the CGIAR governance bodies have made Board and executive management decisions with respect to governance and internal controls that were not consistent with the CGIAR System requirements and internal policies and review the impact of such decisions;
 - Determining any areas in which these CGIAR governance bodies are not meeting accepted best practices in corporate governance and internal controls including nomination and appointment of Center Board members, segregation of duties and roles within Board Committee members, performance appraisal of Center Heads by Boards, Risk Management Strategies;
 - Reviewing the overall efficiency and effectiveness of the CGIAR governance bodies (priority setting, approach to risk including financial risk);
 - Reviewing the efficiency and effectiveness of the training provided to the members of the Consortium board and Center Boards;
 - Evaluating the collective competencies of members of the Consortium Board, Center Boards and Fund Council"¹.
- Audit committee working group functioning under the auspices of the Consortium and is prioritizing issues including the internal audit arrangements for CRPs;
- The Governance Risk and Compliance Committee which is an ad-hoc sub-committee of the Consortium Board and comprises Consortium Board members, the CEO and Center Board Chairs;
- A Governance and Management Review of the CRP Climate Change Agriculture and Food Security². This CRP which grew out of a Challenge Program, which had a well developed governance and management structure was found by the reviewers to have valuable lessons for application in other CRPs.
- The audits of implementation and management of the CRPs which are conducted by the CGIAR Internal Audit Unit (IAU), for example the one of CRP 3.3. (Global Rice Science Partnership) which is currently undertaken with a report expected for beginning of July 2013

2. Purpose of the Review

The Review of CRP Governance and Management was requested by the Consortium and approved by the Fund Council as part of the IEA workplan for 2013.

Building on existing studies and inputs, the Review will take stock of experience so far, identify issues and provide lessons from existing CRPs and elsewhere which can be applicable in other CRPs. Recommendations will include the definition of common basic principles and good practices for CRP

¹ Request for proposal for Phase 2 of the CGIAR Governance Review Commissioned by the CGIAR Consortium and the Fund Council 17 December 2012

² Maureen K Robinson and Brian P Flood May 1 2013

governance and management. The Review will provide an early informative assessment to be used in the preparation in 2014 for the next CRP programming cycle.

Timing of the Review means that it will be able to draw on Phase 2 findings of the wider Governance Review referred to above and due for completion in July 2013. The CRP governance and management review will be specific to CRPs and by addressing financial and human resource management, will deepen the insights with particular emphasis on efficiency and effectiveness of governance and executive management for efficient delivery of appropriate research and capacity development outputs.

Noting, however that the effectiveness of research clearly lies beyond the mandate of the Review.

The primary stakeholders in the Review are the CGIAR Consortium and Fund Council, the CRPs and Centers and other partners which are involved in the CRPs.

3. Scope of the Review

The Review will cover governance and executive management structures and functions of all 16 CRPs including the Genebanks Research Program. It will document and assess for each CRP:

- **how clearly the roles and responsibilities in decision making are articulated and carried out in practice** (including gaps, overlaps, ambiguities and healthy complementarities) with respect to:
(i) Scientific direction and management; (ii) Resource mobilization; (iii) Budget and financial management; and (iv) Human Resource Management by:
 - The Fund Council and Consortium Board and their respective secretariats;
 - The Lead Center Board, Trustees and senior management;
 - The Boards and senior managements of participating Centers in addition to the Lead Centers;
 - Other participating partners;
 - The CRP management, any internal CRP committee and any external CRP governing, guidance or advisory body;
 - Oversight functions internal and external (Audit, RBM, Monitoring, Evaluation).
- **positive and negative features of existing arrangements particularly as they affect:**
 - The strategic direction and coherence of the CRP;
 - The efficiency, relevance and effectiveness of research;
 - Effective external communication and resource mobilization;
 - Inclusiveness of stakeholders;
 - Conflict avoidance and resolution;
 - The minimization of risks and transparency on (scientific, financial and human resources) consistent with efficient and effective functioning;
 - Transparency on, and minimization of, conflict of interest;
 - Consistency with recognized good practice.

A preliminary checklist of issue areas is provided as Annex 1 to the ToRs. A detailed matrix of questions will be developed in Phase 1 of the Review.

4. Approach and methodology³

The Review references the criteria of: legitimacy; accountability; responsibility; fairness; transparency; and efficiency⁴. In doing so the Review adopts a results-based standpoint, i.e. to what

³ The definitions and criteria contained in “Sourcebook for Evaluating Global and Regional Partnership Programs – Indicative Principles and Standards” (2007) IEG World Bank and DAC Network on Development Evaluation and DAC Network on Development Evaluation and “Principles of Corporate Governance” (2004) OECD will be applied.

⁴ Sources see footnote 4

extent are the governance and management practices put in place for CRPs contributing to the effective and efficient delivery of appropriate research and capacity development outputs, while meeting international good standards of practice, including fiduciary and risk minimization standards.

Phase 1 of the Review (June to mid-July) will produce a report covering:

- An overview of the Governance and Executive Management structures and functions in the CRPs, looking at:
 - The structures and arrangements which have been developed and put in place for the CRPs
 - The role and responsibilities within these structures.

This phase will include telephone interviews with primary stakeholders but will be principally based on written materials, including the report in final or in draft of Phase 2 of the Governance Review (the present Review will deepen the findings from the Governance Review). It will result in a preliminary summary of the new arrangements for CRPs and their correspondence to recognized good practice.

- A detailed matrix of priority issues, specific questions and the methods to develop the findings, lessons and recommendations to be covered in Phase 2.

The Phase 1 report will be peer reviewed by external senior evaluators.

Phase 2 of the Review (mid-July to mid-October) will address the priority questions developed during Phase 1 and will triangulate evidence, with application of the above reference criteria on implementation in practice and what are the implications for delivery and effectiveness.

Methods for this stage are likely to include, structured questionnaires and extensive telephone interviews against check lists shared with the interviewees beforehand. It may include mini-case studies of practices which contain lessons (positive or negative). Particular questions may also be posed to the evaluation team conducting the evaluation of CRP6 to both avoid duplication and gain insights from their in-depth work on that CRP. As this stage, the work is concentrated on what actually happens in practice, much of its findings will be based on perceptions. These will be vigorously triangulated for a number of sources in each interest (stakeholder) group and differences of perception between these groups will be identified.

Phase 2 of the Review will result in a comprehensive Draft Report.

Phase 3 of the Review (mid-October to mid-November) will include discussion of the draft report, in particular its main findings, lessons and recommendations in a **workshop** with representatives of all primary stakeholders. This workshop will serve to:

- ground-truth the report findings;
- begin thinking on and dissemination of lessons and recommendations;
- consider desirable follow-up steps

There will also be the possibility for written comments from all primary stakeholders and these may be followed-up with telephone consultations.

Following the workshop the report of the Review will be finalized, including suggestions on the modalities and need for a considered formal response by the various primary stakeholder fora (Consortium - Board, CRPs and Centers - and FC) and any further requirements to disseminate and/or further develop the lessons.

5. Roles and Responsibilities

a. Review Team

The Review will be carried out by a Senior Expert with solid experience in evaluation and international experience and recognition on non-profit governance and management systems. The Senior Expert will work under the supervision of the CGIAR-IEA Head and will have final responsibility for the report and all findings and recommendations, subject to adherence to the IEA Evaluation Standards.

Senior Expert will be supported throughout the review by the IEA Head and by a junior research assistant (IEA) who will provide support to search, facilitate and coordinate information requirements, prepare synthesis of information, conduct preliminary analysis and arrange schedules.

b. IEA

The IEA will be responsible for:

- Planning, and managing the Review, including appointment of the Senior Expert;
- Provision of administrative and logistic support;
- Quality control of the evaluation process and outputs. In this it will receive inputs from a small group of peer reviewers;
- Organizing the workshop;
- Making the report and intermediate outputs publically available;
- Supporting such follow-up processes as may be agreed.

6. Consultation and participation of stakeholders

While maintaining independence, the Review will be carried out with a highly consultative approach, which seeks the views and assessments of all stakeholders. The methodology, in particular for Phase 2 builds this in as an integral part of the information gathering methodology and an essential role is played in Phase 3 by the workshop.

7. Work Schedule and Responsibilities

Activity	Main Responsibility	Deliverables	Estimated deadline
Preparatory phase	IEA	Assembly of reference material Final ToRs Recruitment of Senior consultant Identification of peer reviewers	End May 2013
Phase 1 - Desk assessment and development of detailed approach	Senior Consultant	Phase 1 Report including: <ul style="list-style-type: none">• detailed matrix for issues/questions and means of evidence assembly and verification• Plan for completion of Review	Mid-July 2013
Phase 2 - Survey and Analysis	Senior Consultant	Draft Report of the Review	Mid October 2013
Phase 3 - Consultations including Workshop and Final Report	Senior Consultant	Workshop summary Summary of other consultations on Draft Report Final Report of the Review	Mid November
Follow-up	IEA		To be determined

Annex 1 Check List of Potential Issue Areas

It is envisaged that Phase 1 of the Review will allow identification of issue areas for greater concentration, while retaining a comprehensive perspective.

External Governance (Governance Bodies and their secretariats)

Strategic direction:

To what extent do the governance arrangements:

- provide the necessary leadership that optimizes the use of financial, human social and technological resources of the program?
- provide a clear vision for the CRP, including reviewing and approving strategic documents?
- foster efficient and independent decision-making and oversight⁵ concerning scientific directions, including seeking up-to-date scientific and technical advice?
- allow for transparent procedures with regards to resource allocation among CRPs
- ensure program coherence among the participating Centers and other partners?
- foster a focus on impacts for ultimate beneficiaries.

Oversight of Management

To what extent do the governance arrangements provide for adequate monitoring of:

- program implementation throughout the participating Centers' partnerships?
- managerial performance and promote high performance and efficient processes?
- compliance with all applicable rules and regulations of the Consortium as well as the Lead Center and internationally recognized good practice?

Stakeholder participation

To what extent do the governance arrangements:

- reflect a fair and equitable representation of participating Centers and other partners in governance?
- effectively involve partners and country-level stakeholders in the formulation of the research agenda?
- ensure adequate consultation, communication, transparency and disclosure in relation to CRP stakeholders that do not take part in governance?

Efficiency

To what extent do governance arrangements:

- impose disproportionate direct costs on CGIAR bodies and/or participants in the organs of governance?
- contain duplication of responsibilities?
- lack clarity on responsibilities?
- have gaps in competencies?
- have clarity on the division of responsibilities between governance bodies and executive management?
- reflect an appropriate division of responsibilities between governance bodies and executive management, including for oversight, for policy and strategic direction and for advice?

Risk management

To what extent do the governance arrangements:

- provide for a clear policy for identifying and managing all forms of risk including scientific, reputational, human resource and efficiency risk?
- provide adequate financial oversight and risk assessment for CRP activities?
- ensure that work-plans and budgets are commensurate with available financial and human resources?
- support resource mobilization to complement funding from W1 and W2?

Conflict management

To what extent do the governance arrangements:

- monitor and manage the potential conflicts of interest of members of the CRP governing bodies and management staff?
- identify and address perceived or real conflicts of interest among the participating centers and between CRP Management and Centers' management and boards?

Competence of governance bodies

To what extent do the governance arrangements:

- have an appropriate mix of competencies among members?
- sufficiently represent stakeholders?
- have the necessary levels of competency among members?

CRP Appraisal, RBM-monitoring, Audit and Evaluation

Do (or can they be expected to as they develop) - the internal and external appraisal, RBM monitoring evaluation and audit functions:

- provide adequate assurance to governing bodies?
- foster efficiency and effectiveness?
- themselves have clarity on roles and functions which minimize duplication and maximize synergies? ?

Executive Management

Program planning

- to what extent are arrangements, strategic, efficient, transparent and inclusive?
- provide adequate basis for external governance?

Program implementation and administrative efficiency

- well-functioning planning and coordination among the participating Centers, partners and CRP teams?
- flexible and transparent process for budget allocation within CRP and adjusting to program priorities and availability of funding?
- To what extent have the management structures introduced in the CRP ensure and maintain a lean administrative cost structure?
- Minimised transaction costs recognizing that costs tend to be higher during the launch period of collaborative program?
- Have clarity on paper and in practice of executive management roles?

Monitoring, Reporting internal review (including science review) and audit

Do systems and processes provide or can they be expected to provide:

- adequate basis for executive decision making, including in the areas discussed above of ensuring scientific excellence, risk management, avoidance and resolution of conflict, response to emerging challenges and uncertainties, etc?
- adequate basis for reporting to governing bodies?
- minimize transaction costs, including streamlining reporting requirements, and duplication and maximize synergies?
- foster a strategic results based perspective?

ANNEX 2: REVIEW FRAMEWORK (STATUS 25 SEPTEMBER 2013)

Key evaluation questions	Sub-questions	Sources of Information	Data Collection Methods
1. To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised? [E.g. development and approval of program and financial plans, resource mobilization and allocation, priority setting, monitoring and evaluation of results, risk management (e.g. audit), reporting.]	1.1. How well defined are the respective roles and responsibilities across governance and management bodies (including gaps, overlaps, ambiguities and healthy complementarities)?	Documentation CRP leaders	Desk review Interviews
	1.2. To what extent do defined roles and responsibilities reflect current good practice?	Consortium Office Executive Director Fund Office Executive Director	Interview Interview
	1.3. What are the weaknesses and strengths of the current assignment and exercise of roles and responsibilities?	Center Corporate Services Heads/Officers Center DGs CRP governance/oversight body members, incl. chairs	Interviews Interviews Online governance/oversight body survey
2. To what extent is governance/oversight of CRPs sufficiently independent, inclusive and transparent?	2.1. How balanced is the representation of Lead Centers, participating Centers and non-CG partners in CRP governance/oversight bodies?	Documentation CRP governance/oversight body members, incl. chairs	Desk review Online governance/oversight body survey
	2.2. If necessary, how could the involvement of non-CG partners be improved?	CRP program/research management staff and focal points, incl. CRP leaders (2.7.)	Online management survey (2.7.)
	2.3. To what extent are concerned regions represented?		
	2.4. To what extent is there an adequate mix of expertise in governance/oversight?		
	2.5. To what extent are women represented?		
	2.6. Are policies and practices in place to address conflicts of interest and conflicts? Are they being applied successfully?		
	2.7. To what extent are communications concerning policy development, planning and decision-making disseminated in a transparent, clear and timely fashion? What are frequently-faced communication challenges? What are lessons learned?		

3. To what extent do resource mobilization and resource allocation support effective planning and implementation?	3.1. How successfully are resources mobilized for CRPs?	Documentation	Desk review
	3.2. How are resources allocated to different CRPs (e.g. criteria, level, and timing)?	Financial reports CRP leaders	Desk review Interviews
	3.3. To what extent does the process support effective planning and implementation?	Consortium Office Executive Director Fund Office Executive Director	Interview Interview
	3.4. How are funding risks mitigated?	Center Corporate Services Heads/Officers Center DGs	Interviews Interviews
4. Are CRP governance and oversight structures and processes efficient?	4.1. To what extent do current structures result in higher than necessary costs for achieving results? If so, why?	Documentation CRP leaders	Desk review Interviews
	4.2. To what extent do current processes result in higher than necessary costs for achieving results? If so, why?	Center Corporate Services Heads/Officers	Interviews
	4.3. Are there opportunities for streamlining CRP governance/oversight structures and processes?	Center DGs CRP governance/oversight body members, incl. chairs	Interviews Online governance/oversight body survey
5. To what extent do CRPs have adequate resources to manage for results?	5.1. Do CRPs have adequate human resources for management and coordination?	Documentation CRP leaders	Desk review Interviews
	5.2. To what extent do women hold management/coordination roles in CRPs?	Center Corporate Services Heads/Officers	Interviews
	5.3. Do CRP leaders, program/research managers and focal points have clear ToR?	CRP program/research management staff and focal points, incl. CRP leaders	Online management survey
	5.4. Are there good management practices that build a sense of common purpose and internal accountability among CRP managers?		
	5.5. Do CRPs have the necessary financial resources for management and coordination?		
6. To what extent does	6.1. What is the CRP leader's role with respect to Lead Center	Documentation	Desk review

CRP management have the <i>authority</i> to manage for results?	management and governance/oversight?	CRP leaders	Interviews
	6.2. What is the CRP leader's role in the recruitment of key managers and evaluation of their performance?	Consortium Office Executive Director Fund Office Executive Director	Interview Interview
	6.3. What is CRP management's role in priority setting and monitoring of research performance?	Center DGs CRP program/research management staff and focal points, incl. CRP leaders	Interviews Online management survey
	6.4. What is CRP management's role in budgeting & resource allocation?		
7. Is CRP management efficient?	7.1. Is there a common definition of management costs?	Documentation	Desk review
	7.2. Are the full costs of CRP management evident and comparable across CRPs?	CRP leaders CRP program/research management staff and focal points, incl. CRP leaders	Interviews Online management survey
	7.3. To what extent does CRP management draw on existing Lead Center administrative services and to what extent is this efficient?		
	7.4. What is the scope for improving the efficiency of CRP management arrangements and processes?		

ANNEX 3: LIST OF DOCUMENTS REVIEWED

CGIAR Consortium documents

Overarching documents

- CGIAR Common Operational Framework
- CGIAR Monitoring Principles
- CGIAR Strategy and Results Framework (2011)
- CGIAR Performance and Funding Agreements

CGIAR Reporting:

- CGIAR Annual Reports (2012, 2011, 2010)
- CRP Portfolio Annual Progress Report (2012)
- Consortium Program of Work and Budget 2012
- Interim 2013 CGIAR Financing Plan

CGIAR meetings

- CGIAR Board Orientation Programme presentations (Jun 2013)
- CGIAR Donor meetings background documentation (Jun 2013)

Governance and management

- CGIAR Guidelines on Center Governance: Roles, Responsibilities and Accountability of Center Board (2007)
- CGIAR Consortium 2012 Reflections and 2013 Outlook: Accountability for Performance through Partnerships, prepared by Frank Rijsberman (Jan 2013)
- January 2013 Brief on Governance of CRPs, prepared by Ruben (Feb 2012)
- CGIAR Governance Workshop Summary (Dec 2012)
- Consultancy Service to Support Shared Location Services Strategy: Key Findings and Recommendations (2013)
- Consultancy on Common Administrative, Financial and Research Support Services in the new Consortium of the CGIAR Centres: Key Findings and Recommendations, Alliance Draft v7.0 (2009)

Financial reporting

- Draft recommendations from CRP Working Group on CRP annual financial reports
- Advisory Notes on FG2 application in Center (2013, 2012, 2011)
- FG 1: CGIAR Financial Management
- FG 2: CGIAR Accounting Policies and Reporting Practices Manual

- FG 4: Guidelines for preparing the 2010-2012 Medium-Term plans and the 2010 Financing Plans
- FG 5: CGIAR Cost Allocation Guidelines

Governance Review:

- CGIAR Governance Review Phase 2 Final Report: findings and recommendations (2013)
- CGIAR Governance Review, Phase 1 (2013)

CRP documents

CPR Proposal Process

- Guidance for CRP Second Call Version 2.1. (Sep 2013)
- CRP Proposal Documents (for all CRPs)
- ISPC Commentaries on Proposals (for all CRPs)
- A cross-CRP synthesis of the ISPC's observations on Management and Governance arrangements of CRP proposals (2011)

CRP reporting

- CRP Annual Reports (2012, 2010)
- CRP Financial Reports (mid2013, 2012)
-

CRP Governance and management

- Terms of Reference of governance and management committees (for all CRPs)
- Terms of Reference of CRP leaders (for all CRPs)
- Governance and Management Review of CGIAR Research Program Climate Change, Agriculture and Food Security (2013)

Center documents:

- Annual Reports (2012, 2011, 2010, 2009) (for all centers)

Challenge Programmes:

- Cross-Cutting observations based on the review of three CGIAR Challenge Programs (2008)

- The CGIAR.'s Challenge Program Experiences: A Critical Analysis. A contribution to Consortium and Mega-program design (2009)

Other references

- CGD Policy Paper 014: Governance of New Global Partnerships. Challenges, Weaknesses, and Lessons (2012)
- OECD Principles of Corporate Governance (2004)
- IEG/World Bank: Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards (2007)

ANNEX 4: LIST OF PERSONS INTERVIEWED/MET

Surname, Name	Org.	Position	By
Consortium leadership team (5 interviewees)			
Bocock, Piers	CGIAR	Director of Knowledge Management and Communication	MR
Ellul, Phillipe	CGIAR	Senior Science Officer	MR
Izac, Anne-Marie	CGIAR	Chief Science Officer	MR
Rijbsman, Frank	CGIAR	Chief Executive Officer	MR
Porcari, Enrica	CGIAR	Head of Shared Services	SZ
Fund Council Office (1 interviewee)			
Wadsworth, Jonathan	CGIAR	Executive Secretary	MR
Donors/Fund Council members (8 interviewees)			
Althofer, Juergen	EIARD	Executive Secretary	MR
Chiverton, Philip	EIARD	CGIAR Fund Council Member for Sweden	MR
Dixon, John	ACIAR	Principal regional coordinator, South Asia & Africa	MR
Lantin, Manny	World Bank	CGIAR Secretariat	MR
Robertson, Susan	IDRC	Program Officer	MR
Rumbaitis del Rio, Cristina	Rockefeller	Associate Director	MR
Van Gilst, Daniel	EIRAD	CGIAR Fund Council Member for Norway	MR
Witte, Eric	USAID	Senior International Affairs Specialist	MR
Center level			
Center DGs and designates (15 interviewees)			
Anderson, Pamela	CIP	Director General	MR
Bird, Jeremy	IMWI	Director General	MR
Dar, William D.	ICRISAT	Director General	MR
Echeverria , Ruben	CIAT	Director General	MR
Fan, Shenggen	IFPRI	Director General	MR
Frison, Emilie	Bioversity	Director General	MR
Hall, Stephen	World Fish	Director General	MR
Hillber, Ylva	ITTA	Deputy Director General	MR
Holmgren, Peter	CIFOR	Director General	MR
Lumpkin , Thomas	CIMMYT	Director General	MR
Solh, Mahmoud	ICARDA	Director General	MR
Simons, Tony	ICRAF	Director General	MR
Smith, Jimmy	ILRI	Director General	MR
Wopereis, Marco	AfricaRice	Deputy Director General	
Zeigler, Robert	IRRI	Director General	MR
Center finance staff (20 interviewees)			
Abeysekera, Laksiri	ICRAF	Deputy Director General Finance and Corporate Services	SZ

Agrawal, Rajesh	ICRISAT	Assistant Director General	SZ
Alonso, Carlos	World Fish	Chief Financial Officer	SZ
Bansal, Supriya	ICRISAT	Financial Controller / Head	SZ
Fields, James	IFPRI	Controller. Division: Finance & Administration	SZ
Gatoru, Ernest	ICRAF	Head of Budgets, Reporting and Regions	SZ
Gavino, German	IFPRI	Chief Accountant. Division: Finance & Administration	SZ
Gerber, Michael	CIP		SZ
Governey, David	IFPRI	Director of Finance and Administration	SZ
Herremans, Anna	CIMMYT	International Finance Director	SZ
Hubscher, Albin	CIAT	Deputy Director General, Corporate Services	SZ
Jhunjhunwala, Sunil	IRRI	Controller	SZ
Khisty, Amol	IWMI	Director of Finance & Administration	SZ
Lopez, Erwin	ICARDA	Director of Finance	SZ
Malari, Sally	CIMMYT	Programme Administrator, Finance Officer for CRPs	SZ
Medina, Richard	CIMMYT	Director of Internal Audit	SZ
Sholola, Shalewa	IITA	Director of Finance	SZ
Tovar, Jose Ramiro	CIMMYT	Reporting and Analysis Manager	SZ
Tumuluru, Kumar	CIFOR	Director of Finance and Administration	SZ
Van Waadenburg, Martin	ILRI	Director, Corporate Services	SZ
Center Board Chairs¹ (4 interviewees)			
Collins,Wanda	CIAT	Chair of CIAT Board of Trustees	MR
Coulman, Bruce	IITA	Chair of IITA Board of Trustees	MR
Poole, Nigel	ICRISAT	Chair of ICRISAT Board of Trustees	MR
Sibanda, Lindiwe Majele	ILRI	Chair of ILRI Board of Trustees	MR
CRP level			
CRP Leaders (18 interviewees)			
Atta Krah , Kwesi	Humidtropics	Director	MR
		DDG Research and Patnerships,	MR
Banziger, Marianne	Maize, Wheat	CIMMYT	
Bouman, Bas	GRiSP	Director	MR
		Deputy Executive Director, Global Crop	MR
Bramel, Paula	Genebanks	Diversity Trust	
Brooks, Karen	PIM	Director	MR
Campbell, Bruce	CCAFS	Director	MR
Dugan, Patrick	AAS	Director	MR
Ellis, Noel	Dryland Cereals	Director	MR
	Grain Legumes	Acting Director	MR
Hoisington , David	Dryland Cereals		
Kommerell , Victor	WHEAT	Program Manager	MR

¹ Three of the Center Board Chairs were interviewed after the first draft report was circulated in Feb 2014.

McDermott, John	A4NH	Director	MR
Nasi, Robert	FTA	Director	MR
Noble, Andrew	WLE	Director	MR
Payne, William	Dryland Systems	Director	MR
Randolph, Thomas	L&F	Director	MR
Sivasankar, Shoba	Dryland Cereals	Director	MR
Thiele, Graham	RTB	Director	MR
Watson, Dave	MAIZE	Program Manager	MR

Source: Review team.

ANNEX 5: GOVERNANCE SURVEY RESULTS

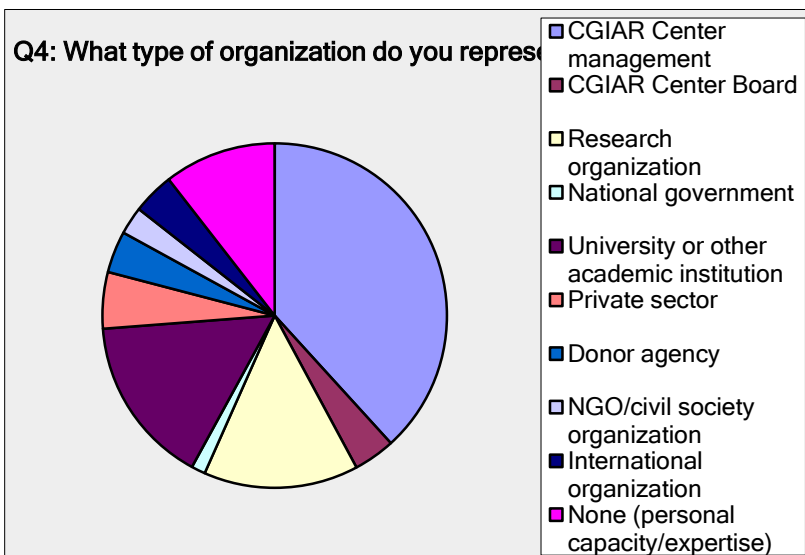
A. Introduction

Responses were collected during the month of October 2013 from individuals identified by the review team with the help of CRPs as members of CRP governance bodies.

B. Survey participation

Out of a total of 185 individuals identified as CRP governance body members, a total of 157 individuals were successfully invited to participate in the survey, 76 of which responded. In total, a response rate of 48.4% was achieved.

Q4: Of the 76 survey participants, 29 respondents indicated that they represented “CGIAR Center management”, thus creating the largest group of respondents (38.2% of respondents). 12 respondents completed the survey as “university or other academic institution” (15.8%); 11 responded as “research organization” (14.5%). The remaining 24 respondents (31.6%) represent CGIAR Center Boards (3), national governments (1), the private sector (4), donor agencies (3), NGO/civil society organizations (2), international organizations (3) or simply themselves (8).



Q4: What type of organization do you represent?		
Answer Options	Response Percent	Response Count
CGIAR Center management	38.2%	29
CGIAR Center Board	3.9%	3
Research organization	14.5%	11
National government	1.3%	1

University or other academic institution	15.8%	12
Private sector	5.3%	4
Donor agency	3.9%	3
NGO/civil society organization	2.6%	2
International organization	3.9%	3
None (personal capacity/expertise)	10.5%	8
<i>answered question</i>		76

Q6: Three quarters (75%) of all respondents are male. Of the 19 women respondents, 8 represent the category “CGIAR Center management”.

Q6: What is your gender?		
Answer Options	Response Percent	Response Count
Female	25.0%	19
Male	75.0%	57
<i>answered question</i>		76

C. Survey coverage

Responses to the survey were received concerning all 15 CRPs, with the highest counts for Livestock and Fish (14 responses) and Aquatic Agricultural Systems (10 responses). Only one response each was received for Roots, Tubers and Bananas; Nutrition and Health; and Forests, Trees and Agroforestry. Others range somewhere in between.

D. Roles, responsibilities and accountabilities¹

Findings:

- CRP governance bodies are mostly experienced as advisory to *CRP management*.
- With few exceptions, respondents consider their respective CRP governance bodies to *play a role* in different aspects of CRP governance.
- According to respondents, the importance of roles played differs considerably, but tends to be less than a leading role.
- Comments received indicate that a lack of agreement on and unclear roles, responsibilities, relationships and accountability have the potential to negatively affect efficiency and effectiveness of CRP governance.

Q7: Some three quarters of respondents (74.3%) representing 14/15 CRPs indicated that “their” CRP governance body was principally advisory to CRP management. The remainder, partly representing the same CRPs, has different perceptions.

Q7: The CRP governance body is principally:		
Answer Options	Response Percent	Response Count
Advisory to CRP management	74.3%	55
Advisory to the Lead Center’s Director-General	10.8%	8
Advisory to the Lead Center board	14.9%	11
<i>answered question</i>		74

¹ Key evaluation question 1: To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?

Q8: CRP governance body members consider themselves to play a role in program and financial planning, setting research priorities, mobilizing and allocating financial resources, monitoring and evaluation, and managing risks, albeit to different extents. Depending on the sub-question, most responses either describe the role of CRP governance bodies as “active, but not leading” or “limited to a consultative role”.

This, however, does not allow for findings regarding the roles of individual or groups of CRPs. For instance, in the case of Livestock and Fish (14 responses), half or the majority of respondents consider their governance body to play a leading role in managing risks on the one hand and program and financial planning on the other, and otherwise to play an active role. In the case of Aquatic Agricultural Systems (10 responses), respondents generally found their governance body to play a limited to consultative role.

9 respondents from 6 CRPs are of the view that their respective CRP governance bodies play no role in mobilizing and allocating financial resources. 8 respondents from 4 CRPs think it too early to judge whether their respective CRP governance bodies play a role in monitoring & evaluation; 9 respondents from 6 CRPs say the same about managing risks.

Q8: The CRP governance body plays a role in....							
Answer Options	Leading role	Active role (but not leading)	Limited to consultative role	Not applicable/no role	Too early to judge	No opinion	Response Count
program and financial planning	23 (31.5%)	15 (20.5%)	25 (34.2%)	3 (4.1%)	6 (8.2%)	1 (1.4%)	73
setting research priorities	17 (23.6%)	27 (37.5%)	24 (33.3%)	0 (0.0%)	4 (5.6%)	0 (0.0%)	72
mobilizing and allocating financial resources	11 (15.3%)	19 (26.4%)	26 (36.1%)	9 (12.5%)	6 (8.3%)	1 (1.4%)	72
monitoring and evaluation	12 (16.2%)	27 (37.5%)	25 (34.2%)	1 (1.4%)	8 (10.8%)	1 (1.4%)	74
managing risks	13 (18.3%)	17 (23.6%)	25 (34.2%)	5 (7.0%)	9 (12.5%)	2 (2.8%)	71
<i>answered question 74</i>							

Open-ended: A number of respondents commented on the need for agreement and more clarity on individual and structural roles, responsibilities, relationships and accountability for improving the efficiency/effectiveness of CRP governance. Concrete suggestions to this effect include: i) developing “contracts” between different bodies; ii) developing “Responsibility Assignment Matrices”²; iii) crafting clear ToR; iv) holding briefings/induction programs for new members of governance bodies; and vi) setting up a virtual space for exchange between board members.

² http://en.wikipedia.org/wiki/Responsibility_assignment_matrix.

E. Independence and inclusiveness³

Finding:

- Overall, CRP governance is sufficiently independent and inclusive of essential skills, CRP target regions and women.

Q9: A vast majority of respondents (83.8%) representing all CRPs “agree” or “tend to agree” that efforts have been made to ensure adequate representation of non-CGIAR partners in CRP governance. Of the three largest respondent groups, 75% of CGIAR Center management, 72.7% of research organization and 91.6% of academic institution representatives were of this opinion. Excluding CGIAR Center management representatives, the largest group of respondents, a similar high percentage of the remaining respondents (89.2%) “agrees” or “tends to agree” that non-CGIAR partners are adequately represented.

Q9: Efforts have been made to ensure an adequate representation of non-CGIAR partners in CRP governance

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	44 (59.5%)	18 (24.3%)	6 (8.1%)	0 (0.0%)	5 (6.8%)	1 (1.4%)	74
Without CGIAR Center management	28 (60.9%)	13 (28.3%)	2 (4.3%)	0 (0.0%)	2 (4.3%)	1 (2.2%)	46

Q10: A majority of respondents (70.2%) representing 13/15 CRPs “agree” or “tend to agree” that efforts have been made to ensure an adequate representation of CRP target regions in CRP governance. Excluding CGIAR Center management representatives, a similarly high percentage (71.9%) “agrees” or “tends to agree” that CRP target regions are adequately represented.

Q10: Efforts have been made to ensure an adequate representation of CRP target regions in CRP governance.

³ Key evaluation question 2: To what extent is governance of CRPs sufficiently independent, inclusive and transparent?

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	32 (43.2%)	20 (27.0%)	9 (12.2%)	5 (6.8%)	4 (5.4%)	4 (5.4%)	74
Without CGIAR Center management	20 (43.5%)	13 (28.3%)	5 (10.9%)	2 (4.3%)	3 (6.5%)	3 (6.5%)	46

Q11: A vast majority of respondents (89.2%) representing 14/15 CRPs “agree” or “tend to agree” that efforts have been made to ensure an adequate mix of expertise in CRP governance. Excluding CGIAR Center management representatives, a similarly high percentage (89.1%) “agrees” or “tends to agree” that CRP governance benefits from adequate mix of expertise.

Q11: Efforts have been made to ensure an adequate mix of expertise in CRP governance.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	43 (58.1%)	23 (31.1%)	2 (2.7%)	1 (1.4%)	2 (2.7%)	3 (4.1%)	74
Without CGIAR Center management	26 (56.5%)	15 (32.6%)	1 (2.2%)	1 (2.2%)	2 (4.3%)	1 (2.2%)	46

Q12: Almost three-quarters of respondents (73.0%) representing 14/15 CRPs “agree” or “tend to agree” that efforts have been made to ensure adequate representation of women in CRP governance. 14/18 female respondents representing 10 CRPs were also of this opinion. Excluding CGIAR Center management representatives, a similarly high percentage (71.8%) “agrees” or “tends to agree” that women are adequately represented in CRP governance.

Q12: Efforts have been made to ensure an adequate representation of women in CRP governance.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	33 (44.6%)	21 (28.4%)	7 (9.5%)	4 (5.4%)	3 (4.1%)	6 (8.1%)	74
Without CGIAR Center management	24 (52.2%)	9 (19.6%)	4 (8.7%)	2 (4.3%)	2 (4.3%)	5 (10.9%)	46

F. Transparency⁴

Findings:

- **Disputes/conflicts, including conflicts of interest, are not a major issue for CRP governance body members.**
- **Where already possible to say, communication to and from CRP governance bodies and their members functions smoothly with minor hiccups.**

Q13-Q16: Almost half of the respondents (47.3%) are not aware of a policy or practices that address potential conflicts of interest within their respective CRP governance bodies. Almost two-thirds (64.9%), representing 13 CRPs, are not aware of having been asked to advise on or resolve a dispute or conflict with respect to a decision within the CRP. Only 11 respondents (14.9%), partly representing the same CRPs, confirm having been involved in solving in at least one dispute/conflict. Of these 11 personal experiences, 5 concerned dispute over research priorities and 6 over CRP financial matters. 5 respondents consider the dispute/conflict in question successfully resolved; another 5 consider it too early to judge.

Q13: Are you aware of a policy or practices that address potential conflicts of interest within the CRP governance body?		
Answer Options	Response Percent	Response Count
Yes	36.5%	27
No	47.3%	35
Not sure	16.2%	12
<i>answered question</i>		74
Q14: Has the CRP governance body ever been asked to advise on or resolve a dispute or conflict with respect to a decision within the CRP?		
Answer Options	Response Percent	Response Count

⁴ Key evaluation question 2: To what extent is governance of CRPs sufficiently independent, inclusive and transparent?

Yes, one or more	14.9%	11
No, never	64.9%	48
Not sure	20.3%	15
<i>answered question</i>		74

Q15: Please think about the most severe dispute/conflict. What kind of dispute/conflict was it?

Answer Options	Response Percent	Response Count
Dispute over research priorities	45.5%	5
Dispute over CRP financial matters	54.5%	6
Dispute over conflicts of interest	0.0%	0
<i>answered question</i>		11

Q16: The dispute/conflict was resolved successfully.

Answer Options	Response Percent	Response Count
Yes	45.5%	5
No	0.0%	0
Not sure	9.1%	1
Too early to judge	45.5%	5
<i>answered question</i>		11

Q17: Three-quarters of respondents (75.7%) representing 14 CRPs “usually” receive clear and timely information and communications on matters relevant to their task. 71.8% of non-CGIAR Center management representatives “usually” receive clear and timely information/communications. 11 individuals from 6 CRPs find it too early to judge, 10 of which from outside the CGIAR system.

Q17: CRP governance body members receive clear and timely information and communications on matters relevant to their task.

Answer Options	Response Percent	Response Count	Without CGIAR Center management
Usually	75.7%	56	33 (71.8%)
Only sometimes	5.4%	4	1 (2.2%)
Unfortunately not	4.1%	3	2 (4.3%)
Too early to judge	14.9%	11	10 (21.8%)
<i>answered question</i>		74	46

Q18: At the same time, two-thirds of respondents (66.2%) representing 14 CRPs are of the opinion that outcomes of their deliberations are “usually” communicated in a clear and timely manner. 14 individuals from 6 CRPs find it too early to judge.

Q18: Outcomes of deliberations within the CRP governance body are communicated in a clear and timely manner.

Answer Options	Response Percent	Response Count
Usually	66.2%	49
Only sometimes	10.8%	8
Unfortunately not	2.7%	2
Too early to judge	18.9%	14
No opinion	1.4%	1
<i>answered question</i>		74

G. Efficiency of CRP governance and oversight⁵

Findings:

- Based on experience to date, respondents, and particularly from outside the CGIAR system, tend to question the advantages of multiple CRP governance bodies.
- Comments received also point to inefficiencies due to the numerous levels of CGIAR governance.
- Where already possible to judge, the size of individual CRP governance bodies is considered adequate.
- Time devoted to CRP governance is considered well spent; non-CGIAR respondents are somewhat more cautious in their statements.
- Comments received indicate that CRP governance body meetings and exchanges among members could be better organized.

Q19: Of those survey respondents voicing an opinion on the justification of multiple CRP governance bodies, more are critical (30) than supportive (23). Of the critical voices, 36.7% stem from within the CGIAR system and 63.6% from partners.

Q19: Where applicable, the establishment of more than one CRP governance body is justified by higher quality and more effective oversight.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	8 (11.0%)	15 (20.5%)	13 (17.8%)	17 (23.3%)	10 (13.7%)	10 (13.7%)	73
Without CGIAR Center management	3 (6.5%)	8 (17.4%)	11 (23.9%)	8 (17.4%)	8 (17.4%)	8 (17.4%)	46

Open-ended: Several respondents refer to the overall CGIAR governance structure as the reason for inefficiencies. As one respondent wrote: “The total level of CRP governance - ranging from the Consortium, the lead Center and the specific CRP governance bodies - far exceeds what is needed to manage the level of Window 1/2 funded annual activities. Surely there is a simpler structure that avoids the current level of duplication and wasted resources”.

Q20: Two-thirds of all respondents (67.1%) representing 14 CRPs are clearly of the opinion that the size of their respective CRP governance bodies adequately balances efficiency with the need to be sufficiently representative and inclusive. 17 respondents (23.3%), 13 of which from outside the CGIAR system, find it

⁵ Key evaluation question 4: Are CRP governance and oversight structures and processes efficient?

too early to judge. Excluding CGIAR Center management representatives, a similarly percentage (67.4%) of respondents is happy with the size of CRP governance bodies.

Q20: The size of the CRP governance body adequately balances efficiency with the need to be sufficiently representative and inclusive.			
Answer Options	Response Percent	Response Count	Without CGIAR Center management
Yes	67.1%	49	31 (67.4%)
No, the CRP governance body should be smaller	5.5%	4	0 (0.0%)
No, the CRP governance body should be bigger	4.1%	3	2 (4.3%)
Too early to judge	23.3%	17	13 (28.3%)
<i>answered question</i>		73	46

Q21: Over three-quarters of respondents (78.1%) representing all CRPs “agree” or “tend to agree” that their time devoted to overseeing and/or advising the CRP is well spent. Excluding CGIAR Center management representatives, a somewhat lower percentage of the remaining respondents (67.4%) “agrees” or “tends to agree” that their time is well spent. 12 respondents, all of which from outside the CGIAR system, feel it too early to judge.

Q21: My time devoted to overseeing and/or advising the CRP is well spent.							
Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	31 (42.5%)	26 (35.6%)	2 (2.7%)	1 (1.4%)	12 (16.4%)	1 (1.4%)	73
Without CGIAR Center management	18 (39.1%)	13 (28.3%)	2 (4.3%)	0 (0.0%)	12 (26.1%)	1 (2.2%)	46

Open-ended: A number of survey participants refer to how meetings are organized as a way to improve the efficiency/effectiveness of CRP governance. Suggestions include: i) restricting the number of face-to-face meetings; ii) making good use of virtual information and communication technologies, e.g. Dropbox, intranet, Skype, and audio-/videoconferencing; iii) organizing meetings back-to-back with other internal/external events; iv) joint sessions with management committees; v) organizing meetings in program countries; and vi) better planning, preparation (incl. documentation) and chairing of meetings.

ANNEX 6: MANAGEMENT SURVEY RESULTS

A. Introduction

Responses were collected during the month of October 2013 from individuals identified by the review team with the help of CRPs as CRP leaders, CRP programme/management staff and CRP focal points.

B. Survey participation

Out of a total of 313 individuals identified, a total of 243 CRP leaders, CRP programme/management staff and CRP focal points were successfully invited to participate in the survey, 146 of which responded. In total, a response rate of 60.1% was achieved.

Q3: 70 respondents indicated their belonging to the category “CRP programme/management staff”, thus creating the largest group of respondents (47.9% of respondents). 39 respondents completed the survey as “CRP focal points” (26.7%). 15 responded as “CRP leaders” (10.3%). 22 respondents considered themselves as “other” (15.1%).

Q3: What is your position within the selected CRP?		
Answer Options	Response Percent	Response Count
CRP leader	10.3%	15
CRP program/management staff	47.9%	70
Focal point	26.7%	39
Other	15.1%	22
<i>answered question</i>		146

Q4: The percentage of time spent on CRP management/coordination varies greatly amongst respondents with around one fourth of respondents spending up to 20%, another fourth between 21 and 40%, and yet another fourth between 81 and 100% of their time. 12/15 CRP leaders belong to the latter group.

Q4: On average, what percentage of your time do you spend on management/coordination within the selected CRP?		
Answer Options	Response Percent	Response Count
0-20%	27.4%	40
21-40%	23.3%	34
41-60%	16.4%	24
61-80%	6.2%	9
81-100%	26.7%	39
<i>answered question</i>		146

Q5: Three quarters of the survey respondents (74.0%) were employed by a CGIAR Center at the time of their recruitment. 9/15 CRP leaders were CGIAR Center staff.

Q5: Were you employed by a CGIAR Center at the time of your recruitment?		
Answer Options	Response Percent	Response Count
Yes	74.0%	108
No	26.0%	38
<i>answered question</i>		146

Q6: Two thirds of all respondents to the survey (65.8%) were male. Of the 50 women respondents, 30 belong to the category “programme/management staff”, 8 are “focal points”, 9 “others”, and 3 belong to the category CRP leaders.

Q6: What is your gender?

Answer Options	Response Percent	Response Count
Female	34.2%	50
Male	65.8%	96
<i>answered question</i>		146

C. Survey coverage

Responses to the survey were received concerning all 15 CRPs, with the highest counts for Climate Change, Agriculture and Food Security (19 responses) and Water, Land and Ecosystems (18 responses); the lowest counts for the Global Rice Science Partnership (1 response), Wheat (4 responses) and Maize (5 responses).

D. Resources for managing for results¹

Findings:

- Overall, CRPs benefit from adequate human resources; the availability of sufficient financing is more critical.
- The process for allocating W1 and W2 funds has considerable flaws that affect CRP management.

Q7: A vast majority of respondents (80.1%) “agree” or “tend to agree” that adequate skills and expertise are available to manage the CRP effectively. 11/15 CRP leaders belong to this group.

Q7: Adequate skills and expertise are available to manage the CRP effectively.

¹ Key evaluation question 5: To what extent do CRPs have adequate resources to manage for results?

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	60 (41.1%)	57 (39.0%)	15 (10.3%)	5 (3.4%)	9 (6.2%)	0 (0.0%)	146

Open-ended: If respondents were to be given the possibility to access additional human resources, choices would include communication specialists, gender experts, a deputy CRP leader, “thematic leaders”, administrative support, and more researchers on the ground.

Q11: A majority of respondents (64.3%) “agree” or “tend to agree” that sufficient financial resources are available to manage the CRP effectively. 9/15 CRP leaders belong to this group.

Q11: Sufficient financial resources are available to manage the CRP effectively.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	44 (30.1%)	50 (34.2%)	24 (16.4%)	13 (8.9%)	8 (5.5%)	7 (4.8%)	146

Open-ended: In this context and in terms of improving the efficiency/effectiveness of CRP management, respondents commented on the disadvantages of i) the short notice of calls for new proposals; ii) unclear decision-making regarding funding commitments and carryovers; iii) the annual funding cycle and late funding allocations; iv) unpredictable and fluctuating W1 and W2 funding; v) and CGIAR centers’ perceived preference to fundraise for themselves rather than for CRPs.

E. Roles, responsibilities and accountability²

Findings:

² Key evaluation question 1: To what extent are roles, responsibilities and accountabilities for CRP governance clearly defined and exercised?

- On the whole, CRP management staff are essentially clear about each others' roles and responsibilities; they feel part of CRP teams.
- Multiple accountabilities to CRPs and host CGIAR Centers/organizations are largely considered unproblematic.

Q8: Three quarters of the respondents (75.4%) “agree” or “tend to agree” that they are clear about the distribution of roles and responsibilities within CRP management, including their own. 11/15 CRP leaders belong to this group.

Q8: I am clear about the distribution of roles and responsibilities within CRP management, including my own.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	56 (38.4%)	54 (37.0%)	20 (13.7%)	12 (8.2%)	3 (2.1%)	1 (0.7%)	146

Q9: A vast majority of respondents (82.2%) “agree” or “tend to agree” that they feel part of a CRP team working towards shared goals. 12/15 CRP leaders belong to this group. Just below 10% of respondents feel more part of a CGIAR Center team.

Q9: I feel part of a CRP team working toward shared goals.

Answer Options	I agree	I tend to agree	I feel more part of a CGIAR center team	I do not feel part of any team	Too early to judge	Response Count
	75 (51.4%)	45 (30.8%)	14 (9.6%)	5 (3.4%)	7 (4.8%)	146

Q10: A vast majority of respondents (86.3%) “agree” or “tend to agree” that their roles and responsibilities within their CRP and CGIAR center/organization are compatible. 10/15 CRP leaders belong to this group.

Q10: My roles and responsibilities within the CRP and within my CGIAR center/organization are compatible.

Answer Options	I agree	I tend to agree	I tend to disagree	disagree	Too early to judge	Response Count
	79 (54.1%)	47 (32.2%)	12 (8.2%)	0 (0.0%)	8 (5.5%)	146

F. Authority for managing for results³

Findings:

- Overall, CRP management staff pronouncing a view perceive CRP leaders to have sufficient authority for managing for results.
- Within the group of CPR leaders there is mixed experience, with around half being more or less satisfied, depending on the particular management function.

Q12: A majority of respondents (75.7%) “agree” or “tend to agree” that the CRP leader has sufficient authority to manage and lead the CRP within the framework of its approved program plan and budget. 8 CRP leaders (53.3%) are also of this opinion.

Q12: The CRP leader has sufficient authority to manage and lead the CRP within the framework of its approved program plan and budget.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	74 (51.4%)	35 (24.3%)	20 (13.9%)	7 (4.9%)	6 (4.2%)	2 (1.4%)	144
CRP leaders	5 (33.3%)	3 (20.0%)	4 (26.7%)	2 (13.3%)	1 (6.7%)	0 (0.0%)	15

Open-ended: Without differentiating between management functions, a number of respondents remarked upon the dominance of lead center management in decision making, cumbersome decision-making structures/processes (“too many players”), and the plethora of (conflicting) interests as

³ Key evaluation question 6: To what extent does CRP management have the authority to manage for results?

important factors affecting the efficiency/effectiveness of CRPs. One respondent noted that the lack of authority for CRP leaders to take decisions ultimately results in the entrenchment of old views and ideas, the reinforcement of business as usual and upholding the status quo.

Q13: A majority of respondents (61.2%) “agree” or “tend to agree” that the CRP leader has sufficient discretion to recruit CRP program and research staff members. CRP leaders are somewhat less convinced: 8 CRP leaders belong to this group. Overall, around 10% of respondents lack an opinion.

Q13: The CRP leader has sufficient discretion to recruit CRP program and research staff members.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	44 (30.6%)	44 (30.6%)	21 (14.6%)	9 (6.3%)	11 (7.6%)	15 (10.4%)	144
CRP leaders	3 (20.0%)	5 (33.3%)	3 (20.0%)	3 (20.0%)	1 (6.7%)	0 (0.0%)	15

Q14: A narrow majority of respondents (54.9%) “agree” or “tend to agree” that the CRP leader is sufficiently involved in evaluating staff performance and determining any need for changes in assignment/employment. Similarly, only 8 CRP leaders (53.3%) are more or less agreeable. Overall, around 10% of respondents lack an opinion; a further 12.5% feel it too early to judge.

Q14: The CRP leader is sufficiently involved in evaluating staff performance and determining any need for changes in assignment/employment.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	39 (27.1%)	40 (27.8%)	20 (13.9%)	12 (8.3%)	18 (12.5%)	15 (10.4%)	144
CRP leaders	3 (20.0%)	5 (33.3%)	3 (20.0%)	3 (20.0%)	1 (6.7%)	0 (0.0%)	15

Q15: A majority of respondents (63.2%) “agree” or “tend to agree” that CRP management is adequately empowered to recommend changes of research priorities in order to achieve desired results. 10 CRP leaders (66.6%) belong to this group. Overall, 13.2% feel it too early to judge.

Q15: CRP management is adequately empowered to recommend changes of research priorities in order to achieve desired results.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	45 (31.3%)	46 (31.9%)	22 (15.3%)	6 (4.2%)	19 (13.2%)	6 (4.2%)	144
CRP leaders	5 (33.3%)	5 (33.3%)	3 (20.0%)	1 (6.7%)	1 (6.7%)	0 (0.0%)	15

Q16: A majority of respondents (63.2%) “agree” or “tend to agree” that CRP management is adequately empowered to manage budgets and allocate funds in order to achieve desired results. CRP leaders are somewhat less convinced: 8 CRP leaders (53.3%) belong to this group.

Q16: CRP management is adequately empowered to manage budgets and allocate funds in order to achieve desired results.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	41 (28.5%)	50 (34.7%)	27 (18.8%)	12 (8.3%)	12 (8.3%)	2 (1.4%)	144
CRP leaders	3 (20.0%)	5 (33.3%)	3 (20.0%)	3 (20.0%)	1 (6.7%)	0 (0.0%)	15

Q17: A narrow majority of respondents (59.8%) “agree” or “tend to agree” that CRP management arrangements provide for adequate monitoring of research performance and progress. 9 CRP leaders (60.0%) belong to this group. Some 18% of all respondents and a quarter of all CRP leaders find it too early to judge.

Q17: CRP management arrangements provide for adequate monitoring of research performance and progress.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	27 (18.8%)	59 (41.0%)	23 (16.0%)	4 (2.8%)	26 (18.1%)	5 (3.5%)	144
CRP leaders	3 (20.0%)	6 (40.0%)	2 (13.3%)	0 (0.0%)	4 (26.7%)	0 (0.0%)	15

G. Efficiency of management arrangements⁴

Findings:

- **Making use of lead centers’ administrative services helps to economize costs and time.**
- **Efforts to streamline and standardize reporting to CRPs/lead centers on the one hand and the Consortium on the other are recognized, but room for improvement is seen.**
- **Disproportionate transaction costs are an issue for many CRP management staff. Perceived reasons are meetings management; geographical dispersion; number of management layers; short planning, budgeting and reporting cycles; fund allocation process; and relationship between CRP and center managements.**
- **An emerging theme in connection with the efficiency and effectiveness of CRP management is collaboration between centers on the one hand and between CRPs on the other.**

Q18: To the extent applicable, more than half of the respondents find it efficient to a “large” or to “some” extent to draw on Lead Centers’ administrative services, and especially so for finance administration (76.4%) and general administrative services (73.6%). In the case of resource mobilization, some 11% find it too early to judge.

Q18: To what extent is drawing on the lead center's administrative services efficient for.....?

Answer Options	To a large extent	To some extent	Not much	Not at all	Too early to judge	Not applicable
Finance administration	73 (50.7%)	37 (25.7%)	14 (9.7%)	5 (3.5%)	11 (7.6%)	4 (2.8%)
General administration services	67 (46.5%)	39 (27.1%)	13 (9.0%)	4 (2.8%)	9 (6.3%)	12 (8.3%)
Human resources management	59 (41.0%)	35 (24.3%)	16 (11.1%)	9 (6.3%)	11 (7.6%)	14 (9.7%)
Research support	50 (34.7%)	39 (27.1%)	16 (11.1%)	10 (6.9%)	10 (6.9%)	19 (13.2%)

⁴ Key evaluation question 7: Is CRP management efficient?

Resource mobilization	42 (29.2%)	43 (29.9%)	22 (15.3%)	10 (6.9%)	16 (11.1%)	11 (7.6%)
Communications	54 (37.5%)	57 (39.6%)	10 (6.9%)	4 (2.8%)	10 (6.9%)	9 (6.3%)

answered question

Q19 & Q20: A majority of respondents “agree” or “tend to agree” that efforts to streamline and standardize CRP reporting are evident: 75.0% of respondents in the case of reporting to the CRP and lead centers and 68.1% in the case of reporting to the Consortium.

Q19: Efforts to streamline and standardize reporting to the CRP and lead center are evident.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	44 (30.6%)	64 (44.4%)	11 (7.6%)	7 (4.9%)	13 (9.0%)	5 (3.5%)	144

Q20: Efforts to streamline and standardize reporting to the Consortium are evident.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	40 (27.8%)	58 (40.3%)	15 (10.4%)	10 (6.9%)	6 (4.2%)	15 (10.4%)	144

Open-ended: A number of respondents commented on reporting as a cause of inefficiencies. They see the need to “minimize”, “reduce”, “streamline”, “standardize” and “automate” reporting, ensure consistency over time, simplify reporting guidelines, clarify reporting procedures, and extend reporting cycles. One respondent suggests consolidating templates for performance reporting and work plans and setting deadlines for providing feedback on reports. Another suggests compiling an annual calendar of reporting demands from the Consortium.

Q21: Views on transaction costs differ. Of those voicing an opinion (119 respondents), just over half (53.0%) “agree” or “tend to agree” that they are reasonable; the remainder (47.0%) “disagree” or “tend to disagree”. Some 10% of all respondents find it too early to judge.

Q21: Transaction costs incurred for managing the CRP are reasonable in relation to the CRP’s research outputs.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
	17 (11.8%)	46 (31.9%)	29 (20.1%)	27 (18.8%)	15 (10.4%)	10 (6.9%)	144

Open-ended: Reasons provided by respondents for disproportionate transaction costs and ineffective CRP management include: i) number/spacing of meetings and insufficient use of information and communication technologies; ii) geographic dispersion of team members; iii) short-term nature of planning, budgeting and reporting; iv) issues around funding (see above); vii) uncoordinated planning; viii) too many management layers and large/too many management committees/teams; and ix) tensions, insufficient interaction and unclear delineation of roles between CRP and center management. One respondent comments that “the amount of time spent on management has increased and the time for research has decreased”.

Open-ended: Another theme emerging in connection with the efficiency/effectiveness of CRP management arrangements is collaboration between Centers on the one hand and between CRPs on the other. Suggestions made include: i) appoint theme leaders to ensure thematic coherence across participating Centers; ii) align management approaches across CRPs; iii) regional rather than global collaboration; iv) establish an inter-center technical committee to provide oversight for R4D activities; v) reinforce an outcome orientation; vi) provide incentives such as funds for cross-center/cross-CRP collaboration and information sharing; vii) develop funding strategy that reduces competition between Centers and CRPs; viii) more involvement of participating centers in management; ix) more exchange of best practices; and ix) map common goals and regions of operation in view of creating synergies. Taking rather extreme positions, one respondent suggested reducing the number of CRPs and another clustering CRPs with similar mandates; yet another put forward the idea to merge Centers in order to achieve efficiency and effectiveness gains.

H. Transparency of governance/oversight bodies⁵

Finding:

- **Communications coming from CRPs are largely satisfactory, while communications from lead centers and the Consortium are less satisfying.**

⁵ Key evaluation question 2: To what extent is governance/oversight of CRPs sufficiently independent, inclusive and transparent?

Q22: Communications coming from CRPs regarding policy development, planning and decision-making seem most transparent, clear and timely: 78.5% of respondents “agree” or “tend to agree” with the statement; this is followed by communications from lead centers where 59.2% of respondents “agree” or “tend to agree”. Responses regarding communications from the Consortium are less clear: A narrow majority of respondents (50.4%) either “tend to agree” or “tend to disagree”. More respondents “disagree” than “agree”.

Q22: Communications regarding policy development, planning and decision-making are transparent, clear and timely.

Answer Options	I agree	I tend to agree	I tend to disagree	I disagree	Too early to judge	No opinion	Response Count
from the CRP	56 (38.9%)	57 (39.6%)	14 (9.7%)	9 (6.3%)	5 (3.5%)	3 (2.1%)	144
from the lead center	42 (29.6%)	42 (29.6%)	22 (15.5%)	13 (9.2%)	6 (4.2%)	17 (12.0%)	142
from the Consortium	14 (9.8%)	43 (30.1%)	29 (20.3%)	32 (22.4%)	6 (4.2%)	19 (13.3%)	143

ANNEX 7: OVERVIEW OF CRP GOVERNANCE BODIES: STRUCTURE AND INDEPENDENCE

Table 1 below provides an overview of these structures and assesses the extent to which a CRP has a governance structure in place that supports the CRP’s need for balanced oversight as well as the lead center’s board for its accountability for program performance.

In assessing whether independence was high, medium or low, the following criteria were used:

- the governance body included a majority of external or independent members
- the ToR included responsibilities for strategic oversight, including research priorities, resource allocations and evaluation of results
- there was a direct reporting relationship to the lead center board

It should be noted that the name of a committee was not a predictor of its role, and that some CRPs have multiple entities that were considered to play a governing role in a CRP.

CRP	Governance and advisory bodies	Reports to:	Rating of Independence:
Dryland Systems	Steering Committee Chair: DG, ICARDA 13 members, 1 DG LC, 3 DG PC Option to add LC board member <i>CRP Director (ex-officio)</i>	Lead center board through DG	Low Institutional representatives to the Steering Committee may change from meeting to meeting. Arrangements emphasize the superior position of the lead center.
	Independent Scientific Advisory Committee Chair: appointed from among committee members 4 external members, under contract (30-45 days per year)	Steering Committee	
	Research Management Committee <i>(not active at time of review)</i>		
Humidtropics	Independent Advisory Committee Chair: External member 8 members, <i>DG of LC and PC (ex officio)</i>	Lead center board	High
AAS	Program Oversight Panel Chair: External member 8 members One seat for LC rep (DG or board member), one for a PC	Lead center board	High
PIM	Science and Policy Advisory Panel Chair: External member 7 external members	Lead center board (written reports).	Medium SPAP is smaller than mandated. Member

	(authorized to 10) LC board liaison		of lead center board recently added.
WHEAT	Stakeholder Committee Chair: DG, CIMMYT 10 members, incl. DG ICARDA, DG CIMMYT, DDG CIMMYT	Lead center board through DG	Low Leadership and reporting structure of each body is consolidated within CIMMYT. The CIMMYT board has no independent source of oversight for the program. Other indications: Management structure: The program is led by the CIMMYT DDG-RP with a program manager to coordinate program activity.
	Management Committee Chair: CIMMYT DDG-RP Co-chair: ICARDA DDG 10 selected partners and program leaders		
MAIZE	Stakeholder Advisory Committee Chair: DG, CIMMYT 9 members, incl. CIMMYT DG, IITA DG	Lead center board through DG	Low Leadership and reporting structure of each body is consolidated within CIMMYT. The CIMMYT board has limited independent oversight of the program. A CIMMYT board member is a member of the Management Committee. Other indications: Management structure: The program is led by the CIMMYT DDG-RP with a program manager to coordinate program activity.
	Management Committee Chair: DDG-RP, CIMMYT 10 members or fewer, co-chaired by CIMMYT and IITA DDGA		
GRISP	Oversight Committee Chair: external member 11 members, 4 external, 2 board members from IRRI, 2 from AfricaRice, and 1 from CIAT <i>DGs of IRRI and AfricaRice (ex-</i>	Participating center boards through board representatives	High External representation is significant and center representation draws on the boards of

	<i>officio)</i>		participating centers. DGs of IRRI and AfricaRice are ex officio.
RTB	Steering Committee Chair: DG, CIP 4 DGs of PCs, 1 member from CIRAD <i>RTB program director (ex officio)</i>	Lead center board through DG	Low Steering Committee initially held its membership to participating DGs. In absence of PAC, Lead Center board has had no independent source of oversight. (PAC is now forming.)
	Program Advisory Committee (in progress) 6 members, chair designated by CIP BoT	Lead center board	
	Management Committee 15 members 4 DDGs, equivalent from CIRAD (extended to include 8 CRP theme leaders)		The core Management Committee comprises the DDGs, which duplicates representation on the Steering Committee.
Grain Legumes	Steering Committee Chair: Rotate among members 9 members, incl. DGs of PCs, key partners, 1 donor rep	Lead center board through DG	Medium Steering Committee has stronger role than Independent Advisory Committee.
	Independent Advisory Committee Chair: external member 8 independent research experts, plus reps of sub-regional organizations	Lead center board (written reports)	Independent Advisory Committee communicates to the LC board in writing.
Dryland Cereals	Steering Committee Chair: Rotate among members 6 members, incl. DGs of PCs, key partners, 1 donor rep	Lead center board through DG	Medium Steering Committee has stronger role than Independent Advisory Committee.
	Independent Advisory Committee Chair: external member 7 independent research experts, reps of sub-regional organizations	Lead center board (written reports)	Independent Advisory Committee communicates to LC board in writing.
L&F	Science and Partnership Advisory Committee Chair: external 4 external members	Lead center board (written report)	Medium SPAC has independent composition and an

	<p>Program Planning and Management Committee</p> <p>Chair: CRP leader 11 members 4 PC representatives, three science leaders, members of CRP management unit</p>		<p>effective oversight function in its ToR. Present annual report with management response to the LC board in writing.</p> <p>The PPMC functions in equivalent fashion to a Steering Committee.</p>
A4NH	<p>Independent Advisory Committee</p> <p>Chair: External member 6, three scientists, two development partners, a representative of the HarvestPlus program advisory committee LC board liaison</p>	Lead center board (written report)	<p>Medium</p> <p>IAC comprises external members plus a LC board member. Meets annually.</p>
WLE	<p>Steering Committee</p> <p>Chair: external 11 members, 8 external, 1 PC DG and <i>LC DG and CRP Director (ex officio)</i></p>	Lead Center Board	<p>High</p> <p>Steering Committee provides independent oversight of the program.</p>
FTA	<p>Steering Committee 7 members, 4 reps from each PC, 1 partner Maximum 8 members <i>CRP Director (ex officio)</i></p> <p>Scientific and Stakeholder Advisory Committee (under review)</p>	Participating center boards through center representatives.	<p>Low</p> <p>Small, center-dominated group with significant decision-making and oversight authority. The CIFOR board has no source of independent reporting or oversight for the CRP.</p>
CCAFS	<p>Independent Scientific Panel</p> <p>Chair: external member 12 members, and 2 ex officio members including a member of the lead center board, a global partner and the CRP leader</p>	Lead center board	<p>High</p> <p>Independent composition, clear ToR , direct report to LC board. No Steering Committee, PPMC or equivalent in the CCAFS structure</p>
Genebanks	Executive Director, Global Crop Diversity Trust Trust Program Management Team, Assistant Executive Director	Consortium Board/Office	<p>Medium</p> <p>Accountability for performance is to the Consortium board. Management</p>

			Committee includes outside advisors and gene bank representatives.
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PC: participating CGIAR centers, LC: lead center, DG: Director General

ANNEX 8: TABLE OF CRP GOVERNANCE AND MANAGEMENT BODIES MEMBERSHIP INFORMATION

Overview of 23 active CRP governance bodies¹

Title	Name	TOT	Ex officio	excl. ex officio	Lead	Part.	Ext.	in%	M	F	%	TARG REG.	%
Dryland Systems	Independent Science Advisory Committee	4	0	4	0	0	4	100%	4	0	0%	1	25%
	Steering Committee	14	1	13	1	3	9	69%	13	0	0%	3	23%
Humidtropics	Independent Advisory Committee	10	2	8	0	0	8	100%	6	2	25%	3	38%
AAS	Program Oversight Panel	8	0	8	1	1	6	75%	4	4	50%	1	13%
PIM	Science and Policy Advisory Panel	7	0	7	1	0	6	86%	6	1	14%	4	57%
WHEAT	Stakeholder Committee	10	0	10	2	1	7	70%	6	4	40%	5	50%
	Management Committee	10		10	5	2	3	30%	9	1	10%	2	20%
MAIZE	Stakeholder Advisory Committee	9	0	9	1	1	7	78%	7	2	22%	6	67%
	Management Committee	10		10	7	1	2	20%	8	2	20%	2	20%
GRISP	Oversight committee	11	2	9	2	3	4	44%	6	3	33%	4	44%
RTB	Steering Committee	6	1	5	1	3	1	20%	3	2	40%	0	0%
	Management Committee	15		15	4	10	1	7%	13	2	13%	0	0%
Grain Legumes	Steering Committee	9	0	9	1	3	5	56%	9	0	0%	3	33%
	Independent Advisory Committee	8	0	8	0	0	8	100%	5	3	38%	5	63%
Dryland Cereals	Steering Committee	6	0	6	1	1	4	67%	5	1	17%	2	33%
	Independent Advisory Committee	7	0	7	0	0	7	100%	6	1	14%	4	57%

¹ The calculations are done using the members excluding the ex-officio members. Those members representing an organization that operates in a region or country where the CRPs intend to achieve results were classified as coming from “target regions”. Those members who represent a center board of either a lead center or participating center are included as lead or participating center members respectively.

L&F	Science & Partnership Advisory Committee	4	0	4	0	0	4	100%	2.5	1.5	38%	0	0%
	Program Planning & Management Committee	11	1	10	6	4	0	0%	7	3	30%	0	0%
A4NH	Independent Advisory Committee	6	0	6	1	0	5	83%	4	2	33%	1	17%
	Planning and Management Committee	9		9	4	3	2	22%	5	4	44%	0	0%
WLE	Steering Committee	11	2	9	0	1	8	89%	6	3	33%	2	22%
FTA	Steering Committee	7	1	6	1	3	2	33%	5	1	17%	1	17%
CCAFS	Independent Science Panel (ISP)	12	2	10	1	0	9	90%	7	3	30%	2	20%
TOTAL		204	12	192	40	40	112	58%	146.5	45.5	24%	47	24%

Overview of CPR Management Committees

Title	Name	TOT	Lead	Part.	Ext.	M	F	%
Dryland Systems	Research Management Committee	5	2	3	0	4	1	20%
Humidtropics	Management Committee	9	3	5	1	9	0	0%
AAS	Program Leadership Team	17	12	3	2	11	6	35%
PIM	Management Committee	7	4	2	1	2	5	71%
GRiSP	Program Planning and Management Team	6	1	2	3	5	0	0%
Grain Legumes	Research Management Committee	11	4	4	3	11	0	0%
Dryland Cereals	Research Management Committee	10	6	1	3	9	1	10%
WLE	Management Committee	12	6	6	0	8	4	33%
FTA	Senior management team	10	5	5	0	6	4	40%
CCAFS	Programme Management Committee	7	2	3	2	5	2	29%
TOTAL/AVERAGE		94	45	34	15	70	23	24%

ANNEX 9: CRP MANAGEMENT AND COORDINATION COSTS AS PROVIDED IN CRP PROPOSAL DOCS

COSTS BY NATURAL CLASSIFICATION															
	1.1	1.2	1.3	2	3.1	3.2	3.3	3.4	3.5	3.6	3.7	4	5	6	7
	Dryland Sys	Humid Tropics	AAS	PIM	Wheat	Maize	GRiSP	RTB	Grain Leg	Dryland Cer	L&F	A4NH	WLE	FTA	CCAFS
Personnel	12.786	15.432	5.515	29.783	11.118	14.102	32.950	18.400	14.186	8.199	10.869	14.218	26.743	23.745	18.700
Supplies and services					10.519	11.091	24.960		6.594	3.401					
Travel	2.058	2.433	1.507	4.710	1.872	2.359	6.000	2.900	2.567	1.435	0.922	1.944	2.915	4.071	2.600
Operating expenses	8.316	8.370	1.308	13.587				12.400			7.882	8.748	9.770	10.855	8.700
Training/workshop	1.446	1.260	0.898	2.331	0.982	1.518		0.800	0.796	0.723	0.352	1.074	2.750		1.800
Partners/Collaboratr/Con	4.537	9.286	4.244	18.453	4.878	11.067	12.910	9.400	6.269	3.840	4.508	25.527	21.907	16.282	18.900
Capital and other equipm	1.496	1.581	1.064	0.727	1.148	1.609	7.610	2.600	1.107	0.598	0.043	0.347	1.443	0.678	1.100
Contingency	0.562		0.399	0.476							0.268	0.112	0.859		0.600
Consortium Board/Fund					0.723	1.028									
	31.201	38.362	14.935	70.067	31.240	42.774	84.430	46.500	31.519	18.196	24.844	51.970	66.387	55.630	52.400
Institutional overhead (%)	6.226	7.251	2.366	11.876	4.887	6.555	10.310	9.100	5.860	4.214	4.885	6.829	9.756	12.212	10.000
SUBTOTAL	37.427	45.613	17.301	81.943	36.127	49.329	94.740	55.600	37.379	22.410	29.729	58.799	76.143	67.842	62.400
Lead center/CRP management Costs		0.731						2.800	1.474	1.376					
CGIAR system costs							0.690								0.800
TOTAL	37.427	46.344	17.301	81.943	36.127	49.329	95.430	58.400	38.853	23.786	29.729	58.799	76.143	67.842	63.200
BY THEMES incl overhead															
	1.1	1.2	1.3	2	3.1	3.2	3.3	3.4	3.5	3.6	3.7	4	5	6	7
	Dryland Sys	Humidtropics	AAS	PIM	Wheat	Maize	GRiSP	RTB	Grain Leg	Dryland Cer	L&F	A4NH	WLE	FTA	CCAFS
Research	no breakdown	no breakdow	15.010	75.251	33.959	46.246	85.830	46.400	35.867	21.039	no breakdown	57.469	no breakdown	65.506	57.800
Gender			1.381	3.862					1.512	1.371				0.830	
Consortium Board/Fund					0.723	1.028	0.690								0.800
CRP Management		0.731	0.910	2.830	1.445	2.055	3.850	2.800	1.474	1.376		1.330	1.444	1.206	4.600
Institutional capacity							5.050								
Communications								9.100							
Overhead															
TOTAL			17.301	81.943	36.127	49.329	95.420	58.300	38.853	23.786		58.799		67.842	63.200
percentage		2%	5%	3%	4%	4%	4%	5%	4%	6%		2%		2%	7%