



**Consultative Group on International  
Agricultural Research (CGIAR)**

# **CGIAR SYSTEM OFFICE**

## **INTEGRATED BUSINESS PLAN**

**MARCH 2003**

### **The System Office – Facilitator of the CGIAR Mission**

The mission of the CGIAR is to contribute to food security and poverty eradication in developing countries through research, partnerships, capacity building, and policy support, promoting sustainable agricultural development based on the environmentally sound management of natural resources.

The establishment of a System Office is one of the steps in the direction of creating a more integrated, cohesive and coherent System. The new System Office of the CGIAR has been established to serve and facilitate the functioning of the CGIAR System as one that is well-integrated and responsive, implementing its vision, mission and strategy.

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# CGIAR SYSTEM OFFICE - INTEGRATED BUSINESS PLAN

## 1. INTRODUCTION

In May 2001, the interim CGIAR Executive Council (ExCo) established a Task Force on the System Office, to articulate proposals covering key aspects of the establishment of a System Office. The Task Force reported to the interim Executive Council in September 2001. At AGM01, the CGIAR made the decision to establish the CGIAR System Office, as one of the four initial pillars of the CGIAR reform program, and at the same time it assigned a priority task for the System Office. Specifically, the Group decided:

- (a) The CGIAR will establish a System Office
- (b) A single, integrated communication strategy, for coherent communication and fund-raising should be developed by the System Office, the Centers, and Future Harvest.

In March 2002, a CGIAR System Office Workshop was held in Washington, and representatives from all then-existing SO units proposed that an Integrated Business Plan be prepared for presentation at the ExCo in September 2002, followed by discussion at AGM, and for implementation in January 2003. A Steering Committee was created, composed of the CGIAR Chairman, the CGIAR Director, the Chairman of the interim Science Council, and the Chair of the Center Director's Committee (CDC). In April 2002, ExCo confirmed that the CGIAR Director should coordinate the development of an *Integrated Business Plan (IBP)*.

The IBP is composed of two parts, the *Business Case*, and the *Integrated Operating Plan (IOP)*. McKinsey & Company was engaged to assist the Steering Committee in the design of an overall framework and preparation of initial documents including the *Business Case*. These materials were discussed with the CDC at their meeting in May 2002. The development of the Integrated Business Plan started in July 2002, guided by the Steering Committee and under the coordination of Gordon MacNeil, Task Manager for the development of the Integrated Business Plan for the System Office.

This CGIAR System Office Integrated Business Plan contains the following elements:

1. Highlights of the Business Case
2. The 2003 Integrated Operating Plan
3. Proposed Next Steps
4. Annexes.

## 2. HIGHLIGHTS OF THE BUSINESS CASE FOR A SYSTEM OFFICE

This section clarifies a number of important issues. It is structured around four key questions:

1. Why set up a System Office?
2. What will the System Office do?
3. How will the System Office be organized?
4. How much will the System Office cost, and how will performance be measured?

### Question 1: Why Set Up A System Office?

The need to create a System Office emerges from CGIAR's unique history and organizational structure – as well as various internal and external forces confronting the System.

The unique history and organizational structure of the CGIAR:

- Since its founding more than three decades ago, the CGIAR has operated in a highly decentralized manner at both the Member and Center levels. For example, individual Members usually have made independent funding decisions to support specific Centers or Center programs, while the 16 research Centers have operated as separate institutions, with their own boards and legal status.
- This independence notwithstanding, both Centers and Members have developed various means to coordinate decisions, actions, and resource flows – and to take advantage of the scale that the System offers. Coordination mechanisms include bodies such as ExCo, the CDC, CBC, and numerous Center-led interest groups. Together, Centers and Members also created several central service units to support their interests and activities. The number of these units has grown over time and, for the most part, they have operated independently from one another. In 2003 the CGIAR System will have 10 such central service units with a proposed budget of approximately USD \$9 million. Seven of these units have been founded in the last five years, largely by the Centers.<sup>1</sup>

While the current approach has served the System well, certain internal forces are compelling the central service units to change, including:

- ***Gaps and overlaps in existing central services.*** Some central units have been established in a “one-off” manner, and have worked quite independently. As a result, there are gaps and overlaps in the service offerings. For instance, in public awareness and resource mobilization, the CGIAR Secretariat and Future Harvest Foundation have not adequately coordinated activities with each other or with Centers themselves. Likewise, in strategic planning and development, there has not been a sufficiently concerted effort to map out a strategy and alliance value proposition to non-traditional partners, including corporations, and to pursue these potential alliances in a disciplined manner.
- ***Desire for greater standardization in unit practices, increased transparency, performance focus and simplicity.*** While most of the System's central support units currently provide an annual report, Members and Centers believe that many of the units

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<sup>1</sup> The newer units were founded in the following years: Future Harvest Foundation (1998), CDC Executive Secretary in 1998, Gender and Diversity Program (G&D) in 1999, Central Advisory Service for Intellectual Property (CAS-IP) in 2000, Internal Auditing Unit (IAU) in 2000, the CGIAR Information Officer (CIO) in 2002, and the Strategic Advisory Service for Human Resources (SAS-HR) in 2002 but beginning operations in 2003.

lack sufficient transparency in their activities – and do not report on progress against clear and measurable goals. At the same time, the decentralized nature of the units has made it difficult for Members, Centers, and others to clearly understand the workings and performance of these units. In addition, all units, Members and Centers would benefit from greater standardization in the format of planning and reporting formats.

In addition, certain wider System forces are also pushing CGIAR to change, including:

- ***Increased competition for funds.*** In recent years, some of the CGIAR’s traditional Members have found themselves operating with smaller budgets and under pressure to other fund global issues, including HIV/AIDS and the environment, that have assumed prominence over agricultural research. While the CGIAR as a whole has not experienced dramatic reductions in funding, the competition for funds against other worthy initiatives is increasingly intense.
- ***Growing donor focus on performance.*** CGIAR’s Members, like most sources of ODA, are taking a greater “performance focus” – i.e., demanding greater consistency and transparency of reporting and clearer demonstrations of return on investment. In part due to the System’s decentralized structure, the CGIAR has been seen by some as a slow adopter of these demands.
- ***Demands for closer ties between the Centers.*** While recognizing the historical benefits of autonomy, the Members have expressed a desire for the Centers to develop closer links to improve impact and relevance.
  - ***Operational links.*** Members believe that there may be substantial opportunities for the Centers to secure scale-related gains in better coordinating or consolidating operational activities – e.g., joint purchasing of services, and the development of additional shared services in areas like human resources.
  - ***Research links.*** Members also believe that the Centers can – and should – develop closer research ties. While the Challenge Programs (i.e., separately funded and managed research initiatives involving several Centers and partners) and the clustering concept (i.e., closer ongoing links between various Center subsets) are attempts to promote such collaboration, there is a desire to move further.
- ***An increased need to ensure that stakeholders and beneficiaries are part of the System.*** Members have made it clear that their support for the CGIAR depends on extending the reach of the System to many other constituencies, including forming strong and participative linkages with developing country partners, including those in research institutes and non-research institutes, partners such as civil society and the private sector . Therefore, in view of the above forces, the new System Office of the CGIAR has been established to serve and facilitate the functioning of the CGIAR System as one that is well-integrated and responsive , implementing its vision, mission and strategy.

## **Question 2: What Will the System Office Do?**

The System Office will serve as a virtual organization, bringing greater coherence to the ten central support units, to enhance overall performance. As such, the System Office will function on two levels:

***Level 1: Improve existing services.*** The existing units that comprise the System Office provide a variety of services to Members and Centers – as well as to stakeholders and interested partners. These services fall into four broad functional categories:

- Strategic planning and development. Includes various elements within strategic planning, financial management, and new opportunity identification.
- Monitoring and evaluation. Relates to the oversight of existing initiatives and activities, including individual Center research agendas and overall impact assessment of the CGIAR System as a whole.
- Public awareness and resource mobilization. Includes impact illustration, communications and outreach, branding, and fundraising.
- Management services. Encompasses the provision of various services relating to human resources, organizational development and effectiveness, finance, legal, information technology and event planning.

The System Office is taking steps to increase the efficiency and effectiveness with which the units provide these services. Specifically, this means a reduction in “overlaps” between the units and increased collaboration, to better leverage each unit’s skills and resources and thereby better serve the system. The Integrated Operating Plan is an annual reporting and planning document that provides a single and coherent view of the System Office and its units – and in so doing delivers a number of benefits, including:

- Better defined roles and responsibilities;
- Shared performance goals and accountabilities;
- Clear performance metrics; and
- Increased communication and transparency.

***Level 2: Help capture wider System opportunities.*** The System Office also seeks to enhance overall System performance, by identifying and pursuing opportunities that will increase effectiveness, reduce costs, and enhance the funding of the System as a whole. Discussions were conducted with Members, Center Directors, and other stakeholders to determine: (1) the appropriate role for the System Office in pursuing these opportunities, and (2) the nature and location of the greatest opportunities.

- Role. The System Office will play an orchestrating or driving role in pursuing wider opportunities. For example, the System Office could work with the Centers to identify new shared services opportunities such as personnel recruiting, bio-safety, and alliance management, value the most promising of these opportunities, and then with the Centers, determine the most appropriate business model (e.g., an opt-in/fee-for-service approach) for providing these new services. As a facilitator, the System Office would help orchestrate and inform the process, leaving final decisions to others.
- Opportunity areas. Members and Center Directors have pointed to an initial set of opportunity areas for the System Office, that include:
  - *Shared services.* The System Office will help identify, value, and selectively promote new shared services that leverage the System’s scale to reduce costs.

- *Public awareness and resource mobilization.* The System Office will help the System develop a more coherent public awareness and resource mobilization strategy.
- *Enhanced reporting.* The System Office will help develop and implement enhanced reporting processes that would increase consistency, transparency, and performance-focus across the System.
- *Human resources.* The System Office will improve the System’s HR approaches and programs.
- *Research collaboration.* The System Office should provide back-office support to the Challenge Programs or takes steps to promote other forms of collaboration, such as System-wide alliances with major universities and corporations.
- *Knowledge management.* The System Office will support the improvement of CGIAR’s knowledge management capabilities and the leveraging of knowledge across and outside of the System.
- *Potential Opportunities.* There are additional opportunity areas for the System Office. Some of these potential areas can be identified today (e.g., supporting the overall System strategy process by helping to shape the ExCo agenda). Other opportunity areas will emerge over time as the System evolves.

### **Question 3: How Will the System Office be Organized?**

In order to achieve these benefits, the System Office – i.e., the units within the virtual structure – is moving toward a more coordinated and cohesive approach to providing services. A number of decisions have been made relative to governance and organization.

#### **Overall organizational structure**

- The System Office is a virtual organization, depending on the staff and resources of its member units *and others in the System* or commissioned by the System to get work done and meet its goals. As such, it does not represent a new unit nor have separate legal status or a distinct institutional location.
- The System Office is not a physical consolidation of existing units; nor is it expected to lead to the structural consolidation of all units; activities will continue to be geographically and institutionally dispersed.

#### **Membership and scope**

- The System Office comprises the main central service units of the CGIAR System.
- Initial membership of the System Office includes: the CGIAR Secretariat, Science Council Secretariat, the Future Harvest Foundation, Internal Auditing Unit, Gender and Diversity Program, the Central Advisory Service on Intellectual Property (CAS-IP), the CDC Executive Secretary, Association of International Agricultural Research Centers (AIARC), the CGIAR Information Officer (CIO), and the Strategic Advisory Service for Human Resources (SAS-HR).
- Dynamic membership. While the System Office will encompass all the central service units of the CGIAR System, membership will be dynamic – i.e., new units may be added

and some existing units may be phased out or altered as demand and conditions change. The creation of the System Office in no way infers a permanence or institutionalization of the current units. Indeed, it is expected that over time the usefulness of some central units will diminish as demand drops or, more likely, as skills become embedded within the individual Centers themselves.

- The scope of the System Office's activities covers four main functional areas:
  - Strategic Planning and Development
  - Monitoring and Evaluation
  - Public Awareness and Resource mobilization
  - Management Services

### **Governance**

- For the initial launch period (March-December 2002), the System Office was governed by a Steering Committee, which will continue to exist until a permanent Board for the SO is established.
  - The Steering Committee is composed of the CGIAR Chair, the CGIAR Director, the CDC Chair, and the interim Science Council Chair.
  - The Steering Committee played an activist role in shaping and overseeing the work of the System Office development. Specific responsibilities include: (i) defining the overall direction, work plans, and milestones of the System Office – and monitoring progress against these goals; (ii) communicating the plans, progress, and challenges of the System Office to ExCo, to the CDC, the AGM and other key stakeholders; and, (iii) ensuring that the individual SO units and their staff provide the needed level of commitment to launch the System Office
  - The Steering Committee is accountable to ExCo, and has made periodic reports to that group on the progress and challenges of the System Office.

### **Question 4: How Much Will the System Office Cost and How Will Performance be Measured?**

Due to its virtual nature and use of existing staff and resources, the System Office will not entail significant incremental investment above the current operating budget of the units.

Beyond the specifics of measuring the performance of the individual SO units, it will be crucial to develop a clear set of performance measures for the System Office as a whole – and ensure that Members and Centers agree with these measures and evaluate the progress of the System Office against them. To accomplish this, the System Office will develop a balanced scorecard in order to determine and monitor both output and input measures:

**Output measures.** Ultimately, the System Office will be held accountable for making progress against three main goals:

- Improved effectiveness



- Reduced costs
- Increased funding

*Input measures.* The System Office will track certain “input” measures that are drivers of the desired outcomes. These input measures include:

- Operational measures will relate to how well the System Office is performing against key operational goals, such as developing a roadmap for new training programs, approaching new donors, or raising the overall awareness of CGIAR and the Centers.
- Relationship measures relate to how well the SO units – and others in the System – are working as an alliance. For instance, has trust and transparency increased between the units? Are the units communicating better and interacting more with one another? (While these are highly qualitative, it would be possible to develop an annual 10-20 question survey that measures these relationship fitness elements).

### 3. THE 2003 INTEGRATED OPERATING PLAN (IOP)

#### 3.1 Introduction

The System Office is composed of ten separate units, some of which are well-established and some of which are new additions. Several have been in place for a number of years, and have changed over time.

The System Office units can be categorized according to major purpose, and also by financing source, operating mode, and governance structure. The typology could be summarized as follows:

- Traditional Secretariats which have served the System since its inception.
- Units participating in Center core business, usually in administrative areas.
- Units providing supplemental or complementary programmatic assistance or services.
- Devolved administrative functions.

While there is some cross-over in these categorizations, the typology is broadly accurate and as is evident from table 1 below. The recent developments and additions to the System Office have been largely initiatives of Centers/CDC themselves. The newer units are meant to enhance existing Center functions, increase efficiency, and lower costs through economies of scale.

Table 1: Characterization & Financing of System Office Units

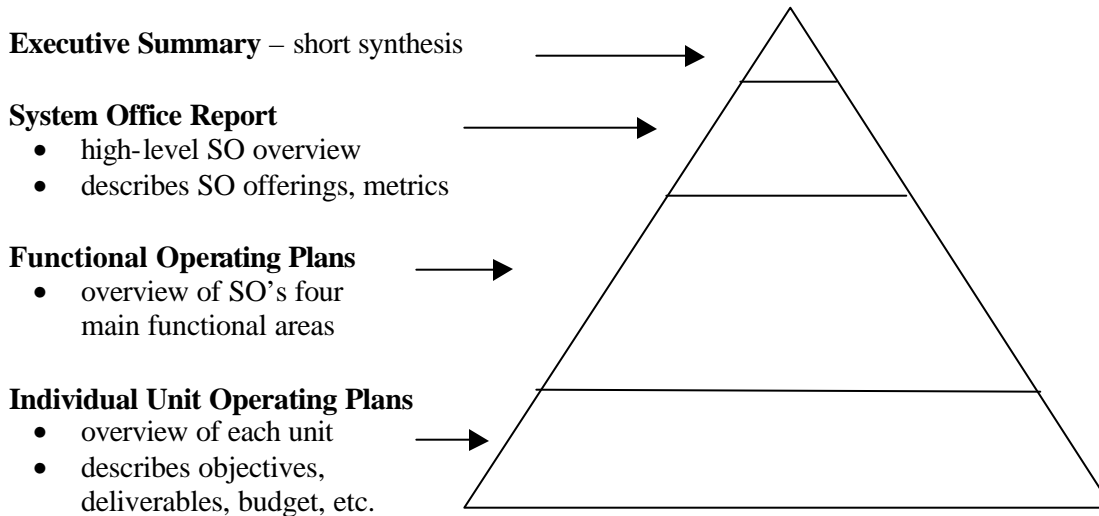
<b>Unit and Classification</b>	<b>Established</b>	<b>Financing</b>
<b><u>System Units, traditional</u></b>		
CGIAR Secretariat	1975	World Bank
Science Council Secretariat	1975	Co-Sponsors
<b><u>Center devolved administrative function</u></b>		
AIARC	1992	Centers/fees/other income
<b><u>Complementary services and programs</u></b>		
Future Harvest Foundation	1998	Centers (CDC assessment) & other
Gender and Diversity Program	1999	Centers (CDC assessment) & other
CAS-IP	2000	Centers (CDC assessment) & other
<b><u>Center units, core business supplements</u></b>		
CDC Executive Secretary	1998	Centers (CDC assessment)
Internal Auditing Unit	2000	Collaborating Centers & CGIAR Sec
Chief Information Officer	2002	Centers & CGIAR Secretariat
Strategic Advisory Service - HR	2003	Collaborating Centers & CGIAR Sec

In annex 2 are more detailed descriptions of the units. These descriptions are summarized from the full business plan document from each component unit of the System Office for 2003, and those documents are available in their entirety from the units. The descriptions in the annex focus on the business case for each unit, the history, organization, and main activity thrusts, as well as the governance structure entering 2003. The details of activities programmed for 2003, and their costs, are included in the following section of this overall plan, and they are organized according to the functional area to which they belong. This 2003 integrated operating plan cannot capture in detail all of the System Office units' detailed operations, not does it attempt to. Rather, the

sections that follow try to show the key features and highlights of activities in a synthesized format, and the resource sections provide a built-up snapshot of the aggregate of the units programs. In the future, more attention will focus on performance indicators – that is, examining the outputs in more detail instead of focusing mainly on the inputs and objectives.

### 3.2 Structure of the Integrated Operating Plan (IOP)

The development of the IOP was a process carried out in stages and will be refined for future years. The key components of a fully developed IOP are shown in the following graphic.



The original timetable called for the complete 2003 Integrated Operating Plan – all components in the triangle – to be completed by the end of 2002. However, it became clear that this was overly optimistic, for a number of reasons. First, individual units required more time to confirm their 2003 plans and, especially, budgets. Second, the absence of a common governing structure meant that all functional planning was possible only with a bottom up approach at this stage, not a very efficient mechanism. Thus, completing the integrated functional operating plan with all components will spill well into 2003 – and in fact will only be fully completed and available for the 2004 business plan. This will require efforts from a broad cross-section of unit staff, CDC, and other CGIAR System stakeholders. It will require a fully functional System Office governing board, or equivalent.

Nevertheless, several important achievements have been realized. Individual units' 2003 plans and financial information (bottom of the triangle) have been prepared according to a common format, and there is a proposal for a long-term SO governance structure. The financial requirements of the units are much better understood and articulated. Annex 2 contains the highlights of each System Office unit's business plan for 2003, shown as much as possible in a standardized format. This annex is quite descriptive and does not contain the full list of activities and costs. The latter have been extracted from the plans, and are presented in the main body of this document. They are organized in typology that shows quite clearly how each unit contributes to the overall functional demands of the System Office, and what the costs for this are.

### 3.3 Activities by Functional Category

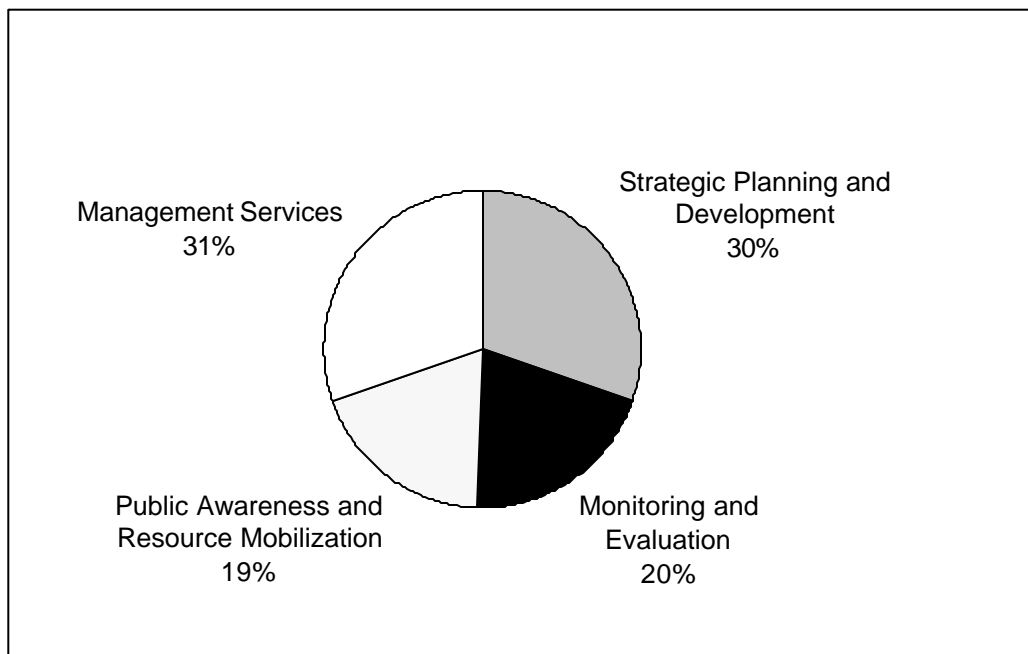
The activities of all units fall into four broad functional areas as shown in Table 2. Within each function are sub-functions with a more specific focus at the next level. The units provided a list of their activities according to this typology, and costed them out in a program budget construct.

**Table 2: CGIAR System Office Activities - Organized by Function**

<b>Strategic Planning and Development</b>	<b>Monitoring and Evaluation</b>	<b>Public Awareness and Resource Mobilization</b>	<b>Management Services</b>
<p><b><u>Strategic Planning</u></b> Trend identification Context setting Priority setting Plan development</p> <p><b><u>Financial Management</u></b> Risk assessment Guideline creation Process development</p> <p><b><u>New Opportunity Identification and Development</u></b></p> <p><b><u>Other Strategic Support</u></b></p>	<p><b><u>Impact Assessment</u></b> Individual initiatives Individual center programs System-wide programs Challenge programs</p> <p><b><u>Evaluation</u></b> Center operations Center management processes System governance</p> <p><b><u>Monitoring</u></b> ExCo decisions EPMR recommendations Center management/operations</p>	<p><b><u>Public Awareness</u></b> Impact illustration Message development Communication/outreach/advocacy/branding</p> <p><b><u>Fundraising</u></b> Maintaining/expanding support Broadening LDC membership Attracting non-traditional support</p>	<p><b><u>Organizational Culture</u></b> Professional development Workplace policies Facilitate research collaboration Strengthen center governance</p> <p><b><u>Administrative Change</u></b> Service coordination Strengthening capacity Expanding scope of service</p> <p><b><u>Events Management</u></b> Agenda setting Administrative facilitation Reporting</p> <p><b><u>Human Resources</u></b> Payroll and benefits admin Recruitment</p> <p><b><u>Knowledge Management</u></b> Content creation IT system design/maintenance</p> <p><b><u>Finance</u></b> Trust fund services</p> <p><b><u>Legal Services</u></b> Intellectual property &amp; other</p>

Annex tables 1a to 1d show the full list of the units' activities, by functional category, and it also shows the full cost of each activity (i.e. including all expenses, personnel, overhead, travel, etc. associated with the activity), as estimated by the unit heads. In summary, the functional efforts break down as seen in annex 1 table 1e.

**Figure 1: Expenditure share for functional activities of the System Office**

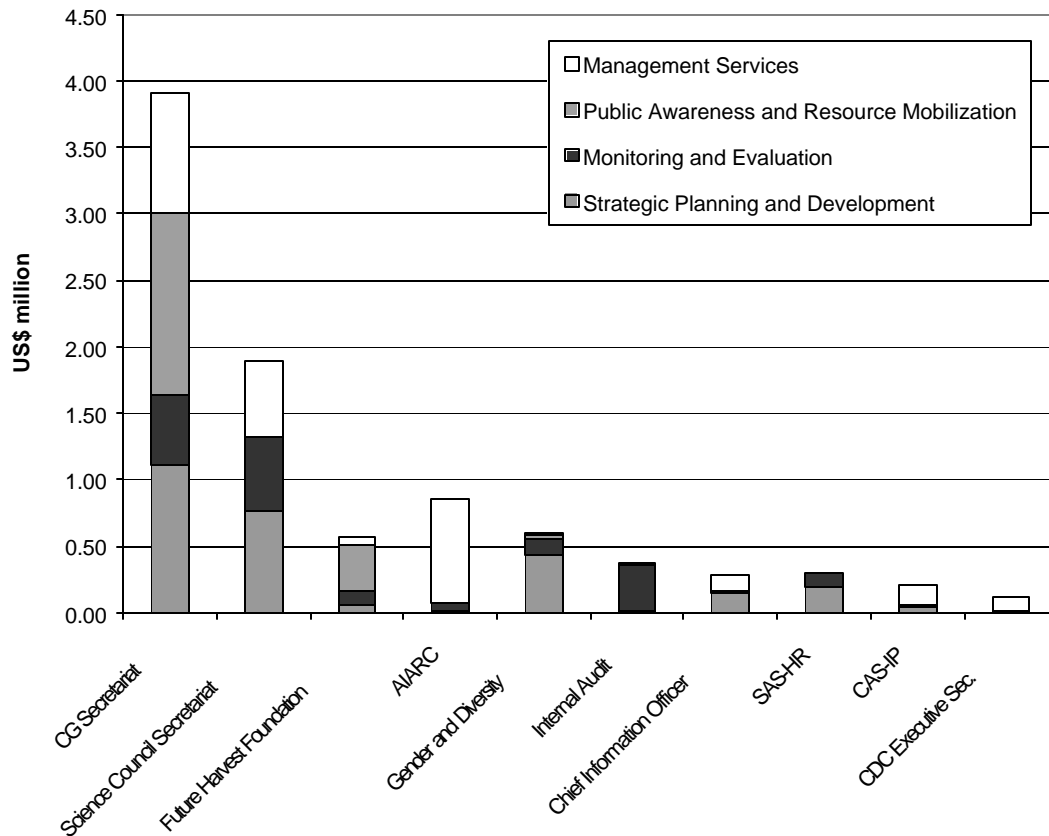


In terms of expenditure, the above figure 1 shows the summary of units' efforts in the four functional areas.

At the individual System Office unit level, there is, of course, wide variability in orientation of activity and also in overall size of the unit, so the fact that the two central Secretariats account for about 64% of all activity, in financial terms, will determine the System Office functional purpose to a great extent. The CGIAR Secretariat participates in all four functional areas, while the Science Council Secretariat activity is in three areas .

The range of budget and complexity of System Office component units is very wide – from almost \$4 million with the largest group of staff in the CGIAR Secretariat down to about \$100,000 and a half person-year for the CDC Executive Secretariat. Most of the new units have a budget of \$300,000, with one senior leader/unit head. Exceptions are Gender and Diversity which has a \$600,000 program with two staff and contracted expert service providers.

**Figure 2 : Unit budgets functional activity**



**a. Strategic Planning and Development – Highlights for 2003**

In discussing the activities that make up the functional orientation of the System Office, it must be noted that there could be different interpretations of where some activities should appear on the lists. In the area of strategic planning and development, for example, it is quite clear that a large proportion of the Science Council Secretariat’s work would fall into this category. For the CGIAR Secretariat, a significant share does also, but for some different reasons.

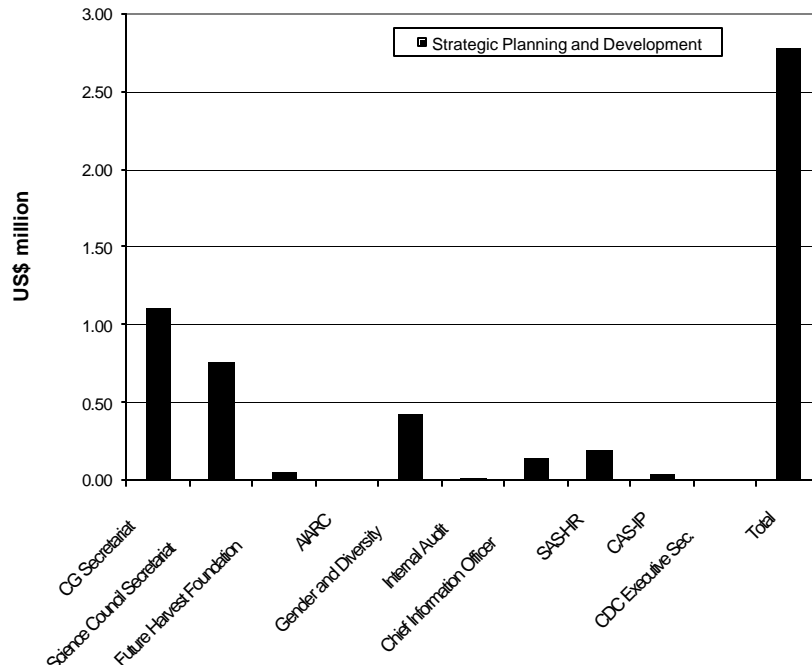
Table 3 below shows the highlights of the System Office Strategic Planning activities, as submitted by the units. The activities listed in the table represent 54% of the total cost for this functional area. The whole list of offerings is presented in annex 1 table 1a.

**Table 3: CGIAR System Office Service Offerings for 2003 – Highlights of Strategic Planning and Development**

Strategic Planning and Development		Cost	% all SPD	% of SO
<b>CG Sec</b>	Coordinate activities of the CGIAR reform program, and support ExCo & AGM with substantive documents and follow-up action	1,500	54%	16%
<b>SC Sec</b>	Support SC in formulating advice on science vision, policies & strategies, including Challenge Program definition and selection			
<b>G&amp;D</b>	Provide support to center-level G&D activities and HR policy development			
<b>SAS-HR</b>	Begin development of strategic approaches to center staffing			

Whereas the Science Council Secretariat supports the Science Council and the CGIAR System generally in formulating strategic advice on programs and science, the CGIAR Secretariat’s strategic purpose is more generally to support the governance bodies and the general CGIAR membership in executing the decisions taken for the System’s operation. These realities are quite clearly seen above and, in more detail, in annex table 1a. The other units’ efforts in strategic planning could, in some cases, fall under management services or even monitoring and evaluation. Figure 3 below shows expenditure for all the activities in this area, by component unit, graphically.

Figure 3: Expenditure for Strategic Planning and Development



Although not perhaps obvious at first glance, there is potential for various System Office units to collaborate with each other in areas not presently on the “radar screen”. For example, strategic choices made by Centers involve not only program orientation and purpose, but also delivery and execution. It may emerge eventually that some of the basic models within the system – how staff

are hired and from where, for example, may require re-thinking to see if fresh approaches could be beneficial both in terms of cost-effectiveness and in finding the best and most relevant talent, responsive to rapidly changing needs within the system. Such consideration would require analysis from the Centers/CDC, the Science Council, and perhaps the Human Resources Strategic Advisory Service, so it has not been programmed for 2003.

## **b. Monitoring and Evaluation – Highlights for 2003**

For monitoring and evaluation, again the majority (59%) of the effort is concentrated in three units’ activities – the CGIAR and SC Secretariats and the Internal Auditing Unit. Table 4 below shows the main activities in these areas – which represent 59% of the cost of this System Office function. Table 1b annex 1 contains the complete list of activities from all units which reported planned effort in this functional area.

**Table 4: CGIAR System Office Service Offerings for 2003 – Highlights of Monitoring and Evaluation**

	<b>Monitoring and Evaluation</b>	<b>Cost</b>	<b>% all M&amp;E</b>	<b>% of SO</b>
<b>CG Sec</b>	Initiate changes to streamline CG evaluation processes	} 1,100	59%	12%
<b>SC Sec</b>	Formulate advice for SC on CG research priorities, and develop processes for evaluating center science relevance, quality, and impact			
<b>SC Sec</b>	Organize & implement SC-commissioned external science reviews of Centers and Programs			
<b>IAU</b>	Complete the participating center audits and advisory services			

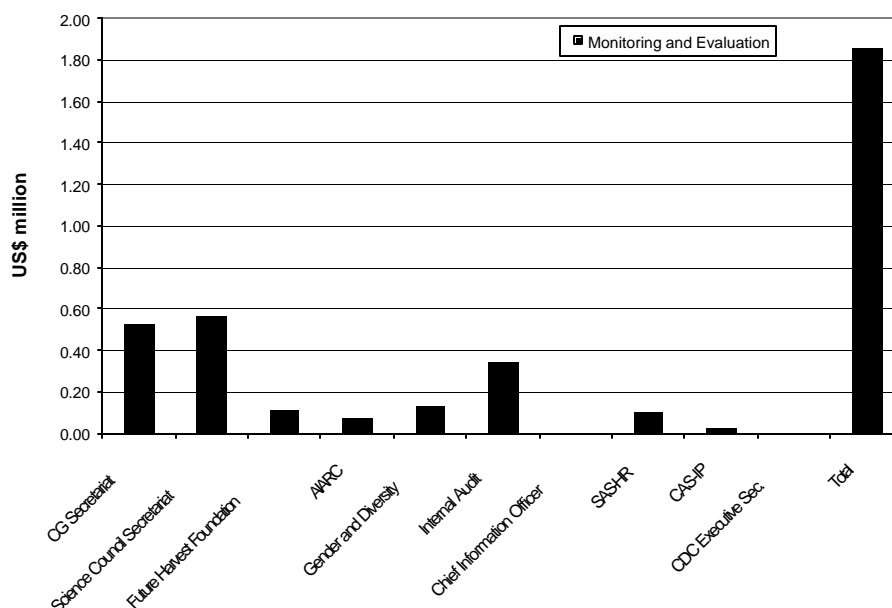
In the case of the CGIAR Secretariat, most of the activity in evaluation will be to work on the development of performance measurement system for the CGIAR as requested by the ExCo to the System Office. Recognizing the complexity of performance measurement systems in R&D organizations, the first phase of this exercise would be the development of an options paper to be presented to ExCo and the CGIAR at the end of 2003, but not of a performance measurement system per se. The Science Council Secretariat and the Council itself will have a significant role to play in the development of new evaluation mechanisms, and it is likely that a working group composed of a wide range of stakeholders with expertise in this area (including Members, CDC and CBC as well as outside expertise as needed), will be established to bring the recommendations to ExCo. Implementation of a new performance measurement system is expected to occur in about mid-2004.

Meanwhile the existing external review process will continue, with a few Program and Management reviews scheduled in 2003.

At the Center operating level, the Internal Auditing Unit’s main output will be the various Center audits with specific recommendations for improvements in processes and systems and recommendation on best practice. More than half the CGIAR Centers now are members of the “joint venture” that calls on the IAU for assistance in auditing, and which pays for the units costs (along with participation from the CGIAR Secretariat, where the main interest is on establishing “best practices” for the CGIAR as a whole.). Figure 4 below shows expenditures for the activities in this area, by component unit.



Figure 4: Expenditure for Monitoring and Evaluation



### c. Public Awareness and Resource mobilization

For Public Awareness and Resource Mobilization, it is evident that only two of the System Office components – the CGIAR Secretariat and Future Harvest Foundation – provide this service at any significant level. Table 5 shows the main activities, which represent 56% of the total expenditure for this functional area. Table 1c in annex 1 shows the full program.

**Table 5: CGIAR System Office Service Offerings for 2003 – Highlights Public Awareness and Resource mobilization**

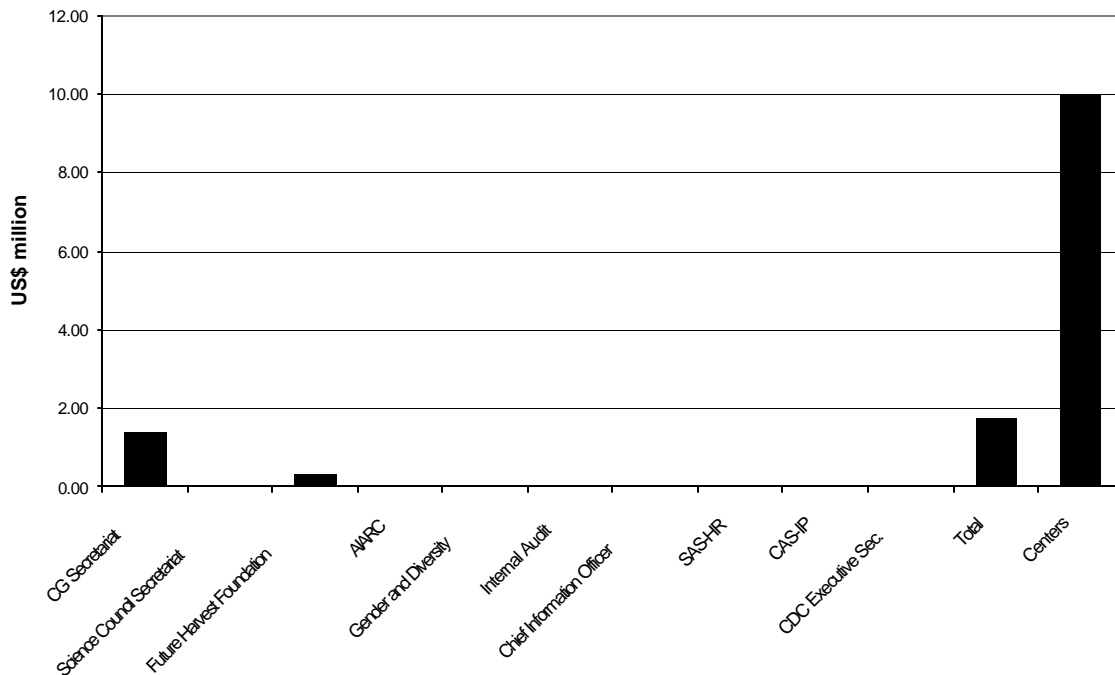
Public Awareness and Resource Mobilization		Cost	% all PARM	% of SO
<b>CG Sec</b>	Develop & implement integrated CGIAR communications strategies, including initiatives to communicate the role and impact of the CGIAR System	1,000	56%	11%
<b>FHF</b>	Raise public awareness of & funds for the work of Centers and CGIAR system			

Of the total spending on public awareness and resource mobilization in 2003, most is accounted for by the CGIAR Secretariat. By contrast, the Centers direct efforts for these important tasks overwhelm the System Office, in terms of investment at least. The estimate of a \$10 million investment by the Centers has been noted in the recent draft document “Integrated Resource Mobilization and Communications Strategy”, coordinated by Fionna Douglas of the CGIAR Secretariat, and endorsed by the CDC during its Feb. 2003 meeting. This is highlighted because the question of overlap and creating greater synergies from resources in the area of public awareness, especially, has generated much discussion in recent years. The facts show, however, that the central effort in this area is dwarfed by the efforts of the Centers themselves. This would be appropriate.

The Integrated Resource Mobilization and Communications Strategy does indicate where there are shared responsibilities, and where there is a division of labor.

Figure 5 shows the activities in this area, by component unit, graphically. The graph also shows the total Center investment.

Figure 5: Public Awareness and Resource Mobilization



#### d. Management Services

The final category of activity for the System Office is the large and important grouping of management services. All units provide activities in this area, and some units are almost exclusively oriented for this function – the best example is the Association of International Agricultural Research Centers (AIARC), which is the main service provider for the CGIAR Centers (and some others) in the area of personnel benefits management, including payroll disbursement, insurance and retirement fund management services. Table 6 highlights the main activities and annex 1 table 1d lists all management services offered by different System Office units.

One of the CGIAR Secretariat’s most important tasks is to provide a wide range of support services such as organizing the Annual General Meeting (AGM), and meetings of the ExCo and other committees (this is distinct from the more substantive tasks of preparing documentation and follow-up on decisions, for example). The secretariat also is a partner with several other System Office component units, both financially and substantively, and it has taken on a major role as Trust Fund administrator for many CGIAR members, who disburse their financing to Centers through the World Bank.

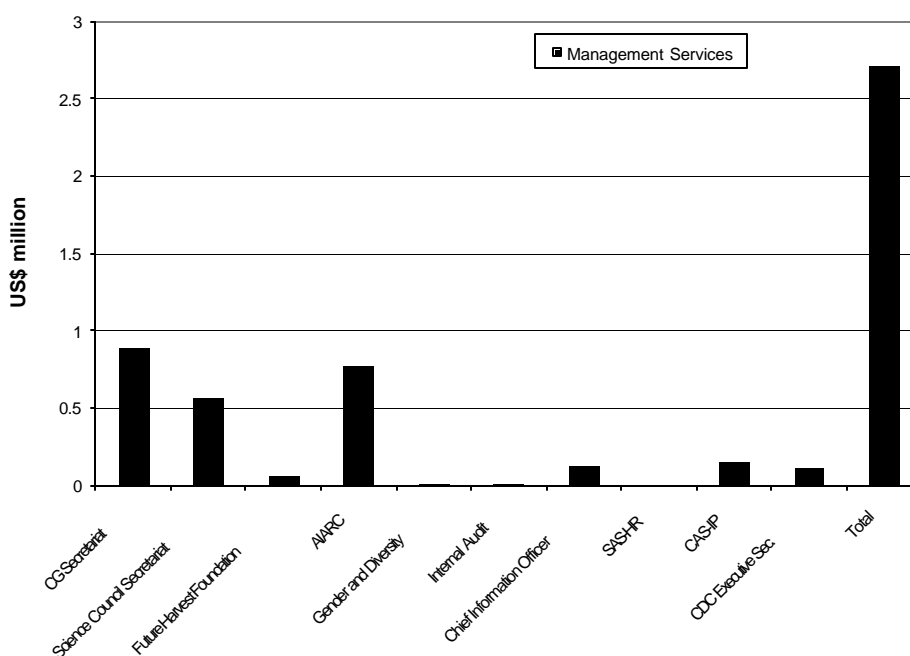
**Table 6: CGIAR System Office Service Offerings for 2003 – Highlights Management Services**

Management Services		Cost	% all MS	% of SO
CG Sec	Organize & manage the Annual General Meeting (AGM) & ExCo meetings	1,700	63%	19%
CG Sec	Update CG Financial Accounting Manual, and assist Members with financial transactions & accountability, & support System Office administration			
SC Sec	Organize SC meetings and prepare reports of strategic studies, reviews, and meetings			
AIARC	Process payroll statements, insurance premiums and contracts, and pension contributions for centers and individuals			
CIO	Pilot CGIAR Intranet			
CAS-IP	Assist centers with IP policy and implementation (IP tools) and facilitate multi-center collaboration (e.g. Challenge Programs)			
CDC Sec	Administer the CDC meetings (help prepare agenda, minutes, logistics)			

The Science Council Secretariat performs a wide range of support services such as maintaining rosters of peer reviewers, maintaining document collections, and organizing Science Council meetings and generally coordinating Science Council activities. The Central Advisory Service on Intellectual Property assists Centers in IP policy development (and so this activity is an example of one that straddles the boundary between strategic planning/development and management services). The Chief Information Officer and the Strategic Advisory Service on Human Resources are new activities with work plans that are under current review and development. However, it is worth noting that even in its early stage of operation the CIO successfully negotiated a large software discount for the CGIAR- a good example of how SO units can help create economies of scale. In 2003, the CIO will work with the CDC on knowledge management enhancement in the CGIAR, in addition to the technical IT function that also is part of the unit's mandate.

Figure 6 shows expenditures for the activities in the area, by component unit.

**Figure 6: Management Services**



### 3.4 Observations on functional activities for 2003

Overall, these relatively few major activities shown in the highlights tables above account for nearly 60% of the System Office budget overall. These, then, are where most focus for unit coordination and performance indicator development would be oriented in the near term.

#### **Lessons learned from this first exercise**

After the units' activity profiles were assembled in a conformed format – that is, by functional offering, it became clear that:

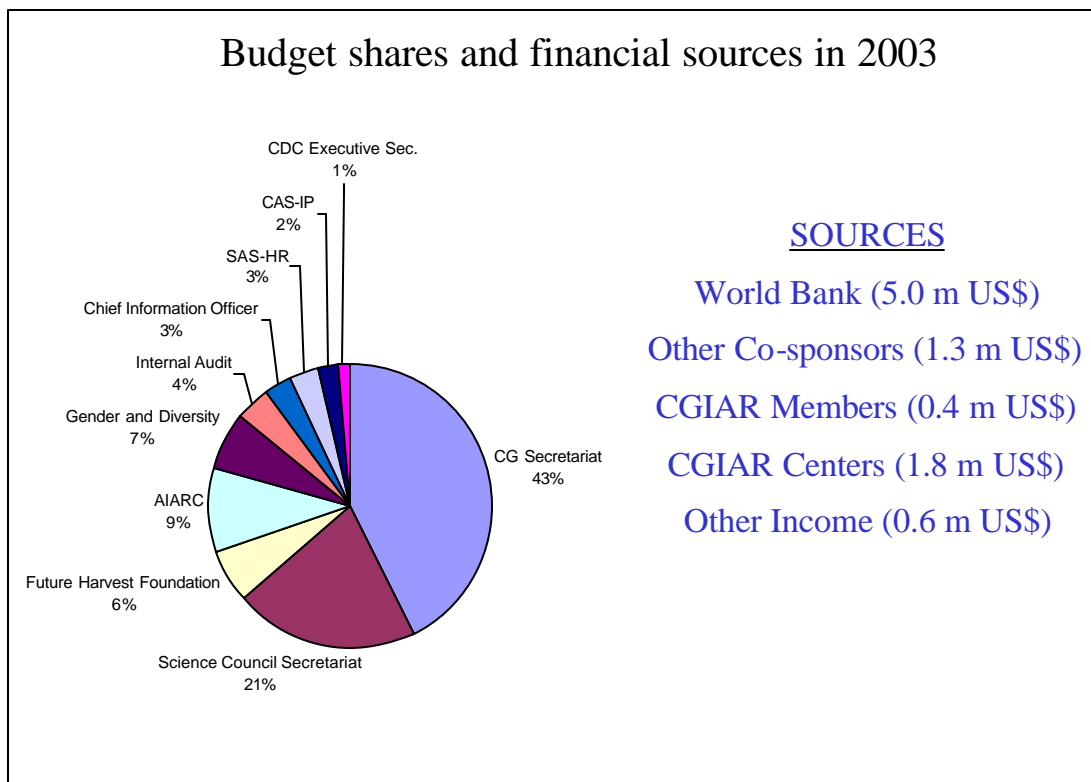
- The earlier expectation and assumption of significant mandate and activity overlap between units, and duplication of various activities, is greatly exaggerated;
- there are areas where better coordination between units is possible and can be achieved;
- it is possible to identify gaps in service areas and possibilities for new and additional System Office thrusts;
- there is consistency in the cost of delivering services by the various units;
- the complex task of developing standard performance measures is something that will require intense collaboration and involvement of System Office unit staff;
- the task of developing a functional operating plan cannot be done easily from only the “bottom-up” approach (what is available at present for 2003), and in fact a strong governing structure is needed to effectively sort through the various options that are available – and the definition of deliverables by the System Office as a whole can only be approved by such a responsible lead body;
- the System Office governance body yet to be established should have some flexibility to allocate resources according to the System Office needs and the Integrated Business Plan

### 3.5 Resource Summary

The total annual income and expenditure of the System Office units is substantial, and quite stable from 2001-2003. This flat financial projection takes into account not only the addition of new units, but also the decline in the budget for the Future Harvest Foundation in 2003.

The sources of revenue for the System Office are varied, as are the decision criteria on how some of the revenue is collected and allocated. The illustration below shows graphically the budget shares for the units, and the funding sources overall. Details are shown in annex table 1f.

Furthermore, annex table 1g illustrates the gross budget breakdown for the different units of the System Office for 2001-2003, and annex table 1h shows the expenditure trends and financing sources for the System Office for the period 2001-2003.



The Centers themselves contribute to the System Office units in several ways. One Center allocation process is through an assessment, managed through the CDC, where all Centers provide funding according to a formula based on the Centers' size/funding. Another is a direct purchase of services, according to the level of service desired – for example in the case of Internal audit and SAS, only some Centers and the CGIAR Secretariat are direct partners, and pay on a joint venture basis, as a voluntary management action.

Table 7 shows the budget and financing trends for the period 2001-2003 in percentage terms.

**Table 7: Summary of 2001-2003 Budgets and Financing Sources, in percentages**

	Budget Shares				Financing Shares		
	2001	2002	2003		2001	2002	2003
CGIAR Secretariat	44%	43%	43%	World Bank	55%	52%	54%
Science Council Secretariat	20%	21%	21%	Other co-sponsors	8%	7%	15%
Future Harvest Foundation	15%	12%	6%	Other CGIAR Members	8%	4%	4%
AIARC	10%	10%	9%	CGIAR Center contributions	18%	21%	20%
Gender and Diversity Program	6%	6%	7%	Other income	10%	9%	6%
Internal Audit Unit	3%	3%	4%	Carryover from prior years	1%	8%	1%
Chief Information Officer	0%	0%	3%	TOTAL	100%	100%	100%
Strategic Advisory Service - HR	0%	0%	3%				
CAS-IP	3%	3%	2%				
CDC Executive Secretariat	1%	1%	1%				
TOTAL	100%	100%	100%				

Finally, it is worth noting that the units' spending by the classical CGIAR objects of expenditure is consistent internally – that is, the units all spend roughly the same percentage of budget of personnel costs, for example. This can be seen in the annex table 1g. On average, 60% of the System Office expenditure is on personnel, including consultants, which means that it is broadly similar to the personnel spending ration in the CGIAR Centers.

There are several additional observations from the financial data:

### **Budgets**

- The “traditional” Secretariats’ budgets have remained constant over the three year period, as a percentage of the total System Office.
- The newer units that are being established to support central operating functions within CGIAR Centers cost \$300,000 annually, with one person-year at the international level.
- If direct administrative and/or program support-focused units for Centers are Gender and Diversity, Internal Auditing Unit, Chief Information Officer, Strategic Advisory Service for Human Resources, and Central Advisory Service on Intellectual Property, then it can be concluded that joint and concentrated action seems to be an increasingly valued approach: the budget shares will have increased from 11 percent in 2001 to 19 percent in 2003. (Future Harvest Foundation and AIARC are excluded in this categorization, since one is a long-standing service provider for purely process activities, while the other is a complementary activity to the Centers’ own PA and resource mobilization activities).

### **Financing**

- The World Bank and Cosponsors’ shares of the financing appear to be increasing slightly in 2003, but this is largely an artifact: the UNDP (a co-sponsor) contribution for a few years was received only in arrears in 2003, but the income is fully booked in 2003, which skews the percentage.
- The Centers’ contributions remain steady at 20 percent of the total. (However, it is also true that the Centers’ contributions to SO units ultimately can be attributed to Members, including the World Bank).

The financing data are subject to change in 2003, either through additional decisions by the CDC, or from CGIAR Members, that may occur in coming months. As a result, while the units’ budgets are expected to be at the levels shown in this business plan, there could be some adjustments as the year progresses.

## **4. PROPOSED NEXT STEPS**

### **4.1 Performance Measurement**

How can we effectively monitor whether outputs have been produced efficiently and whether the outputs have led to the planned outcomes and goals? Monitoring and evaluation of activities and outputs is of high importance for achieving and maintaining a sustainable System Office that is more than merely a conglomeration of diverse units. Establishing a results-based monitoring and evaluation (M&E) system for the SO will help to demonstrate whether the SO is achieving its stated goals or, if not, how the weaknesses can be eliminated. Furthermore, a good results-based M&E system not only will provide crucial information about performance of the SO, but also would strengthen the transparency of any measures undertaken, and promote credibility and donor confidence by reporting on the results. This in turn helps to formulate and justify budget requests of the individual units and the SO as a whole.

It also is anticipated that a performance measurement system in the CGIAR will be developed shortly, as donors increasingly wish to base their funds allocation on performance measures. Therefore, it is even more important to start thinking at an early development stage of the SO about how to design a SO-wide performance measurement system and what performance indicators would describe outcomes best.

Performance measurement through a result-bases M&E system builds a dynamic management tool for assessing how outcomes are being achieved over time. What does a result-bases M&E system for the SO comprise? The main steps in designing such a system could be (which can also be an iterative process):

1. Agreeing on outcomes to monitor and evaluate
2. Selecting key indicators for monitoring outcomes
3. Measure current baseline values for the selected indicators and define realistic targets to be achieved within a fixed time frame
4. Managing for the results through implementation monitoring
5. Develop standardized reporting for results and findings
6. Evaluation
7. Incorporating findings into strategic planning of SO and annual business plan.

Step 1-3 should be realized in 2003. In order to involve all SO participants in developing a performance measurement system, a SO Workshop is proposed to bring together all units and the SO Board (see section on Governance, below) to discuss and agree on the design of the performance measurement system. Based on the workshop results, a working group should be established that subsequently develops an implementation plan for the performance measurement system and also designs a reporting framework.

### **4.2 System Office Workshop**

A SO Workshop – bringing together representatives of all units and the SO Board - should be held in the middle of this year. This workshop will help to kick-off the SO as a entity, but mainly will have three more operational objectives:

- to determine how functional programming may be achieved at the System Office level, as opposed to the individual unit level (eliminate service gaps, coordinate actions, modify work plans, etc.);
- to discuss a performance measurement strategy for the SO and establish a working group to make recommendations to the Board on performance indicators and long term goals for the coordinated activities of SO units;
- to discuss work plans and budget proposals for 2004, including the design of a common reporting and budgeting format and structure.

Ideally the workshop should be held by mid-year 2003 as the work plans for 2004 should follow a standardized reporting format along the functional goals of the SO.

### **4.3 Governance**

The most sensitive issue in the establishment of the CGIAR System Office is the question of governance: how should the virtual office be governed overall, and what role will the existing units' governance structures play if there are changes which imply a common Board of some kind for the System Office?

In the discussions on this matter during the latter part of 2002 and beginning of 2003, there is a strong consensus that, in spite of some apparent obstacles, the System Office clearly does need overall leadership and governance, to ensure that the potential benefits described in the business case can be realized. Accordingly, and subject to more detailed development and endorsement by all concerned parties, the following is generally envisaged as the future organization of the System Office governance structure. This has been discussed within the System Office Steering Committee, with the CDC and will be raised with the ExCo when plans are more developed. The principal points to be considered in establishing the new governance structure include:

1. a new common governance structure for the System Office should be established as soon as possible in 2003, and in time for it to play its role in approving new work plans for 2004 and beyond;
2. that the existing governance structures at the unit level could remain as advisory boards or other kind of technical support facility, where the need will continue to exist;
3. the feasibility of AIARC and Future Harvest Foundation coming under a single governance umbrella will have to be further studied legally and practically – it may be that these units remain outside of the common SO Board;
4. the new governing Board will be composed of the CGIAR Director, the CDC Chair or designate, the Science Council Chair or designate, and one to three other members, probably from within the CDC itself.
5. the governing Board will have the authority to approve any organizational changes in the System Office (including mergers, possibly, or additional unit(s) joining, or the dissolution of units whose role has been fulfilled, etc.), to ensure resources available to the System Office are allocated efficiently and according to priority needs, and to approve work plans of the System Office components;
6. the governing Board will be mindful of the important role played by the various advisory committees of the units, and will not micro-manage units;
7. the governing Board will ensure that reporting and accountability are at least as rigorous as they are within the CGIAR Centers, so that the CGIAR Membership will have the confidence that their financing for the System Office is well-managed.



# **Annex 1**

# CGIAR System Office Main Service Offerings for 2003

Table 1a

## Strategic Planning and Development

	Service Offering	Sub-Function	Customer	SO Collaboration	%	\$	\$'000
CG Sec	Support the CGIAR Chairman's leadership of the CGIAR	Other strategic support	CGIAR Chairman		15%	167	115
CG Sec	Coordinate activities of the CGIAR reform program	Other strategic support	CGIAR System	Science Council Sec	20%	223	
CG Sec	Support ExCo & AGM with substantive meeting documents, & follow-up action	Other strategic support	CGIAR Members		50%	557	
CG Sec	Back-stop partnership (NGOC/PSC) Committees	Other strategic support	CGIAR System		5%	56	
CG Sec	Back-stop co-sponsor group and implement their decisions	Other strategic support	Co-Sponsors		1%	11	
CG Sec	Represent the CGIAR within the World Bank	Other strategic support	World Bank		2%	22	
CG Sec	Represent the CGIAR externally	New opportunity identification and develop.	CGIAR System		1%	11	
CG Sec	Strengthen relationships with civil society organizations & private sector	Other strategic support	CGIAR System	CDC	2%	22	
CG Sec	Monitor & report on trends affecting CGIAR, in international development	Context-setting	CGIAR System	Science Council Sec	1%	11	
CG Sec	Update project portfolio database	Other strategic support	CGIAR System	Science Council Sec	1%	11	
CG Sec	Prepare CG annual financing plan	Financial management - process develop.	CGIAR System		2%	22	
SC Sec	Support the SC Chair's leadership of the SC	Other strategic support	SC Chair		10%	76	759
SC Sec	Assist in the transformation of TAC into a Science Council	Other strategic support	SC CGIAR	CGIAR Sec	10%	76	
SC Sec	Support SC with substantive documents, & follow-up action	Other strategic support	SC Ch/Members		10%	76	
SC Sec	Support SC in formulating advice on science vision, policies & strategies	Context-setting, new opportunity id & develop.	SC & CGIAR	CDC	40%	304	
SC Sec	Assist SC in Challenge Programme definition and selection	New opportunity identification and develop.	SC & CGIAR	CDC	20%	152	
SC Sec	Support SC in formulating advice on the research planning	Context-setting	SC & CGIAR	CDC	10%	76	
FHF	Develop resource mobilization strategies for FHF system programs	Organizational development	FH Board, centers	CDC Sec, AIARC, G&D	33%	18	56
FHF	Benchmark resource mobilization results				33%	18	
FHF	Benchmark policy impacts				33%	18	
AIARC	Evaluate feasibility of integrating AIARC HR software with centers' HR systems	Other strategic support	CGIAR System	CDC	100%	9	9
G&D	Research to identify best G&D practices	Strategic research	Centers/CG System		10%	45	428
G&D	Design and provide support to center-level G&D activities	Other strategic support	Centers		32%	138	
G&D	Build internal center staff capacities for G&D	Other strategic support	Centers		17%	71	
G&D	Promote women's advancement	Other strategic support	Centers/NARS		7%	32	
G&D	Assist centers with HR policy development	Other strategic support	Centers		15%	65	
G&D	G&D website and publications series	Other strategic support	Centers/NARS		18%	77	
IAU	Define best practices at collaborating centers	Financial Management - risk assessment	Centers		60%	11	18
IAU	Develop audit standards within the CGIAR system	Financial Management - guideline creation	CGIAR System	CGIAR Secretariat	40%	7	
SAS-HR	Begin development of strategic approaches to center staffing	Other strategic support	Centers	G&D	50%	100	200
SAS-HR	Help define long-term staffing needs in the CGIAR	Other strategic support	Centers	G&D	50%	100	
CIO	Research to Identify Best ICT and KM Practices				21%	33	154
CIO	Identify system-wide objectives for harmonised global org. workshop				27%	42	
CIO	Design and implement new information strategy workshop				33%	51	
CIO	Develop System-wide ICT and KM Policy				18%	28	
CAS-IP	Provide forum to exchange IP Mgmt Practice experiences (Annual IP Worksp)	IP Asset Management/Technology Transfer	Centers		45%	19	43
CAS-IP	Identify best IP management practices at CGIAR Centers	IP Management/Technology Transfer	Centers/CG System		15%	6	
CAS-IP	Resource for other System-wide bodies such as GRPC, SGRP, CSI, iSC	Other strategic support	CGIAR System		40%	17	

Total

2,781

## CGIAR System Office Main Service Offerings for 2003

### Monitoring and Evaluation

	Service Offering	Sub-Function	Customer	SO Collaboration	%	\$	\$'000
CG Sec	Initiate changes to streamline CG evaluation processes	Evaluation - center operations	CGIAR System	Science Council Sec	40%	212	529
CG Sec	Coordinate & backstop management component of center external reviews	Evaluation - center operations	CGIAR System	Science Council Sec	10%	53	
CG Sec	Produce CG annual financial report	Monitoring - fiduciary	CGIAR System		10%	53	
CG Sec	Monitor compliance to CG financial guidelines	Monitoring - financial control	Centers	Internal Audit Unit	20%	106	
CG Sec	Anchor CGIAR finance managers' networks	Evaluation - center management processes	Centers		20%	106	569
SC Sec	Support SC in formulating advice on evaluation of the CGIAR research agenda	Evaluation - research agenda	SC & CGIAR	CDC	35%	199	
SC Sec	Assist SC develop processes to evaluate science relevance, quality & impact of all programs	Peer review & evaluation	SC & CGIAR	CDC	35%	199	
SC Sec	Organize & implement SC-commissioned external evaluation of Centres	Evaluation - Centre programmes	SC & CGIAR		20%	114	
SC Sec	Organize & implement SC-commissioned external evaluation of SWP and CPs	Evaluation - SWPs and CPs	SC & CGIAR		5%	28	
SC Sec	Organize & implement SC-commissioned System-level impact assessments	Evaluation - Impact	SC & CGIAR		5%	28	112
FHF	Participate in FHF evaluation for CDC	media support	Centers		33%	37	
FHF	Carry out perception audit of CGIAR system with stakeholders	audience evaluation	Centers/partners		33%	37	
FHF	Carry out communications capacity audit with Centers	audience evaluation	Centers/partners		33%	37	68
AIARC	Monitor and report on performance of the System Pension Plan	Monitoring - financial control	Centers & participants	CDC	40%	27	
AIARC	Monitor and report on performance of the System Self-Insurance Plans	Monitoring - financial control	Centers	CDC	60%	41	126
G&D	Monitor progress and impact	Monitoring - human resources	Centers/CGIAR System		42%	53	
G&D	Special project - systemwide HR survey	Monitoring - human resources	System	SAS	58%	73	339
IAU	Complete the IRRI audits and advisory services	Evaluation - center operations/mgmt processes	Centers	CIO in some cases, others such as CAS for particular audits	22%	74	
IAU	Complete the ICLARM audits and advisory services	Evaluation - center operations/mgmt processes	Centers		9%	30	
IAU	Complete the CIFOR audits and advisory services	Evaluation - center operations/mgmt processes	Centers		8%	28	
IAU	Complete the IPGRI audits and advisory services	Evaluation - center operations/mgmt processes	Centers		8%	28	
IAU	Complete the IWMI audits and advisory services	Evaluation - center operations/mgmt processes	Centers		8%	28	
IAU	Complete support to CIMMYT audits and advisory services	Evaluation - center operations/mgmt processes	Centers		9%	30	
IAU	Complete support to CIAT audits and advisory services	Evaluation - center operations/mgmt processes	Centers		9%	30	
IAU	Complete support to ICARDA audits and advisory services				9%	30	
IAU	Complete support to ISNAR audits and advisory services				4%	15	
IAU	Complete the CG Secretariat audit services and tasks for the system	Evaluation - system governance	CGIAR System		CGIAR Secretariat	9%	
IAU	Accomplish the progress review of completed audits	Monitoring - center operations/mgmt processes	Centers			4%	15
SAS-HR	Monitor impact and success of personnel management actions	Monitoring - center operations/mgmt processes	Centers	G&D	100%	100	100
CAS-IP	Center Visits to assess IP Management	Evaluation - center operations/mgmt processes	Centers		100%	22	22

Total

1,865

Table 1c

## CGIAR System Office Main Service Offerings for 2003

### Public Awareness and Resource Mobilization

	Service Offering	Sub-Function	Customer	SO Collaboration	%	\$	\$'000
<b>CG Sec</b>	Develop & implement integrated CGIAR communications strategies	PA - communication, outreach, and advocacy	CGIAR System	Future Harvest	40%	554	1,385
<b>CG Sec</b>	Develop PA initiatives to communicate role/impact of CG system	PA - impact illustration	CGIAR System	Future Harvest	25%	346	
<b>CG Sec</b>	Coordinate & facilitate CG representation at public events/conferences	PA - communication, outreach, advocacy, branding	CGIAR System	Future Harvest	5%	69	
<b>CG Sec</b>	Anchor Resource Mobilization Network (RMN) & administer list-server	Fundraising - maintaining and expanding support	Centers		5%	69	
<b>CG Sec</b>	Plan and execute membership expansion program	Fundraising - broadening LDC membership	CGIAR System		10%	138	
<b>CG Sec</b>	Maintain active Member contact including updating Member profiles	Fundraising - maintaining current support	CGIAR System		3%	42	
<b>CG Sec</b>	Provide professional development opportunities for center communications staff	PA - professional development	Centers		3%	42	336
<b>CG Sec</b>	Produce CG corporate brochures, reports, presentations, etc.	PA - outreach, advocacy	CGIAR System		9%	125	
<b>FHF</b>	Raise PA & funding for agriculture/research as a pillar for sustainable dev.	message development, coalition-building	centers/partners	CGSec	30%	101	
<b>FHF</b>	Raise public awareness of the work of centers and the CGIAR system	message dev, branding, etc.	centers	CGSec	30%	101	
<b>FHF</b>	Raise funds to enhance capacity to deliver services and fulfill mandate	resource mobilization - new donors	centers/partners	CGSec	30%	101	
<b>FHF</b>	Assist with resource mobilization strategies for centers and projects	strategy and resource mobilization	centers	CGSec	10%	34	
<b>G&amp;D</b>	Represent G&D in CG events and other conferences	PA - outreach, advocacy, fundraising	CGIAR System		100%	33	33
<b>CIO</b>	ICT/KM Representation in CG Events and Other Conferences				100%	13	13
<b>CDC Sec</b>	Write articles for CGIAR news and other publications on CDC activities/outputs	PA - communications	CGIAR System		100%	6	6

Total

1,772

# CGIAR System Office Main Service Offerings for 2003

Table 1d

## Management Services

	Service Offering	Sub-Function	Customer	SO Collaboration	%	\$	'000
CG Sec	Coordinate System Office establishment/functioning	Administrative Change - service coordination	CGIAR System	All units	2%	18	891
CG Sec	Organize & manage the Annual General Meeting (AGM) & ExCo meetings	Events planning - agenda setting, logistics, reporting	CGIAR System		40%	356	
CG Sec	Update CGIAR Financial Accounting Manual	Finance - system support	Centers	IAU	6%	53	
CG Sec	Support centers and CP's on legal and governance issues	Administrative Change - strengthening capacity	Centers	CAS-IP	6%	53	
CG Sec	Establish strategic human resource service with CGIAR centers	Administrative Change - strengthening capacity	Centers	CDC / AIARC / G&D	5%	45	
CG Sec	Collaborate with CIO as a sponsor/client	Administrative Change - strengthening capacity	Centers	CDC	5%	45	
CG Sec	Collaborate with G&D Program as a sponsor/client	Administrative Change - strengthening capacity	Centers	SAS-HR	5%	45	
CG Sec	Collaborate in Internal Audit Unit initiative as a sponsor/client	Administrative Change - strengthening capacity	Centers	CDC / IA Unit	5%	45	
CG Sec	Support CBC and organize new Trustee training/orientation activities	Organizational culture - strengthen governance	CGIAR System		2%	18	
CG Sec	Maintain CGIAR, CIS and contact databases	Organizational culture - strengthen governance	CGIAR System		3%	27	
CG Sec	Assist CGIAR Members with financial disbursements and accountability	Finance - Cash management and disbursements	CGIAR Members		7%	62	
CG Sec	Monitor and advise centers on CGIAR annual funding/databases	Finance - Cash management and disbursements	Centers		3%	27	
CG Sec	Re-launch IFAR to provide strategic training assistance within the CGIAR	<b>Organizational culture - professional development</b>	CGIAR System		2%	18	
CG Sec	Explore, with centers, opportunities for coordinated purchasing	Administrative Change - service coordination	Centers		2%	18	
CG Sec	Provide opportunities for professional development of partners at centers	Organizational culture - professional development	CGIAR System	CDC	3%	27	
CG Sec	Develop CGIAR website & maintain core document collection	Knowledge management - content creation	CGIAR System		4%	36	
SC Sec	Assist in coordinating SC Activities	Coordination - implementation	SC		5%	28	
SC Sec	Organize Science Council meetings	Events planning - agenda setting, logistics, reporting	SC		15%	85	
SC Sec	Prepare documentation for the SC and CGIAR meetings	Knowledge management	SC		35%	199	
SC Sec	Further develop the virtual mode of meetings and evaluations follow-up		SC		5%	28	
SC Sec	Publish reports of strategic studies, reviews and meetings	Knowledge management	SC & CGIAR	CGIAR Sec	20%	114	
SC Sec	Maintain SC website and document collection	Knowledge management	SC & CGIAR	CGIAR Sec	5%	28	
SC Sec	Maintain SC databases and roster of peer reviewers	Knowledge management	SC & Centres	CGIAR Sec	5%	28	
SC Sec	Liaising with FAO on administrative and technical aspects of SC	Protocol, administrative and technical collaboration	FAO		5%	28	
SC Sec	Facilitate liaison and communication between SC and Centres				5%	28	
FHF	Assist individual centers to develop communication and outreach strategies	public profile raising	Centers	CG Secretariat	50%	28	56
FHF	Coordinate Monterrey Bridge Coalition and Ecoagriculture Partners				50%	28	
AIARC	Process payroll statements for centers and payments for individuals	Human Resources - payroll & benefits administration	Centers and Staff	CDC	20%	156	779
AIARC	Process insurance premiums and enrollment/changes for individuals	Human Resources - payroll & benefits administration	Centers and Staff	CDC	15%	117	
AIARC	Process centers/individuals pension contributions & enrollment/changes	Human Resources - payroll & benefits administration	Centers and Staff	CDC	15%	117	
AIARC	Report to American tax authorities for US citizens and residents as necessary	Human Resources - payroll & benefits administration	Centers and Staff	CDC	5%	39	
AIARC	Negotiate/contract with insurance, banking & other agents for Center Plans	Administration	Centers and Staff	CDC	3%	23	
AIARC	Provide additional admin services (mail, travel/relocation, salary surveys, etc.)	Administration	Centers and Staff	CDC & CBC	2%	16	
AIARC	Administrator of CG system's self-insurance Plan	Finance - Cash management and disbursements	Centers	CDC	17%	132	
AIARC	Provide financial services & support to CDC, PARC, Future Harvest, CG Sec.	Finance - Cash management and disbursements	CDC, FH, CG Sec		10%	78	
AIARC	Contract/negotiate with investment firms, remit contributions/fees	Pension Plan administrator	Pension Plan Trustee	CDC & plan participants	1%	8	
AIARC	Process fund performance, withdrawals and transfers for individuals	Pension Plan administrator	Pension Plan Trustee	CDC & plan participants	6%	47	
AIARC	Distribute quarterly pension statements, investment performance & Plan comms	Pension Plan administrator	Pension Plan Trustee	CDC & plan participants	6%	47	
G&D	Assist centers with international recruitments, on request	Human resources - recruitment	Centers		100%	13	13
IAU	Lead CGIAR Internal Audit Network	Organizational culture - professional development	Centers	CGIAR Secretariat	66%	7	11
IAU	Represent CGIAR in international forums on accounting/auditing	Other strategic support	CGIAR System	CGIAR Secretariat	34%	4	
CIO	Build Internal Staff Capacities				18%	24	133
CIO	Pilot CGIAR Intranet				31%	42	
CIO	Special Project(s) to be identified				50%	67	
CAS-IP	Assist centers with IP policy and implementation (IP tools)	Knowledge sharing, communications, technical exp.			30%	45	151
CAS-IP	Maintain database/network of IP professionals	Knowledge sharing, communications, technical exp.	Centers		10%	15	
CAS-IP	Facilitate multi-Center collaboration (intra- and extra-CGIAR, e.g. CP)	Organizational culture-professional development	Centers		50%	76	
CAS-IP	Publish CAS briefing papers, reports	Knowledge sharing, communications, technical exp.	Centers, CG system		10%	15	
CDC Sec	Administer the CDC meetings (help prepare agenda, minutes, logistics, etc.)	Events management	CDC		70%	77	110
CDC Sec	Serve in coordinating mechanism capacity for the CDDC and CBC activities	Administrative Change - service coordination	CDDC and CBC		15%	17	
CDC Sec	Assist CDC develop/administer budget incl. center shares for central services	Administrative Change - service coordination	CDC		15%	17	

Total

2,714  
29

## CGIAR System Office

### Functional Activity Matrix, 2003

#### System Office Unit Shares of Total Functional Efforts, and Functional Shares Overall

	Strategic Planning and Development		Monitoring and Evaluation		PA and RM		Management Services		TOTAL
	%	\$'000	%	\$'000	%	\$'000	%	\$'000	\$'000
<b>CGIAR Secretariat</b>	40%	1.11	28%	0.53	78%	1.38	33%	0.89	<b>3.92</b>
<b>Science Council Secretariat</b>	27%	0.76	31%	0.57			21%	0.57	<b>1.90</b>
<b>Future Harvest Foundation</b>	2%	0.06	6%	0.11	19%	0.34	2%	0.06	<b>0.56</b>
<b>AIARC</b>	0.3%	0.01	4%	0.07			29%	0.78	<b>0.86</b>
<b>Gender and Diversity</b>	15%	0.43	7%	0.13	2%	0.03	0.48%	0.01	<b>0.60</b>
<b>Internal Audit</b>	1%	0.02	18%	0.34			0.4%	0.01	<b>0.37</b>
<b>Strategic Advisory Service - HR</b>	7%	0.20	5%	0.10					<b>0.30</b>
<b>Chief Information Officer</b>	6%	0.15			1%	0.01	5%	0.13	<b>0.30</b>
<b>Central Advisory Service - IP</b>	2%	0.04	1%	0.02			6%	0.15	<b>0.22</b>
<b>CDC Executive Secretary</b>						0.01	4%	0.11	<b>0.12</b>
<b>TOTAL</b>	<b>100%</b>	<b>2.78</b>	<b>100%</b>	<b>1.86</b>	<b>100%</b>	<b>1.77</b>	<b>100%</b>	<b>2.71</b>	<b>9.13</b>
		<b>30%</b>		<b>20%</b>		<b>19%</b>		<b>30%</b>	<b>100%</b>

**Interpretation:**

The CGIAR Secretariat accounts for 40% of the System Office effort in strategic planning and development, which itself accounts for 30% of the functional effort of the whole System Office's activities.

#### System Office Unit Functional Composition

	CGSec	SCSec	FHF	AIARC	G&D	IAU	SAS-HR	CIO	CAS-IP	CDCSec
<b>Strategic Planning</b>	28%	40%	10%	1%	71%	5%	67%	51%	20%	
<b>Monitoring/Evaluation</b>	14%	30%	20%	8%	21%	92%	33%		10%	
<b>PARM</b>	35%		60%		5%			4%		5%
<b>Management Services</b>	23%	30%	10%	91%	2%	3%		44%	70%	95%
<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

**Interpretation:**

The CGIAR Secretariat spends 28% of its budget on strategic planning and development.

## 2003 Financing - CGIAR System Office Components

(in USD \$'000)

Income Source	CGIAR Sec	SC Sec 1/	FH Found	AIARC 2/	G&D Program	Internal Audit	SAS-HR	CIO	CAS-IP	CDC Exec Sec	TOTAL	SHARE
World Bank	3,920	550	38		100	60	150	150			4,968	54%
Co-sponsors		1,347									1,347	15%
CG members 3/					370						370	4%
CGIAR Centers 4/												
CIAT			21		8	30	30	12	17	10	128	1.4%
CIFOR			9		4	30		6	8	4	61	0.7%
CIMMYT			30		12	30	30	18	24	14	157	1.7%
CIP			14		6			8	12	7	47	0.5%
ICARDA			16		6	30		10	13	7	82	0.9%
ICLARM			9		4	30	30	5	8	4	90	1.0%
ICRAF			16		7			10	13	8	54	0.6%
ICRISAT			15		6			9	13	7	50	0.5%
IFPRI			16		7			10	14	8	55	0.6%
IITA			24		10			14	20	11	78	0.9%
ILRI			18		7			11	15	9	60	0.7%
IPGRI			17		7	30	30	10	14	8	116	1.3%
IRRI			23		9	75		14	19	11	151	1.6%
ISNAR			6		2	15		4	5	3	35	0.4%
IWMI			8		3	30	30	5	7	4	87	1.0%
WARDA			7		3			4	5	3	22	0.2%
Total Centers			250	532	100	300	150	150	206	116	1,805	20%
Other income 5/			280	276							556	6%
Carryover				48	30	8			10		96	1%
<b>TOTAL</b>	<b>3,920</b>	<b>1,897</b>	<b>568</b>	<b>856</b>	<b>600</b>	<b>368</b>	<b>300</b>	<b>300</b>	<b>216</b>	<b>116</b>	<b>9,141</b>	<b>100%</b>
Share	43%	21%	6%	9%	7%	4%	3%	3%	2%	1%	100%	

**Notes:**

- 1/ Centers also pay the cost of External Reviews, not reflected above, managed in collaboration with the SC Secretariat.
- 2/ AIARC also receives income, not reflected above, for providing services to non-CGIAR center clients.
- 3/ Expected Member support to Gender and Diversity in 2003 is from Netherlands (\$150,000), Norway (\$170,000), and Switzerland (\$50,000).
- 4/ Center contributions to AIARC depend on the volume of services purchased by each center - details not available at this time.  
Center contributions to the CIO, G&D, FHF, CAS-IP, & CDC Exec Sec result from CDC assessments based on the previous year's funding.  
The above figures are estimates, subject to minor changes when Centers' 2002 audited financial statements are available.
- 5/ The estimate of \$250,000 for Future Harvest Foundation is based on indications from negotiations presently ongoing.  
The estimate of \$276,000 for AIARC is based on expected income from the pension plan.

Table 1g

2003 Expenditures and Manpower - CGIAR System Office

Expenditure	CGIAR Sec	SC Sec	Future Harvest	AIARC	G&D Program	Internal Audit	CIO	SAS	CAS-IP	CDC Exec Sec	TOTAL
Personnel, including consultants	2,455	775	312	669	316	284	202	200	149	75	5,436
General Operations	620	190	189	159	110	10	25	30	52	14	1,399
Travel	370	40	47	16	38	71	30	25	15	20	673
Other	475	892	20	12	135	3	43	45	0	7	1,632
<b>TOTAL</b>	<b>3,920</b>	<b>1,897</b>	<b>568</b>	<b>856</b>	<b>600</b>	<b>368</b>	<b>300</b>	<b>300</b>	<b>216</b>	<b>116</b>	<b>9,141</b>

Expenditure (as %)

Personnel, including consultants	63%	41%	55%	78%	53%	77%	67%	67%	69%	65%	59%
General Operations	16%	10%	33%	19%	18%	3%	8%	10%	24%	12%	15%
Travel	9%	2%	8%	2%	6%	19%	10%	8%	7%	17%	7%
Other	12%	47%	4%	1%	22%	1%	14%	15%	0%	6%	18%
<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



## CGIAR System Office Expenditures, 2001-2003

	Expenditures/Budget in \$ million		
	2001 Actual	2002 Estimate	2003 Requirement
CGIAR Secretariat	3.9	3.9	3.9
Science Council Secretariat	1.7	1.9	1.9
Future Harvest Foundation	1.3	1.1	0.6
AIARC	0.9	0.9	0.9
Gender and Diversity Program	0.5	0.5	0.6
Internal Audit Unit	0.3	0.3	0.4
Chief Information Officer	0.0	0.0	0.3
Strategic Advisory Service - HR	0.0	0.0	0.3
CAS-IP	0.2	0.3	0.2
CDC Executive Secretariat	0.0	0.1	0.1
<b>TOTAL</b>	<b>8.9</b>	<b>9.1</b>	<b>9.1</b>

## CGIAR System Office Financing Sources, 2001-2003

	Financing in \$ million		
	2001 Actual	2002 Estimate	2003 Expectation
World Bank (direct or via CGSec)	4.9	4.7	5.0
Other co-sponsors	0.7	0.6	1.3
Other CGIAR Members (direct)	0.7	0.3	0.4
CGIAR Center contributions	1.6	1.9	1.8
Other income	0.9	0.8	0.6
From carryover from prior years	0.1	0.7	0.1
<b>TOTAL</b>	<b>8.9</b>	<b>9.1</b>	<b>9.1</b>

## Summary of 2001-2003 Budgets and Financing Sources, in percentages

	Budget Shares				Financing Shares		
	2001	2002	2003		2001	2002	2003
CGIAR Secretariat	44%	43%	43%	World Bank	55%	52%	54%
Science Council Secretariat	20%	21%	21%	Other co-sponsors	8%	7%	15%
Future Harvest Foundation	15%	12%	6%	Other CGIAR Members	8%	4%	4%
AIARC	10%	10%	9%	CGIAR Center contributions	18%	21%	20%
Gender and Diversity Program	6%	6%	7%	Other income	10%	9%	6%
Internal Audit Unit	3%	3%	4%	Carryover from prior years	1%	8%	1%
Chief Information Officer	0%	0%	3%	<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>
Strategic Advisory Service - HR	0%	0%	3%				
CAS-IP	3%	3%	2%				
CDC Executive Secretariat	1%	1%	1%				
<b>TOTAL</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>				



## **Annex 2**

# **CGIAR System Office Units**

# CGIAR Secretariat

## **INTRODUCTION: AN OVERVIEW**

The CGIAR Secretariat (the Secretariat), a unit of the evolving System Office, supports the two main organs of the CGIAR, the Group and its Executive Council (ExCo). Together with the Centers, it bears the primary responsibility for ensuring that CGIAR decisions are carried out. It is, as well, a focal point for relations with external partners, from legislative decision makers and scientific communities in the public and private sectors, to civil society institutions and the general public (See Box 1). The business objective of the CGIAR Secretariat is to facilitate the efforts of the CGIAR System to fulfill the CGIAR mission, in keeping with the needs and aspirations of partners and beneficiaries

The CGIAR Director heads the Secretariat which functions administratively as a department of the World Bank's Vice Presidency for Environmentally and Socially Sustainable Development (ESSD). The Secretariat supports the CGIAR Chairman, a Vice President of the World Bank (currently, the ESSD Vice President) in his role as the System's leader and its chief spokesperson. It counts all components of the System among its client groups.

The Secretariat continuously seeks areas in which the CGIAR alliance can be broadened and strengthened. For instance, it responds to inquiries from potential new members and, responds to a variety of inquiries concerning the advantages and responsibilities of CGIAR membership. These efforts continue to show results.

The vision of the Secretariat is to be efficient, effective, transparent, participative, proactive and responsive, in carrying out its responsibilities. Cost effectiveness is a key determinant of the Secretariat's work program and work style. Secretariat staff combine their experience and expertise in cross-cutting activities to carry out the Secretariat's Business Plan. However, they are organized as three teams (Communications, Finance, and Governance/Management) plus the Director's Office.

The Secretariat currently has three junior professional staff on board. Two, from Germany are on two-year assignments. One was appointed in a cost sharing arrangement between the World Bank and BMZ, and the other in a cost sharing arrangement between the Secretariat and GTZ. A third junior professional has been assigned to the Secretariat by USDA, which is responsible for salary and benefits.

The Secretariat works collaboratively with all components of the System, and with stakeholders. It houses the staff of the *Future Harvest Foundation*, set up by the Centers to increase public awareness about the significance of agricultural research.

## **MAINTAINING THE MOMENTUM OF CHANGE**

The broad context of the Secretariat's Business Plan for 2003 is the continuing implementation of the Reform Program that was launched in May 2001. To summarize briefly, the Reform Program:

- Limited general meetings of the CGIAR to once-a-year, with business to be conducted through a small *Executive Council* between annual meetings, thus creating a new organizational culture;
- Called for the development of *Challenge Programs* (CPs) that respond directly to major concerns on the global development agenda;

- Decided to transform the CGIAR Technical Advisory Committee (TAC) into a *Science Council (SC)* with a more strategic role than TAC; and
- Decided to establish a CGIAR *System Office* to facilitate coherence and cost-effectiveness in System management and communications.

In 2003, ExCo will further develop its role as a facilitator for the Group's work. The Science Council will be inaugurated, and the System Office will be further developed as the System's institutional and communications anchor. The CGIAR, which was ably and actively represented at the World Summit on Sustainable Development in Johannesburg, will work with partners to meet the post-summit targets and time tables.

The Secretariat, as the System's central facilitator and service provider, will be actively involved in these efforts, supporting the Chairman, all components of the System, and the broader community of stakeholders.

It will, meanwhile, continue with its customary day-to-day tasks. Prominent among these is the responsibility for maintaining liaison within the World Bank in support of the World Bank's contribution to the CGIAR. Taking these developments account, the Secretariat's 2003 business plan is designed to meet the following goals:

- to maintain the momentum of the Reform Program, and ensure that the program's desired outcomes are achieved; supporting the agents of change;
- to support the CGIAR Chairman, ExCo, ExCo's Finance and Program Committees; and the Centers;
- to launch or facilitate initiatives that are consistent with the objectives of change, including establishment of the Science Council;
- to mobilize resources for the CGIAR System's research agenda;
- to promote greater public knowledge about the effectiveness of international agricultural research;
- to strengthen and nurture the System's partnerships; and
- to carry out all its existing responsibilities.

Highlights of the Secretariat's work program in 2003 are presented below in terms of four major thrusts:

1. Strategic Planning and Development.
2. Monitoring and Evaluation.
3. Public Awareness and Resource Mobilization.
4. Management Services.

## **STRATEGIC PLANNING AND DEVELOPMENT**

### **Goals:**

1. Be engaged in, and contribute to the continued successful implementation of the System's Reform Program.
2. Support the Annual General Meeting and the Executive Council.
3. Nurture best practices in governance across the System without intruding into the sovereignty of members or the autonomy of Centers.

**Deliverables:**

- Support the CGIAR Chairman's leadership of the CGIAR;
- Coordinate activities of the CGIAR Reform Program;
- Support AGM and ExCo with substantive meeting documents, and follow-up actions;
- Backstop Partnership (Private Sector and NGO) Committees;
- Backstop Cosponsor Group and implement their decisions;
- Represent the CGIAR;
- Represent the CGIAR within the World Bank;
- Strengthen relationships with civil society organizations and the private sector;
- Monitor and report on trends affecting CGIAR, in international development;
- Update project portfolio base;
- Update CGIAR Financial Accounting Manual;
- Prepare CGIAR annual financing plan.

**MONITORING AND EVALUATION****Goals:**

1. Strengthen the System's evaluation culture.
2. Support the development of external reviews and monitor their implementation.
3. Develop mechanisms for ensuring accountability in the System.

**Deliverables:**

- Initiate changes to streamline CGIAR evaluation processes;
- Coordinate and backstop management component of Center external reviews;
- Produce CGIAR annual financial report;
- Monitor compliance with CGIAR financial guidelines;
- Anchor CGIAR finance managers' networks.

The Secretariat collaborated with a Meta-Evaluation of the CGIAR conducted under the direction of Uma Lele, Senior Adviser, OED, and a former TAC member. Support from the Secretariat included the compilation of an integrated document recording implementation of the Third System Review's recommendations.

Ms. Lele made a preliminary presentation on the draft evaluation at AGM02. The overall conclusion of the meta-evaluation was that the CGIAR's productivity research has well-documented positive impacts, and that, as an international research network, it remains vital to agricultural development and poverty reduction. The evaluation identified what it considered to be weaknesses in the System, and Ms. Lele outlined a number of recommendations concerning research, governance, and the Bank's relationship with the CGIAR.

When the report becomes a public document in 2003, after its consideration by the Bank's Committee on Development Effectiveness (CODE), the Secretariat will work with ExCo to create an appropriate arrangement for its discussion by the CGIAR.

The Secretariat will also monitor the implementation of recommendations made by the evaluation and, in some cases, be responsible for their implementation. Currently, the Secretariat is preparing a consolidation of rules of procedure for the CGIAR System. The

Secretariat will also prepare the groundwork for the next independent evaluation of the System, due in 2005/6.

## **PUBLIC AWARENESS AND RESOURCE MOBILIZATION**

### **Goals:**

1. Facilitate the outreach and inreach efforts of the CGIAR Chairman and Director.
2. Improve the efficiency and efficacy with which the System does business.
3. Promote transparency, accountability, and coherence in the System through institutional inreach.
4. Create public awareness on the impact of CGIAR-supported research, thereby building constituencies of support for the System.
5. Strengthen partnerships.

### **Deliverables:**

- Develop and implement integrated CGIAR communication strategies;
- Develop public awareness initiatives to communicate role/impact of CGIAR Centers;
- Coordinate and facilitate CGIAR representation at public events/conferences;
- Anchor Resource Mobilization Network and administer list-server;
- Plan and execute membership expansion program;
- Maintain active Member contact including updating Member profiles;
- Provide professional development opportunities for Center communications staff;
- Produce CGIAR corporate brochures, reports, presentations, etc.

A redesigned and reinvigorated communications program is being carried out, in collaboration with members, the Centers, and the *Future Harvest Foundation*. A new corporate “look” has been introduced to the Secretariat’s documents and publications, and the public exhibit set up in connection with AGM02 was expanded and revamped to showcase the work of Centers and partners. This will continue in 2003.

## **MANAGEMENT SERVICES**

### **Goals:**

1. Help to mobilize new resources (financial, human, and proprietary technology) from traditional and non-traditional donors.
2. Minimize fluctuations in funding for the Centers.
3. Enhance member confidence by helping to improve accountability.
4. Support the System’s financial institutions.

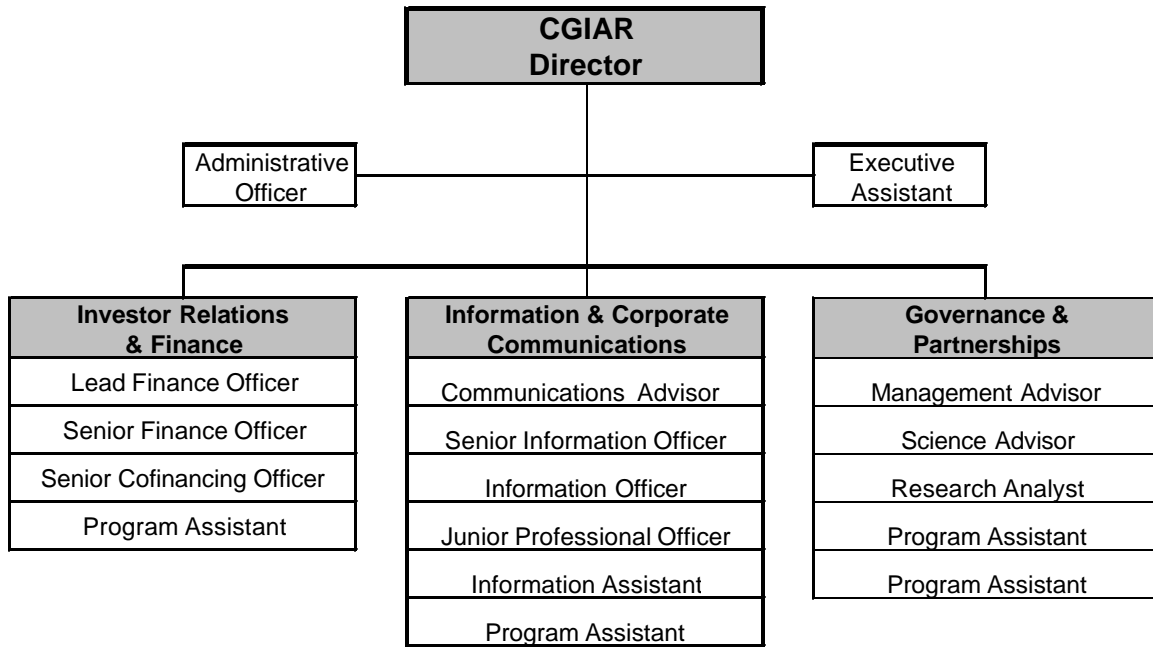
### **Deliverables:**

- Organize and manage AGM and ExCo meetings;
- Support CPs on legal and governance issues;
- Establish strategic human resource service with CGIAR Centers;
- Collaborate in internal Audit Unit Initiative;
- Support CBC and organize new Trustee training/orientation activities;
- Maintain CGIAR, CIS, and contact databases;
- Assist CGIAR members with financial disbursements and accountability;
- Monitor and advise Centers on CGIAR annual funding/databases;
- Facilitate and support the CGIAR Chief Information Officer;

- Explore opportunities for coordinated purchasing with Centers;
- Develop CGIAR web site and maintain core document collection.



## Staff List (Arranged by Team)



# The interim Science Council Secretariat

## Introduction

The iSC/SC Programme of Work and Budget takes into account the outcome of the AGM 02 including the recommendations of the Working Group on Science Council. In view of the transitional arrangements, the 2003 activities have been partitioned into two portions, the first covering January to June 2003 and the last spanning July through December 2003. The work programme is also being implemented in the context of the iSC Corporate Plan for 2001-2003, which was revised to take in account the adoption of the new CGIAR Vision and Strategy approved by the CGIAR in 2000<sup>1</sup>. In 2002, the Challenge Programmes (CPs) process appropriated the larger share of iSC time and resources. While the evaluation of Challenge Programmes will continue on a reduced scale, work remains to be performed in establishing a peer review mechanism, monitoring of their implementation and refining the strategic context for considering additional CPs within the CGIAR goals. During 2003, the thrust of iSC/SC work will shift to Priority and Strategy process, drawing on inputs from impact assessment, evaluation and mobilisation of scientific expertise. The programme is flexible to allow the regular SC pick up from where the iSC phases out.

## Activities of iSC/SC

In conformity with the CGIAR reform process, the former TAC is being transformed into Science Council. In 2002, TAC operated as interim Science Council (iSC) and remains so until June 30<sup>th</sup> 2003, when it will be replaced by a Science Council (SC). The primary functions of the Science Council as defined by the CGIAR are:

1. Ensuring the relevance of science;
2. Enhancing the quality of science;
3. Assessing the impact of CGIAR research; and,
4. Helping to mobilize global scientific expertise.

The activities of the Science Council are envisaged as:

- a) Constituting panels of world-class experts for peer review/evaluation of the Centres' activities and the Challenge Programmes and for conducting specific studies;
- b) Conducting periodic assessments of global and regional trends, scientific challenges and research opportunities for formulating CGIAR priorities and strategies;
- c) Providing a critical review of System-level research agenda and advise on cross-System coherence;
- d) Reviewing Challenge Programme proposals; mount peer review mechanisms, as necessary for review of the proposals;
- e) Coordinating the CGIAR's science monitoring and evaluation (including oversight of the peer review and other quality assurance mechanisms used by the Centres);
- f) Coordinating System-level impact assessment activities;
- g) Undertaking independent and authoritative policy-oriented studies on issues of global concern to international agricultural development;

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<sup>1</sup> The TAC Corporate Plan is in line with the FAO Programme of Work and Budget (PWB) 2002-2003 biennium. While the CGIAR Cosponsors discuss and approve the annual work and budget of TAC, the FAO PWB 2002-2003 is approved by the FAO Conference. Thus, the TAC budget in FAO is managed as a Trust Fund.

- h) Issuing short and timely statements on research and policy issues of interest to the general public; and,
- i) Maintaining a global inventory/directory of world-class experts in agricultural sciences and related areas, collaborating with Centres and other partners.

The former TAC/iSC operated with two standing committees (Standing Committee on Priorities and Strategies, SCOPAS, and Standing Committee on External Reviews, SCOER) and one standing panel (Standing Panel on Impact Assessment, SPIA). Under the new arrangements, the SC will operate through four standing panels: (i) Strategies and Priorities; (ii) Monitoring and Evaluation; (iii) Impact Assessment; and (iv) Mobilizing Science.

### **Activities Proposed for 2003**

Some of the activities from 2002 will continue in 2003 and those that will not be completed by June 30<sup>th</sup> will be handed over to the Science Council. In the course of ExCo3 and AGM 02 meetings, additional requests have been made to the iSC. The three Standing Committees of SCOPAS, SCOER and SPIA have updated their activities, identifying priority areas within the limit of available resources. During the first half of 2003, the iSC intends to implement its programme of work through the original three sub-committees. However, some activities under the Standing Panel on Mobilizing Science will be taken up. In the latter part of 2003 the SC will set up the four standing panels in accordance with the recommendation of the report of the Working Group on SC. Accordingly, programmatic aspects of the iSC/SC work have assumed the structure of the future SC. To assist it in its work, the Science Council will mobilize global panels of experts, resource persons and consultants and staff of the SC Secretariat.

### **Priorities and Strategies**

AGM 02 endorsed the CGIAR Priorities and Strategies as one of the four main functions of the future Science Council. Accordingly, the Panel on P&S is charged with the responsibility of ensuring the relevance of science conducted in the CGIAR System. There is a need to update and/or replace the 1997 CGIAR Priorities & Strategies in order to assist the Centres in preparing their 2004-2005 MTPs. The CGIAR Chairman's letter of January 13, 2003, echoed the need for a clear strategic context within which CPs and other scientific activities would be developed.

The interim Science Council will utilize its completed and ongoing strategic studies and the new CGIAR Vision and Strategy to support P&S process. These strategic studies include: planning System level priorities and strategies; regional priority setting; poverty related studies; poverty mapping; INRM; abiotic stress genomics; animal and fish genetic resources; social research capacity in the CGIAR; food safety; biosafety; ethics and Social Science in the CGIAR; international public goods in an era of IPR; and information and communications technology.

The interim Science Council proposes to tap on the global science expertise by adopting a bottom up two-step approach to the new priorities and strategies exercise. It is proposed that four focus groups facilitated by iSC Members but drawing on approximately one hundred persons will be established to facilitate the P&S process. The groups will engage in internal processes to develop a list of ranked recommendations for research priorities. The comments and scientific inputs will be utilized to prepare an integrated draft document on priorities and strategies to be discussed by iSC in June 2003 and AGM03, October 2003. Individual activities are as follows:

#### ***CGIAR Priorities and Strategies Exercise***

- Four Stakeholders Focus Groups on Global Priority Outputs/Impacts (Step I).
- Four Focus Groups on Research Priorities and Strategies for CGIAR (Step II).

- Updating of 1997 priorities data base for Steps I & II – FAO, Millenium Assessment, IFPRI, WB, UNDP and Centre-specific data and processing.
- Commissioned papers on key issues – Update of previous papers plus new ones for Steps I & II.
- Papers already completed by iSC to be formatted for Steps I & II.

### ***Regional Research Planning and Priority-Setting***

- Integration of regional priorities with global priorities and publications.

### ***Poverty-Technology Linkages***

- Global and regional studies on poverty-technology linkages. Various publications and additional regional studies – *to be implemented in 2004*.
- Formal modeling of poverty-technology linkages – *to be implemented in 2004*.
- Poverty mapping/data base.

### ***Strategic Issues and Studies***

- *Abiotic Stress Genomics* - Paper completed in 2002; elements incorporated in Genetic Resources CP; other aspects (e.g. biotic stress genomics) for follow-up with CDC/Centres.
- *Food Safety* - Draft completed by FAO Inter-Departmental Committee on Biosecurity; for deliberation by regular SC, and follow up strategic study on CGIAR research role and priorities in food safety – *to be implemented in 2004*.
- *Biosafety Strategic Study* - In progress; four-person Panel report due in mid 2003; to be endorsed to regular SC.
- *INRM Studies and Cases* - Publication of reports on INRM - Evolution of TAC's thinking on INRM, and INRM Framework for Programme Design and Evaluation. Publication of cases report due for June 2003. discussion, follow-up with CDC INRM Task Force.
- *Water Management Strategic Framework* - Completed reports to be reviewed for publication.
- *Fish and Livestock Genetic Resources* - Under planning for preparation by FAO Expert with input from FAO-AGA/ILRI/ICLARM/SGRP – *to be implemented in 2004*.
- *Social Research in CGIAR* - Conference report submitted by CIAT; follow-up activity for deliberation by iSC in June 2003. Publication of the Conference report. Follow-up strategic study of social research in the CGIAR for the deliberations by SC – *to be implemented in 2004*.
- *Information and Communication Technology* - Contribution expected from inter-centre consortium on spatial information (CSI). A review paper, from CDC committee on ICT, on the CGIAR role in ICT area in relation to other organizations – *to be implemented in 2004*.
- *IPR and CGIAR Research* - Proposal (three background papers plus inter-centre workshop) endorsed by iSC. For deliberation and implementation by regular SC – *to be implemented in 2004*.
- *Ethics and Science in the CGIAR* - Proposal for a issues paper endorsed by iSC. For implementation by regular SC – *to be implemented in 2004*.

The expected outputs will include position policy papers and strategic research frameworks for these topics. The deliverables within the above activities will range from formulating advice to the ExCo and the Group on science policies and future research priorities and strategies, resource allocation, and relevance and coherence of the CGIAR research agenda, for decision making by donors, Centres and the CGIAR.

## **Monitoring and Evaluation**

The Science Council will exercise its monitoring and evaluation function through external science reviews of Centres, stripe reviews of cross-cutting themes, reviews of Systemwide Programmes, and of the Challenge Programmes as well as establishing a peer review mechanism to facilitate self assessment by Centres.

An on-going activity under M&E that will be transferred to the Standing Panel on Mobilizing Science, include the establishing of an electronic expert database which is based on the TAC/iSC roster of experts. The roster will be designed to cater for the needs of the Science Council as well as of the Centres in mobilising global expertise for the monitoring, evaluation and IA processes.

### ***External Programme Reviews<sup>2</sup>***

- 5<sup>th</sup> *IPGRI EPMR* - In progress, report due in March 2003; Mike Gale (UK) as Chair;
- 5<sup>th</sup> *ICRISAT EPR* - In progress, report due in July 2003; Paul Vlek (Netherlands) as Chair; report to be presented to SC.
- 6<sup>th</sup> *CIMMYT EPR* – Planning/organization underway with CIMMYT; to be referred to regular SC
- *IRRI EPR* - Planning underway with IRRI; to be referred to regular SC;
- *IFPRI EPR*- Planning underway with IFPRI; to be referred to regular SC;

### ***Systemwide Programmes***

- *Alternatives to Slash and Burn (ASB)* – Scheduled for late 2003 – early 2004; in preparation with ICRAF; to be referred to regular SC;

### ***Challenge Programmes***

- *Genetic Resources* – revision of full proposal due mid 2003; may or may not require further SC review.
- *Sub-Saharan Africa* – Full proposal due June 2003; potential peer reviewers being lined up; to be referred to regular SC in July 2003.
- Monitoring of progress on the implementation of Water and Biofortified CPs.
- Setting up criteria for assessment, monitoring and evaluation of CPs.

## **Impact Assessment**

The Standing Panel on Impact Assessment (SPIA) is committed to providing CGIAR members with timely, objective and credible information on the impacts at the System level of past CGIAR outputs in terms of CGIAR goals. It does this by commissioning system-level impact assessments (IA) and through providing support to and complementing the Centres in their ex-post IA activities. Information derived from SPIA commissioned and centre level IAs provide critical feedback to CGIAR priority setting and create synergies within the SC by developing links to *ex-ante* assessment and overall planning, monitoring and evaluation functions.

### ***Studies nearing completion in early 2003***

- *Crop Germplasm Improvement Impact Study*– 23-chapter book by Evenson and Gollen to be released by CABI in Mar 2003.
- *CGIAR Environmental Impact Study* – by Nelson and Maredia; being reviewed for publication in April 2003.

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<sup>2</sup> The cost of EPRs estimated at US\$ 150,000 each is met by the individual Centres.

- *CGIAR Impact on Poverty Alleviation* – IFPRI organizing a final workshop (Jun 2003) to present results and assist other CGIAR Centres in developing their own case studies and building capacity. Case study report publications and a final synthesis report expected by mid 2003.
- *SPIA/CIMMYT 2002 International Conference on Impact Assessment* – Proceedings to be published and distributed by Mar/Apr 2003.

### ***On-going Initiatives***

- *Training Study* – Desk study (on-going) provides an analysis of background information on CGIAR Centre training activities since 1990 (completion date Jun. 2003) and sets the stage for the main phase (field research, analysis and final report) expected to begin May 2003.
- *Meta-Analysis of Benefits and Costs of the total CGIAR Investment* was initiated in 2002-- first phase (literature review, an overall framework and criteria defined, an information database created and preliminary analysis) nearing completion (Mar. 2003). Second phase focuses on extensive interaction with impact assessors and users (donors) of *ex-post* IA culminating in an interactive workshop in Sep/Oct. 2003 and a second report (Dec. 2003).
- *Strategic Guidelines for Ex-Post Impact Assessment Studies* -- building on a detailed annotated outline prepared by the Secretariat and drawing on input from a consultant and a range of stakeholders, a draft set of guidelines will be developed and presented for discussion/finalization at a workshop in mid/late 2003.
- *CGIAR Impacts in Africa Follow-up Study* – update/extend the initial/incomplete work presented at MTM '01 (Phase I); Phase two analysis (with ICRAF and other CGIAR Centres) relies on field-level impact evidence from case studies and more general CGIAR Centre and System level assessments.

### ***New Initiatives (Will implement only when funding becomes available)***

- *Impact of CGIAR investment in NRM/INRM* - System-level ex-post impact assessments of NRM and INRM research and component research related to water, Agroforestry, forestry, fisheries and livestock research, focused on developing methods and centre level case studies.
- *CGIAR Impact Website and Database Development* - creation of a website as a central depository of information on impacts and impact assessment methods and issues.
- *CGIAR Impacts in Africa Follow-up Study* (full scale involvement).
- *'Institutional learning and change' (ILAC) strategies.*
- *Impacts of policy oriented social science research.*

### **Mobilization Scientific Expertise**

The Science Council will establish a Standing Panel on Mobilising Science to facilitate its work in catalysing and mobilising global scientific capacity. The activities of this panel will include

- a) developing strong links/partnership with leading scientific organisations, world-wide, including Academies of Science, Universities, research institutions and networks;
- b) developing, in collaboration with the Centres, the System Office and external partners, a roster/inventory of the most active and committed researchers in agricultural and related sciences. The Council should establish a peer view based evaluation system to facilitate decisions on inclusion of scientists in the Roster/Inventory;
- c) organising, in collaboration with its partners, a periodic global conference in agriculture sciences to exchange views and experiences, promote linkages and advance the global agricultural research agenda;

- d) facilitating, in collaboration with the Centres, the sharing of experiences and the development of joint initiatives between scientists of the Centres and those of agricultural research institutions in the South.

Major activities of iSC/SC in 2003 will be:

- *Development of a roster of scientists/institutions*
- *Facilitating networks, links, partnerships and promoting science and international agricultural research*

The current iSC expert roster comprises some 2300 names and biodata in electronic form for 530 experts. The peer-reviewed electronic database will include experts that have successfully served in previous reviews or have been otherwise vetted by the iSC/SC. The iSC will improve the organisational format and management of the electronic database to make it easy to manage and query for meeting the particular needs of SC. It will also develop the vetting process for including experts in the database.

The output from this activity is links with leading organizations in agricultural and related sciences; mobilization of global science and technology expertise; inventory/directory of experts; and facilitation of exchange between scientists as seen useful, through workshops, meetings and virtual means.

### **Staffing, Budget and Programme Implementation**

The current professional staff in the iSC Secretariat consists of the Executive Secretary, and three senior professional Officers posts. They are supported by four General Service Staff. The Administrative Assistant post remains unfilled. For 2003, the plan is to hold in abeyance the recruitment of the Senior Officer, Agricultural Research and the Administrative Assistant.

## **Internal Auditing Unit (IAU)**

### **Rationale and Evolution**

The IAU, currently hosted by IRRI, was established in 2000 as an initiative of three CGIAR Centers (IRRI, ICLARM – now WorldFish Center, and IPGRI) and the CGIAR Secretariat, in recognition that a professional internal audit function is an essential element of their governance and management structures. The goal is to provide a cost-effective shared internal audit service that would help improve operations and strengthen internal controls. The joint venture nature of the IAU was a reflection of two main facts:

1. the Centers initially involved did not have the resources to establish, individually, an IA function with international-level staff, but they considered that a creative sharing of a regional/central unit could accomplish most of the needed IA requirements, if combined with locally-available audit services managed through this unit.
2. the Centers and the CG Secretariat believed that a joint venture would offer benefits beyond the straightforward service offerings unique to each Center, by providing a cross-sectional view of CGIAR Center activities and management practices, from which each Center could adopt improved management modalities.

In 2001, the IAU expanded to include CIFOR, and in 2002 IWMI joined. For 2003 CIAT, CIMMYT, ICARDA, and ISNAR also are members. In all years, the CGIAR Secretariat also is a partner, which means that occasional audit activities are undertaken by the IAU at other (non-member) CG Centers.

### **Objectives and Activities**

1. to provide strategic leadership on internal auditing by assisting the Board and management of participating Centers to effectively discharge their management and fiduciary responsibilities;
2. to provide independent, objective assurance and advisory services that add value, improve operations, and help the Centers meet their business objectives;
3. to establish and lead a network of internal auditors from all CGIAR Centers, to be a forum to learn and share best practices regarding internal auditing techniques, risk management, internal control, and governance.

#### Activities:

- Provision of direct audit services to the member Centers.
- Provision of a coordination and system advisory role (e.g. Internal Auditing guidelines – Financial Guidelines Series No. 3).
- Establishment and maintenance of the CGIAR Internal Auditors' Network (CGIARNET).

### **Organization, Governance, and Financing**

The IAU is headed by the Director of Internal Audit, who is appointed by the Board of the IAU. The staffing for the Unit in 2003 comprises the IA Director, an additional IRS level senior auditor (expected to join in the second quarter), two long term consultants, and finally short term consultants and other Center internal auditors as needed. To promote consistent internal audit approaches across the System, the Internal Auditing staff of other Centers will be used where possible to carry out audit work in regional or other offices of the participating Centers. Some



arrangements may be made with other organizations (e.g. ADB, UNDP, FAO and World Bank) to provide assistance for particular audit activities at low or no cost.

Directors General of the partner Centers delegate day-to-day management responsibility to a senior staff member at each Center to whom the IA Director reports administratively (usually the Center's Chief Financial Officer). The Lead Financial Officer represents the CGIAR Secretariat. This group constitutes the Board of the IAU. The Board appoints the Unit Director and approves strategies, changes in IAU membership, resource allocation plans. The decisions reached by the Board are binding for all IAU partners. Board members meet formally with the Director, at least annually. Electronic conferencing and communication are employed to ensure that any issues are transparently dealt with, as the year proceeds.

Each Center ensures that its Board of Trustees provides appropriate organizational recognition to the Internal Audit Unit, and the IA Director officially reports to the Director General and Board of Trustees of each Center. Finally, the IA Director meets regularly with the Directors General of Centers and at least annually with the Board of each Center.

In 2003, clients will pay the IAU costs in the following proportions: IRRI (20%), CGIAR Secretariat (16%), 8% from each of IPGRI, WorldFish Center, CIFOR, ICARDA, CIAT, CIMMYT, and IWMI, and 4% from ISNAR. These Center shares are not mandated based on Center budgets, but are determined by the Centers based on their size, complexity and business characteristics, needs, and resources available for "purchasing" the IAU services, taking into account the existence of additional audit resources financed outside the IAU initiative. While participation in the consortium is voluntary, once a commitment is made there are long-term financial implications for the partners involved. Budgets are annual but staff contracts are long-term (2-3 years) which means that a guarantee of support is required over that horizon.

### **Performance Assessment**

The IAU is subject to the following forms of evaluation:

1. Post-audit client evaluation;
2. Bi-annual performance evaluation by the sponsors;
3. Mid-term quality assurance review undertaken in accordance with IIA standards.

## **Association of International Agricultural Research Centers (AIARC)**

### **Rationale and Evolution**

The Association of International Agricultural Research Centers (AIARC) is a Not-for-profit 501 (c) 3 membership corporation, established at the end of 1992 by the Centers belonging to the Consultative Group on International Agricultural Research (CGIAR), to handle personnel benefits for the Centers. In order to attract and retain highly specialized staff, the Centers must provide a program of employee benefits comparable to the level of benefits that would be available to such staff at other international organizations. By reason of their size, geographic location and lack of national infrastructure in their host countries the Centers are unable to provide some or all of the necessary and indispensable functions related to the maintenance of an acceptable program of employee benefits appropriate for an international staff, and therefore must arrange for the provision of such services. AIARC is based in Alexandria, Virginia.

### **Objectives and Activities**

1. The corporation is organized and is operated exclusively for charitable and educational purposes within the meaning of section 501 (c) (3) of the Internal Revenue Code of 1986, as amended, or corresponding future provisions of the US federal tax law.
2. The Corporation supports and facilitates the operations and activities of international agricultural research organizations; serves as a central clearinghouse through which international agricultural research organizations can exchange information; and otherwise promotes the administration, operations and activities of international agricultural research organizations.
3. The Corporation may engage in any and all other charitable activities permitted to an organization exempt from federal income tax under Section 501 (c) (3). To these ends, the Corporation may do and engage in any and all lawful activities that may be incidental or reasonably necessary to any of these purposes, and it shall have and may exercise all other powers and authority conferred upon nonprofit corporations in the Commonwealth of Virginia.
4. The Corporation shall have members whose qualifications and rights shall be set forth in the bylaws of the Corporation.

#### Activities of the Association include:

- Total annual disbursements of approximately \$69 million for payroll, pension contributions, insurance premiums, moving, travel, and other services.
- Administration and fiduciary responsibility for over \$215 million in pension fund assets divided between U.S., 403 (b) plan (approximately 200 participants), and offshore plan (approximately 1500 participants).
- Administration and contracting agent for Medical, Life, Long Term Disability, Accidental Death and Dismemberment insurance plans for approximately 2000 participants.
- Administration of payroll services, which include foreign nationals and U.S. expatriates (approximately 800 total, 200 U.S. taxpayers). Related services for U.S. expatriates include tax withholding and deposits, W-2 and taxable benefits reporting.

### **Organization, Financing, and Governance**

AIARC Membership is set in the bylaws and consists of two classes of members – Affiliated Members and Non-affiliated Members.

- Affiliated Members are those organizations that are members of the CGIAR.

- Non-affiliated Members are nonprofit organizations which are engaged in international agricultural research activities (or previously participated in the CGIAR benefits program), but which are not members of CGIAR.

Member organizations include twenty individual international research Centers (16 CGIAR Centers and 4 non-affiliated Centers) with staff located in over 78 countries, Future Harvest, PARC, Center Directors Committees (CDC), CGIAR.

The Executive Director of AIARC manages operations and currently has a staff of eight. Funding for the organization is through membership and administrative fees charged for services performed. The operational budget for the Fiscal Year 2003 is \$989,000.

AIARC staff have full access to information necessary to provide support to each Center. The participants' and Centers' information is treated with the utmost confidentiality.

AIARC is governed by a Board of Directors, whose members are selected by the Directors General of the Centers. The policies of the Association are determined by its Board of Directors. The Board consists of (i) the Chair of CGIAR Benefits Committee; (ii) the AIARC Executive Director, as an ex-officio member with voting rights; (iii) five directors elected by the Affiliated Members; and (iv) one director elected by the Non-affiliated Members.

AIARC is subject to the following forms of evaluation:

1. Yearly external audit.
2. Annual evaluation by Board.
3. Performance evaluation by the Centers.

## Central Advisory Service – Intellectual Property (CAS-IP)

### Rationale and Evolution

The Central Advisory Service on Intellectual Property (CG-CAS) was established to support the Centers in their mission, “*to contribute, through research, to promoting sustainable agriculture for food security in the developing countries*”. The major activities of CGIAR-CAS are to provide and facilitate expert advice and enhance the exchange of knowledge and experiences. CG-CAS arose out of the awareness that the CGIAR-system needed to address IP issues and possible obstacles that the Centers faced in applying new advances in biotechnology in their research programs, and in spreading the resulting products. However, it has become clear that IP issues are relevant to every sphere of CG science.

### Objectives and Activities

1. Strengthen the Centers’ IP policy development and management
2. Strengthen the System’s IP practices for collaborative activities

#### Activities supporting objective 1:

- Visit Centers to discuss and advise the Centers’ regarding IP Management issues
- Respond to IP Management requests
- Review current relevant scientific and IP literature
- Attend updating workshops/courses
- Host an annual meeting of the CG-CAS IP Contacts
- Develop an IP Internship/Secondment program for Center staff
- Author e-learning IP courses for use by CGIAR staff
- Network using a CAS-IP Website and Newsletter
- Offer a CGIAR-IP “Helpdesk”
- Carry out case studies of CGIAR IP experiences

#### Activities supporting objective 2:

- Synthesize information of the Center IP audits and IP policy statements, emphasizing similarities and differences
- Facilitate the development of standardized IP tools such as IP asset reporting, IP Management plans, Technology Transfer plans
- Distill information from CGIAR case studies
- Support strategies that enable Centers to manage CP Assets as public goods
- Develop multi-Center instruments that allow collection and synthesis of information for collaborative projects
- Develop additional IP Management tools for system IP Management
- Assist in the organization of other pan-CG-IP Workshops such as the Consortium for Spatial Information-GIS-IP Workshop, and the SGRP/CAS/GRPC Workshops
- Cooperate with other System Office units to increase the efficiency of CAS, such as working with the Internal Auditing Unit to carry out IP audits of projects simultaneously with the traditional audits

### Organization, Financing, and Governance

CAS reports to the CDC-IP subcommittee Chair, via the Director General of ISNAR. The Manager of CAS is an ISNAR Senior Research Officer. With input from the EAC, and the Director General of ISNAR, ISNAR management approves the proposed CG-CAS plan of work and budgets.

In addition to Center visits and follow-up on agreed activities arising from such visits, the CAS Manager participates in Multi-Center meetings/Workshops primarily focused on IP issues, such as the Workshop on the International Treaty for Plant Genetic Resource for Food and Agriculture (IT-PGRFA) and the CGAIR-CAS-IP Workshops. CAS staff have full access to information necessary to fulfill their mandate at each center, and manages this information according to prevailing professional standards. Specifically, information related to any partners is not disclosed to any other party, including other members of the consortium, without the specific prior approval of that partner. This understanding is supported by Confidentiality Agreements signed with ISNAR by all other CGAIR Centers.

CAS is evaluated and receives input from an eleven-person Expert Advisory Committee, (which includes the CDC Chair of the IP sub-committee). This group meets annually at ISNAR. In addition, the EAC committee members are consulted on an “as-needed” basis.

For years 2000-2001, CG-CAS funded by a 2-year grant from the World Bank, following a request from the CDC and endorsement by the then-Finance Committee. In 2002 and 2003, CAS is financed by the Centers, through an assessment by the CDC. In addition, CAS has submitted grant proposals to traditional donors, through ISNAR and other CGIAR Centers. CAS has also earned some limited income from services provided to other organizations such as the World Intellectual Property Organization (WIPO).

### **Performance Assessment**

- Reports dealing with IP/IPR management issues
- Number of signed agreements and Center policy statements that have had CAS input
- Number and type of IP tools developed with CAS input
- Publication of Newsletters
- Proposals developed and funded

## **Executive Secretary for the Center Directors Committee (CDC)**

### **Rationale and Evolution**

The position of Executive Secretary for the Committee of the Center Directors (CDC) was established in 1998, to have a centrally located individual to help in servicing the needs of the group (primarily the flow of information and meeting organization) and maintaining the group's institutional memory and continuity from year to year. The part-time position has been based in Washington, D.C., with close proximity to the Secretariat and the World Bank.

### **Objectives and Activities**

- to assist the CDC Chair in the flow of relevant information among CDC members regarding developments within the CDC (task forces, committees and liaison where necessary for programs and activities sponsored by the CDC) and outside the CDC (CGIAR Secretariat, CGIAR Committees, World Bank, donor groups).
- To assist the CDC with budgeting, including the Center support to various initiatives (System Office units as well as others), that is managed through the CDC.

### **Organization, Financing, and Governance**

The Executive Secretary serves the Committee as a whole, its Chair and its members in their capacity as chairs of CDC sub-committees. The Executive Secretary reports directly to the CDC Chair to whom he/she is accountable to ensure a smooth functioning CDC.

The contract for the Executive Secretary is administered on behalf of the CDC through the Association for International Agricultural Research Center (AIARC). The CDC pays for office expenses and travel costs of attending two CDC meetings annually (AGM and a Spring CDC meeting). The projected work plan for 2003-2004 will consist of 10-12 days/month or a maximum of 144 days per year of the Executive Secretary's time.

### **Performance Assessment**

Performance assessment and evaluation of the CDC Executive Secretary is performed annually by the CDC Executive Committee and led by the CDC Chair.

## **CGIAR Chief Information Officer (CIO)**

### **Rationale and Evolution**

The CGIAR's Third System Review (1998) stated: "The revolution taking place in information and communications technologies presents a tremendous new opportunity for the CGIAR to bring scientific knowledge and indigenous and local knowledge together to bear on global challenges, and to make this knowledge available to its constituents. These advances enable the systemic assimilation and dissemination of relevant and timely information, as well as dramatically improved ability to gain access to the universe of knowledge and to communicate through low-cost electronic networks."

The centers have skilled staff working on Information Technology, Information Management, and Knowledge Management, but they usually work independently of each other. In 2001 the CGIAR-IT group made a recommendation for the creation of a Chief Information Officer position to the CDC Subcommittee on Information. The Information Management Professional group of the CGIAR supported this need but requested that the position be broadened to encompass Knowledge Management as well. In late 2002 the CIO was appointed and is based at the WorldFish Center in Malaysia.

### **Objectives and Activities**

- to provide vision, strategic planning, and coordination of information technology (IT), Information Management (IM) and knowledge management (KM) within the CGIAR system.
- to identify, champion, and coordinate areas of collaboration between CGIAR centers and information domains for greater system-wide value.

#### Activities planned for 2003

- Review the current status of the IT and IM/KM sectors in the CGIAR;
- Spearhead the development and implementation of a system-wide strategic plan to harness the new potentials of information and communication technologies;
- Identify opportunities for streamlining and cost savings in the implementation of all aspects of the CGIAR-wide IT strategy.
- Advise management of the short and long-range benefits and implications of cutting edge IT, IM and KM applications, with a view also to minimize duplication of effort;
- Identify opportunities for partnership and collaborations with private and public sectors in the areas of IT, IM and KM;
- Identify opportunities and champion a "system approach" for the development of software systems;

### **Organization, Governance, and Financing**

The CIO reports jointly to the Chair of the CGIAR ICT subcommittee of the Center Directors' Committee, and the Director of the CGIAR. The Task Force on ICT will be enlarged to comprise representatives from stakeholder groups and will work as an advisory group to the CIO. The cost of the unit for 2003 is \$300,000. Financing will be provided by the Centers (\$150,000, as assessed by the CDC), and \$150,000 from the CG Secretariat.

**Performance Assessment**

The Chair of the CGIAR ICT subcommittee of the CDC, and the CGIAR Director will jointly review the CIO performance, with advice and inputs from IT professionals in the CGIAR Centers, as appropriate.



## **Strategic Advisory Service on Human Resources (SAS-HR)**

### **Rationale and Evolution**

At AGM01, the Centers commissioned a working group to explore the viability of an inter-center initiative aimed at developing a CGIAR human resources (HR) framework. The WG saw the establishment of a Strategic HR Advisory Services (SAS-HR) as the most cost-effective approach to assist Centers in meeting certain human resource management needs. By designing the SAS-HR to be a shared service, the cost to any individual center would be a fraction of what it would be if it were to do this on its own. Five centers – CIMMYT, CIAT, WorldFish Center, IPGRI and IWMI together with the CG Secretariat, are initial partners in the initiative. A proposed work-plan for 2003 and beyond was developed in September 2002.

### **Objectives and Activities**

The SAS-HR will assist in developing and implementing sound people strategies and approaches, specifically:

- to develop strategic approaches, recognizing the individual diversity and autonomy;
- to define needs – short, medium and long term – in close consultation with Centers' management and staff, and to develop and implement concrete solutions;
- to monitor impact and success.

### **Challenges at Centers that will guide the work plan of the SAS-HR:**

- Attracting the best talent and motivating the current staff to contribute their best.
- Innovative staffing and compensation policies appropriate to today's market place.
- Staff development and career paths.
- Fostering leadership development.
- Staff mobility across Centers.
- Addressing diversity (including gender) objectives.
- Ensuring transparent equitable HR practices.
- Conflict resolution/grievance mechanisms.
- Mechanisms for rapid adoption of good practice.
- Improving the efficiency and effectiveness of HR administration.

### **Organization, Governance, and Financing**

The SAS-HR Director will be appointed in 2003, and will be hosted by one of the co-sponsoring centers (location to be determined through a bidding process). The SAS-HR Director will help anchor an inclusive e-community of practice of HR professionals at CGIAR centers, as well as those in donor agencies and partner institutions. The SAS-HR will operate in close cooperation with the G&D program. The SAS-HR Director will report to the CGIAR Director and one center representative appointed by the participating centers. The work plan and budget will be approved on annual basis. The clients (Centers) will ensure that there is wide and constant consultation with their interest groups consisting of: Center Boards and Management, staff groups, staff associations and, where possible external, collaborators.

Annual funding for the first year of the program is projected at \$300,000, to include the employments cost of the SAS Director together with operating costs. The budget will be financed by CGIAR Secretariat (50%) and the five participating centers (10% each).

### **Performance Assessment**

The SAS will have the following forms of evaluation and feedback:

1. SAS working group
2. The Governance group will annually review the progress, budget performance and evaluate the Program Leader
3. Evaluation of the performance at the center level

## CGIAR Gender and Diversity Program (G&D)

### Rationale and Evolution

The CGIAR Centers recognize that seeking, respecting, and enhancing staff diversity goes to the heart of the centers' role in a changing world. In 1998, the CDC elected to create the CGIAR Gender and Diversity Program as a systemwide service to support centers' efforts in gender and diversity. The goal of the Gender and Diversity Program (G&D) is to help the centers leverage their rich staff diversity to increase research and management excellence. Designed collaboratively with the Centers, G&D was launched in July 1999, which is hosted at ICRAF. G&D built upon the work of the CGIAR's Gender Staffing Program, which from 1991 assisted centers in their efforts to recruit, advance, and retain internationally recruited (IRS) women scientists and professionals. G&D has broadened the previous agenda to include diversity issues and to include the nationally recruited staff (NRS) more explicitly.

### Objectives and Activities

Formulated in a 1998 Inter-Center Consultation, the objectives guiding G&D are:

1. to diagnose staff diversity in the centers and develop a conceptual framework for employing diversity to enhance both equity and organizational effectiveness.
2. to provide encouragement and support to senior management for dealing with gender and diversity issues.
3. to strengthen knowledge and skills of center staff to manage diversity effectively.
4. to enhance centers' ability to attract high-quality staff from diverse identity groups.
5. to support women's career development and advancement.
6. to encourage changes in policies, formal systems and work norms and practices to ensure equal opportunities for leadership, career development and involvement in decision-making for women and men of diverse identity groups.
7. to support Centers in institutionalizing policies, commitment, knowledge and skills for managing a diverse staff effectively.

G&D provides the following services and resources:

- Research – G&D conducts research to identify international benchmarks and best practices, and make recommendations for their implementation in the centers.
- Policy models – G&D makes human resource policy recommendations, including support for diversity-positive recruitment, spousal employment and anti-harassment measures, and has developed policies and practices concerning HIV/AIDS in the CG workplace.
- Action and application – G&D assists the Centers to conduct their own gender and diversity assessments, build internal capacity for change, promote women's leadership, develop in-house cultural orientation programs, strengthen recruitment practices, and implement other changes to ensure a strong, diverse and dynamic organization.
- “Cast the Net Widely” Database – G&D maintains an extensive global database of women scientists and professionals to help Centers recruit the most qualified individuals.
- Conferences and workshops – G&D develops and leads system-wide conferences on gender and diversity topics, including cost and time-efficient ways to bring people together such as e-conferences and web-based courses.
- Publications – G&D produces a practical series of working papers and reports based on the results of its own research, as well as international experts commissioned to write on specific gender and diversity topics.
- “at-cost services” – G&D will offer services built upon its previous development work, which now can be delivered at relatively low cost. Center access to these services is linked to the participation of women, national staff and other under-represented groups. G&D could deliver

six to ten “at-cost” services per year, in addition to its systemwide work, on a first-come-first-service basis, and as long as resources allow.

### **Organization, Governance, and Financing**

The staffing for G&D consists of a Program Leader (internationally recruited) and a nationally-recruited Administrative Assistant. G&D is governed by an Advisory Board – a cross-section of stakeholders including the CDC, CDDC, CBC, CG Secretariat, donors, NARs, and internationally and nationally-recruited staff. Board members meet formally on an annual basis prior to AGM, to finalize a G&D plan of work and budget for the following year. The plan is then discussed with CDDC/CDC and others, where feedback is sought and adjustments to the work plan are made, if necessary. Additionally, G&D has more than 50 Focal Points, with representatives in all Centers, to support dialogue and active consultation between G&D and staff members from all categories, including senior managers, human resource managers and scientists, both internationally recruited and nationally recruited.

A strategic alliance of internal and external investors supports G&D. Internal investors include the Centers (through the CDC), and the CGIAR Secretariat. External investors include several CGIAR Members.

### **Performance Assessment**

G&D has the following forms of evaluation and feedback:

1. G&D Advisory Board annual review of progress and expenditures;
2. Annual performance evaluation of the Program Leader by the Board Chair;
3. Annual expenditures audit by ICRAF’s Finance Unit;
4. Workplan and progress review and feedback by the ExCo, CBC and CDDC in response to reports and presentations during AGM; and
5. Quarterly (qualitative) feedback from G&D Advisory Board members and G&D Focal Points systemwide in response to the “G&D Updates”.

# Future Harvest Foundation

## Rationale and Evolution

Future Harvest was established in 1998 by the sixteen Centers of the CGIAR, to raise awareness and support for international agriculture research, to position the work of the CGIAR system at the forefront of the global development agenda in order to diversify, and to increase funding for their work. The Foundation was established at a time when the Centers needed to show that they were adapting to meet the changing needs and practices of the development field. There are increasing constraints on the traditional resources available to Centers. The sustainability and growth of Center work is dependent upon projecting the changes that are taking place within the system and the importance of their work to meeting the global challenges of food security, sustainable development and natural resource management. Future Harvest's mission is to project and facilitate this change and to make the case for support for these elements of the global development agenda.

Future Harvest is both the brand (or corporate identity) for the centers and an operating Foundation with 501c3 status in the United States, and with Public Charity status in the United Kingdom. During the first four years of the Foundation's existence, its focus was primarily on raising public awareness and establishing the Future Harvest trademark, both legally and within its community of practice. These tasks were successfully accomplished. But by the end of 2002, the Foundation was faced with a number of challenges, and it is refocusing its objectives to obtain agreement on the Foundation's mandate by its key stakeholders, define its role to complement effectively its contribution distinct from other entities in the public awareness and resource mobilization matrix of the System, define priority activities and services to be provided to the Centers, achieve financial independence, and obtain external and internal constituencies to support it.

## Objectives and Activities

The Future Harvest Foundation will help strengthen the financial base of the Consultative Group for International Agricultural Research and for international agricultural research in general, to alleviate hunger and poverty. Specific objectives are:

- To raise public awareness of the important need for increased funding for international agricultural research and to act as an advocate for this funding;
- To mobilize financial resources to support international agricultural research;
- To assist in capacity-building for integrated public awareness and resource mobilization initiatives at the Future Harvest Centers.

### Specific activities – Public Awareness

- Convening and outreach: advocacy for global policy issues relevant to the work of the centers and in cooperation with one or more of the centers and other partners. The Future Harvest Foundation will not do research, but will act as a convener to support relevant work of the centers to the public policy forum.
- Global and regional strategic media relations linked to resource mobilization strategies.
- Facilitate and participate in partnerships with civil society, the NARS and international institutions independently and with the Centers to increase visibility, enhance uptake on research application and as fund-raising alliances.
- Coordinate communications and perceptions audits among stakeholders as a basis for resource mobilization and repositioning campaigns for the Centers to raise visibility and impact and correct misperceptions about the system.
- Improve internal communications within the system about Future Harvest activities and possibilities for cooperation.

### Specific activities – Resource Mobilization

- Implement a fund-raising strategy for its own activities in support of the system, institutional development and sustainability.
- Undertake an endowment campaign and broad-based public support campaigns.
- Help build resource mobilization capacity with the Centers.
- Assist with the design and implementation of major fund-raising campaigns for multi-center initiatives.
- Identify and facilitate new donor contacts for the Centers.
- Facilitate partnerships in which partners can provide (or provide access to) funding for Center and inter-Center activities.

### **Organization, Governance, and Financing**

The Future Harvest Foundation is headed by an Executive Director and has a small support staff based in Washington, as well as an office in the United Kingdom. The Foundation is governed by an independent Board of Directors which meets twice a year, and is made up of representatives from the Center Directors Committee and the public and private sectors, reflecting constituency profiles. Center Deputy Directors and the Marketing Group will be represented on a Program Advisory Committee currently under formation. Financing for Future Harvest during its initial phase has been provided primarily from the CGIAR Centers. Additional income has come from CGIAR members, non-CGIAR charitable foundations and individual contributions. The World Bank has provided logistical support in the form of office space and other services, however the Foundation will relocate to new accommodations in the Washington D.C. area in 2003.

### **Performance Assessment**

FHF has the following forms of evaluation and feedback:

1. Review by the Board of Directors;
2. Annual financing decisions by the Center Directors' Committee reflecting performance and plans;
3. External review in 2003.

