

## **Annex 3**

### **Summaries of System Office Unit Work Plans**

# CGIAR Central Advisory Service on Intellectual Property (CAS-IP) Summary Work Plan 2005<sup>1</sup>

## 1. Introduction

The CGIAR Central Advisory Service on Intellectual Property (CAS-IP) was established in 2000, with funding from the CGIAR Center Directors Committee (CDC). Over the last five years, **the CGIAR system has developed an increased awareness regarding intellectual property (IP) and Intellectual Property Rights (IPR)** through many routes, including the work of CAS. This increased capacity to deal with IP/IPR has been translated into outputs including: Center-generated IP Policy Statements, Center “IP-Audits”, Center-originated partnership and consortium agreements that contain a higher level of sophistication and implementation detail, more confidence in negotiating with both funders/donors and suppliers of proprietary inputs, and greater participation in influencing international deliberations involving access and product delivery.

Through the assistance provided since its inception, **CAS-IP has become known as a trusted internal partner for the Future Harvest Centers of the CGIAR**, and their partners. The Centers know CAS-IP strives to support them in their mission, “to contribute, through research, to promoting sustainable agriculture for food security in the developing countries,” by assisting the Future Harvest Centers with good management of intellectual property (IP) and technology transfer planning, to encourage more efficient and effective product delivery.

**Good IP management practice that leads to effective product development and delivery is the result of a coordinated effort**, in which: 1) the risks associated with IP management and management decisions are identified and managed; 2) institutional products/deliverables are identified and reported; 3) constraints or impediments to distribution of institutional products and knowledge to target users, are identified and strategies for overcoming these obstacles are formulated; 4) this data is then used as the basis for developing a technology transfer/product delivery plan for each project to maximize distribution of Center knowledge and products. Sustaining such good IP Management practices requires both continuing to build on existing work that is being carried out by the Centers and increasing the resources invested by the System with an eye to product development and delivery.

## 2. Objectives for 2005

**The 2005 Objectives for CAS-IP are:**

- **To enhance effective IP Management practice in the Future Harvest Centers of the CGIAR**, for support of product development and delivery.
- To enhance communications regarding IP Management Practice throughout the CGIAR System.
- To assist the CGIAR in the formulation of IP Strategy (both at the Center level and at the macro CP level) that supports technology transfer both in and out of the System.

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<sup>1</sup> Adapted from the CAS-IP 2005 Work plan formally presented to participants of: 1) the IP-Strategy Meetings/ June 2004, 2) the CAS-IP Expert Advisory Committee Meeting/Sept. 2004, and 3) the CDDC meeting/Oct 2004.

- To further the development of internal and external partnerships through support of strategic and effective IP Management.

### 3. Activities and Planned Outputs in 2005

- Identifying needs regarding the improvement of IP management practices at the Future Harvest Centers and in the Challenge Programs (CPs)
  - *Output: Survey and report of current IP practice in the Centers and CPs, including implementation of transitional protocols consistent with germplasm exchange under the multilateral system of the International Treaty on Plant Genetic Resources for Food and Agriculture*
  - *Output: Risks guidelines for IP management, identified by the “Risk Management” exercise being carried out by each Future Harvest Center*
- Supporting Center and CP, IP Management capacity
  - *Output: Visits and reports to Future Harvest Centers and CPs for consultations regarding IP and product development and delivery*
  - *Output: Assisting Centers with additional in-Center capacity via training and support of internships*
- Building Internal Staff capacities and increasing linkages of the IP Managers/Focal Points through exchange of experiences
  - *Output: Establishment of an on-line “collaboration” area for IP-Strategy Group and strategic partners/collaborators*
  - *Output: Information on IP/TT Management practice via a CAS newsletter*
  - *Output: Organizing the annual IP-Strategy Workshop*
  - *Output: A report, prepared in conjunction with the IP-Strategy group, on a topic regarding IP Management that is of importance to the Centers*
- Supporting the coherent system-wide implementation of IP Policy by acting as a resource for other System-wide bodies such as GRPC, the SO, SGRP, CSI, the Future Harvest Alliance Office (FHAO), and SC
  - *Output: Attend/observe at meetings such as the Genetic Resources Policy Committee (GRPC), Challenges Programs (CPs), and/or other groups such as the System-Wide Genetic Resources Programme (SGRP), the Science Council, the Consortium for Spatial Information (CSI), etc.*
  - *Outputs: Preparation of foresight documents for these groups; reviews of documents for these groups*
  - *Output: Support to and collaboration with the CGIAR SO*
  - *Output: Support to and collaboration with, the FHAO*
  - *Output: Preparation of at least one “IP Practice Notes” to raise awareness and practice level of IP management, especially in risk management/ analysis scenarios, in conjunction with other SO units*
- Supporting Center and CP’s on legal/IP issues important for the production and distribution of GPGs
  - *Output: Reviews and revisions of IP provisions in agreements, with input from Center and CP staff*
  - *Output: Report on the importance of the Cartagena Protocol for Future Harvest Centers and CPs*

- *Output: Provide assistance in IPR filings, etc., -- as requested by Centers and CP-member institutions*
- *Output: Referral directory of IP professionals for provision of services to the Centers and CPs*
- Representing a CGIAR-view in international IP fora
  - *Output: Reports on participation in 2 international fora*
- Supporting of multi-Center collaboration regarding background and foreground intellectual assets
  - *Output: Report on the implications/responsibilities associated with joint ownership*
- Supporting Center and CP efforts in building IP Management capacity in partner organizations
  - *Output: Participate in, or sponsor, an IP Management Workshop for national IP practitioners*
- Participating in the development of a strategy for building system-wide databases, accessible through the web and database sharing
  - *Output: Research on data sharing protocols and facilitating agreements, especially in the CPs*
  - *Output: Report on data sharing implementation*
- Providing informational articles for Public Awareness/Resource Mobilization/Marketing efforts regarding CGIAR-IP issues
  - *Output: Report on an appropriate topic*

#### **4. Organization and Governance**

CAS-IP is managed by Victoria Henson-Apollonio, Senior Scientist; support staff consists of a half-time Project Assistant (PA). CAS-IP reports to the Chair of the CDC-IP Subcommittee and, since February 2004, has been hosted by IPGRI, on behalf of the CDC. The work plan and budgets are prepared with input from the CAS-IP Expert Advisory Committee (EAC)<sup>2</sup>, the IP-Strategy Group<sup>3</sup>, and the Center Deputy Director Committee liaison<sup>4</sup>. Within IPGRI, CAS-IP is placed in the Legal and Policy Research Support Unit<sup>5</sup>.

#### **5. Estimated Finance in 2005**

For the year 2005, it is estimated that the total CAS-IP budget will be ~\$500,000. The majority of core funding for CAS is provided by the CDC and will be \$221,300, as approved by the CDC in October 2004. Additional core funding for 2005 is to be provided by the government of the Netherlands in the amount of \$150,000. Revenues that are expected to be brought into CAS, for service work to the Challenge Programs,

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<sup>2</sup> The membership of the 2004 EAC included: Chair –Janice Mueller (University of Pittsburgh), June Blalock (USDA), Jonathan Crouch (ICRISAT), Jan Engels (IPGRI), Emile Frison (IPGRI), Masa Iwanaga (CIMMYT), Rolf Jördens (UPOV), John Kedera (KEPHIS), Silvia Salazar (University of Costa Rica), and Devinder Sharma (the Forum for Biotechnology and Food Security, India).

<sup>3</sup> The IP-Strategy Group consists of the Future Harvest Center IP Managers and IP focal points.

<sup>4</sup> The CDDC has provided inputs through Justin Kouka (WARDA), 2004 and Stanford Blade (IITA), 2005.

<sup>5</sup> In 2004, CAS-IP was a part of the Genetic Resources, Science and Technology Program (GRST).

the Genetic Resources Policy Committee, the Science Council and others, is estimated to be \$129,000.

## **6. Performance Assessment**

- Performance Assessment of CAS-IP is carried out by reporting of activities and outputs to the CDC, the CDDC, the EAC, and the IP-Strategy Group.
- Dr. Henson-Apollonio and the CAS-IP PA participate in the staff appraisal system in place at IPGRI.
- IPGRI's Finance office provides oversight and reporting on the CAS-IP budget and expenditures.

# **CGIAR Secretariat – Summary Work Plan 2005**

## **1. Introduction**

The CGIAR Secretariat, a unit of the CGIAR System Office, is the principal central service unit of the CGIAR System. It is 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. The Secretariat supports the two main organs of the CGIAR, the Group and its Executive Council (ExCo), and bears the primary responsibility for ensuring that CGIAR decisions are carried out. It serves as a financial clearinghouse for the CGIAR to ensure that the System's research agenda is fully funded.

## **2. Objectives**

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 Secretariat's 2005 business plan is designed to meet the following major goals:

- to support and facilitate the ongoing Reform Programs, and ensure that the program's desired outcomes are achieved; supporting the agents of change;
- to support the Chairman CGIAR and ExCo,
- to assist CGIAR members with financial disbursement and accountability;
- to launch or facilitate initiatives that are consistent with the objectives of change, including the Task Forces on Sub-Saharan Africa;
- 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, including civil society organizations.

## **3. Activities and planned outputs for 2005**

The service offerings of the CGIAR Secretariat are integrated into the four thrusts of the System Office: (1) Strategic Planning and Development (2) Monitoring and Evaluation (3) Communication and Resource Mobilization (4) Management Services.

### 3.1 Strategic Planning and Development

Service offering	Output for CY 2005	Input category <sup>6</sup> (%)	Approx. Input in '000 US\$
<b>System Priorities</b>			
Support ExCo & AGM with substantive meeting documents, & follow-up action	Meeting documents available on the web 2 weeks (ExCo) or 4 weeks (AGM) before scheduled meeting; Records available within 8 weeks after meeting	>25	<b>326</b>
Support the CGIAR Chairman's leadership of the CGIAR	Briefing notes; CGIAR meetings and other events	<5	<b>44</b>
Monitor & report on trends affecting CGIAR in international development (with special consideration to changes in the ODA environment)	Briefings for CGIAR Senior Management on donor policies/trends	<5	<b>44</b>
Support strategic agenda setting for CGIAR meetings (in collab with FHAO)	Meeting agendas	<5	<b>44</b>
Prepare CGIAR annual financing plan	Financing plan 2006	5-10	<b>75</b>
Update and expand CGIAR project portfolio (in collab. with SC Sec, CIO, FHAO)	Project portfolio database	5-10	<b>63</b>
Support consideration of CGIAR priorities and subsequent implementation (in collab. with SC Sec)	Priorities and implementation plan agreed by the CGIAR	<5	<b>44</b>
<b>Reform Program</b>			
Support the Task Forces on Programmatic and Structural/ Organizational Alignment in Sub-Sahara Africa	Report to ExCo	5-10	<b>113</b>
Support the review of Center governance (with CBC)	review report	<5	<b>44</b>
Continuous facilitation of CP process	Fully supported implementation of pilot and regular CPs, summary reports for ExCo/CGIAR	<5	<b>44</b>
Support interested donor group in discussing/ developing mechanism for the allocation of unrestricted funds within system priorities (Initiative led by Denmark)	Report to ExCo	<5	<b>44</b>
Conduct total compensation study	Full compensation study completed	<5	<b>44</b>
<b>Organisational Health</b>			
Design and pilot new management development and	Needs assessment study, pilot course	<5	<b>44</b>

<sup>6</sup> The Input is estimated based on the following categories: major input (>25%); significant input (14-20%); medium input (5-10%) and minor input (<5%)

leadership training (in collab. with SAS-HR and G&D)			
<b>Partnerships</b>			
Back-stop co-sponsor Group, GRPC, PSC	Meeting documents available 1 weeks before scheduled meeting; Records available within 4 weeks after meeting	<5	<b>44</b>
Strengthen relationships with private sector (in collab with FHAO)	Staff & Knowledge Exchange Program launched, documented participation/contribution of private sector to CPs	<5	<b>44</b>
Strengthen CGIAR relationship with CSOs which share the CGIAR mission	Improved mechanism for CSO linkages	5-10	<b>63</b>
<b>CGIAR representation at external fora</b>			
Represent CGIAR externally	List of major dialogue with external stakeholders	5-10	<b>75</b>
Represent CGIAR within the World Bank	DGF submission; Dialogue with CODE; ESSD Management and Rural Sector Board meetings; ESSD Week; other	5-10	<b>56</b>

### 3.2 Monitoring and Evaluation

<b>Service offering</b>	<b>Output for CY 2005</b>	<b>Input category (%)</b>	<b>Approx. Input in '000 US\$</b>
<b>Improve M&amp;E processes</b>			
Installation and implementation of new M&E processes (in collab. with SC Sec)	modified guidelines for EPMP process	5-10	30
Support the development and implementation of a Performance Measurement System for the CGIAR (in collab. with SC Sec)	Pilot PM system implemented, Data collection and analysis system for Center performance data in place	>25	224
<b>Support M&amp;E of Centers/Programs</b>			
Facilitate & backstop management component of center external reviews	IFPRI and CIMMYT EPMP report; preparation for CIFOR, ICRAF and WorldFish EPMP completed	>25	224
Support / Monitor compliance to CGIAR financial guidelines (with Centers)	CGIAR financial report	14-20	112

### 3.3 Communication and Resource Mobilization

<b>Subgoal 1 : To strengthen internal systems and capacity among RM and Communications practitioners across the CGIAR</b>			
<b>Service offering</b>	<b>Output for CY 2004</b>	<b>Input category (%)</b>	<b>Approx. Input in '000 US\$</b>
Exchange investor trends and information with Centers including sharing RM&C databases, tools, impact information	Regular briefings on investor trends, information on contacts, membership and institutional partnerships available	<5	48
Exchange best practice, information and experience and provide professional development opportunities for center communications staff, related to traditional donors	2 professional development workshops supported, 1 workshop on best practice facilitated	<5	48
Support the communication of CGIAR Science Council work and CGIAR Impact (in collab. with SC Sec)	General Comms Team support for SC. SC signage & identity developed & produced. 2 SC Briefs produced, SPIA website linked to CG website, impact information integrated in all communications	<5	11
Communicate SO activities by using existing mechanisms (in collab. with other SO units)	Articles in CG news, SO annual report, SO presence at AGM, website coverage	<5	5

<b>Subgoal 1 : To strengthen support from and relationships with current member countries and cosponsors</b>			
<b>Service offering</b>	<b>Output for FY 2005</b>	<b>Input category (%)</b>	<b>Approx. Input in '000 US\$</b>
Conduct targeted campaigns to promote the CGIAR Centers and Challenge Programs to key decision makers in investor countries and to Cosponsors (in collaboration with the MG)	3 Effective Activities/Campaigns conducted in conjunction with the MG; including Robert McNamara Seminar Tokyo	14-20	202
Coordinate & facilitate CG representation and contribution at key international events/conferences	CG representation at 3 international events, including European Forum Switzerland	5-10	74

(in collaboration with MG)			
Conduct AGM to maximize stronger relationships and support for the CGIAR	AGM, Exhibition, Science Forum, Farmer's Dialogue, AGM Media Program	14-20	212
Produce CGIAR System Annual Report (with Centers)	CGIAR Annual Report 2005	5-10	64
Produce targeted, relevant materials that meet investor perceived needs – including brochures, booklets and video	6 corporate brochures updated and translated, 4 editions CG News and eNews produced and distributed on time; 3 partnership booklets produced and distributed in conjunction with campaigns, Hands On video production complete	14-20	202
Media relations - produce positive opportunistic media coverage in investor and host countries	1 Media and message training course delivered	5-10	53
Member support and development	CGIAR member visits; briefings; new members; profiles updated, new members briefing at AGM 05	5-10	53
Explore and take advantage of new opportunities and mechanisms for RM	alternate/new sources of funding	<5	16

<b>Subgoal 2 : To strengthen alliances with civil society organizations and NARS which share the CGIAR's mission</b>			
<b>Service offering</b>	<b>Output for FY 2004</b>	<b>Input category (%)</b>	<b>Approx. Input in '000 US\$</b>
Further develop opportunities to strengthen relations with CSOs	1 effective joint CSO event held, CSO dialogue expanded	5-10	74

### 3.4 Management Services

<b>Service offering</b>	<b>Output for FY 2004</b>	<b>Input category (%)</b>	<b>Approx. Input in '000 US\$</b>
<b>Events and Meetings</b>			
Organize & manage the Annual General Meeting	AGM 2005, ExCo meetings	>25	319

(AGM) & ExCo meetings			
Organize System Office events and meetings	Fourth SO workshop, quarterly teleconferences; AGM presence/display	<5	26
<b>Develop/ maintain management related data and knowledge</b>			
Develop CGIAR website & maintain core collection	website and core document collection is updated and accessible	5-10	89
Monitor and advise centers on CGIAR annual funding/databases	CGIAR Financing Plan, Medium Term Plan	<5	51
Maintain CGIAR, candidate and contact databases (open access through the web)	Contact database operational	5-10	89
<b>Organizational Development and Capacity Building (Staff)</b>			
Support CBC and organize new Trustee training/orientation activities	Board of Trustees Orientation program conducted, CBC meeting documents	<5	51
<b>Management policy, guidelines and manuals</b>			
Update CGIAR Financial Manuals	Financial management guideline; Procurement guidelines	5-10	77
Update of guidelines for Center Boards (with CBC)	new Board guidelines	5-10	64
<b>Implementation and Operational support</b>			
Assist CGIAR Members with financial disbursements	adequate Center cash flow; efficient and timely disbursement within agreed accountability framework	>25	319
Collaborate with SO units as sponsor/client	agreed work and financial plans; effective dialogue with SO units and sponsors	<5	51
Explore, with centers, opportunities for coordinated purchasing	document identifying scope and process for coordinated purchase	<5	38
Coordinate System Office functioning	SO annual report 2004, IOP 2005; backstop Steering Committee	<5	38
Implement new CG nominee process	new process operational	<5	38
<b>Governance and Management/Legal advice</b>			
Support centers and CP's on legal and governance issues	Advice on legal and governance issues; up-to-date database/network of IP professionals	<5	26

## 4. Organization and Governance

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 is organized in three teams: Finance, Governance and Partnerships, Information and Communication, plus the Director's office. The current staffing is 22 (includes both, support and professional staff/consultants).

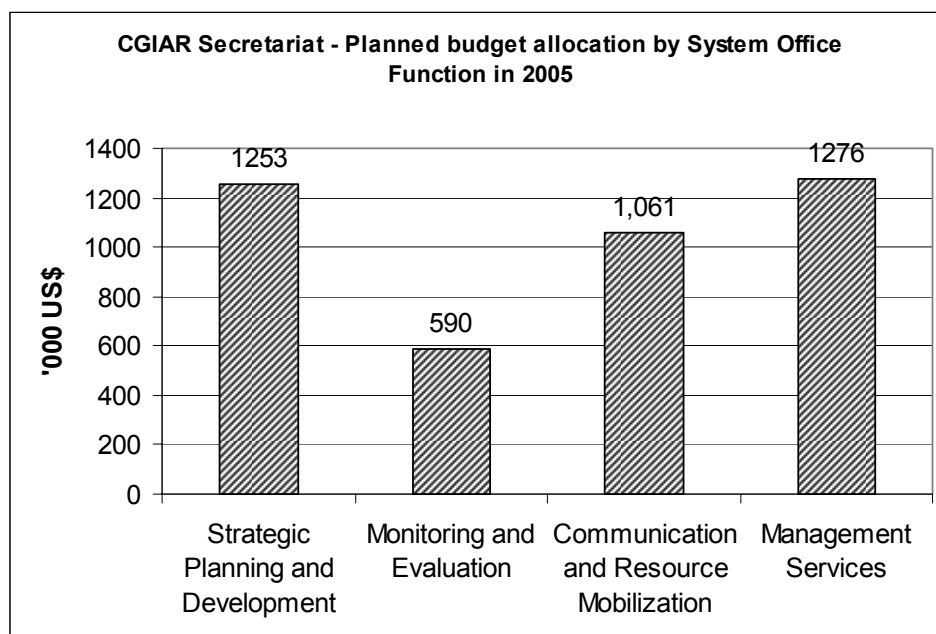
## 5. Finance

The overall funding of the CGIAR Secretariat in 2004 is estimated to be 4.18 million US\$ and is provided by the World Bank. The following table 1 shows a detailed budget allocation by line item and diagram 1 by System Office function.

**Table 1: Budget allocation by line item**

	Budget (in \$'000)	%
<b>CGIAR Secretariat Total Budget</b>	<b>4,180</b>	<b>100</b>
- CG Sec operations		
- Personnel	2,840	68.0
- Travel	640	15.3
- Administrative Cost	700	16.7

**Diagram 1: Budget allocation by System Office Function**



## **6. Performance Assessment**

Staff at the CGIAR Secretariat participates in the World Bank's annual Overall Performance Evaluation (OPE), which is an institutional framework for performance discussions and evaluation. It is made up of a (1) Results Assessment (2) Behavioral Assessment (360 degree feedback) (3) Development Actions Assessment for developmental actions that the staff member agreed to pursue.

# **Chief Information Officer – Summary Work Plan 2005**

## **1. Introduction**

The ICT-KM Program of the CGIAR aims at a CGIAR system without boundaries, an internationally distributed, unified and open knowledge “organisation”. CGIAR centers staff, regardless of their location, will collaborate in science, using high capacity computing and communication. The global public goods the CGIAR manages will be safeguarded, developed and made accessible for use by all stakeholders.

The ICT-KM Program will assist the Future Harvest centers of the CGIAR to:

- Transform the way they work, incorporating new ICT and KM practices to preserve, produce, and improve access to the agricultural global public goods needed by the poor in developing countries;
- Be a leading knowledge broker, bringing together all actors in an open, inclusive community for global public goods research for development.

## **2. Objectives**

The CIO Office is responsible for providing vision, strategic planning, and coordination of information technology (IT), Information Management (IM) and Knowledge Management (KM) activities within the Future Harvest Centers of the CGIAR System.

**The Program’s main components include:**

- 1) developing and implementing a portfolio of projects to address the goals of Program;
- 2) nurturing champions and Communities of Practice; gaining economies of scale;
- 3) all for helping the Future Harvest Centers of the CGIAR work more effectively and efficiently as a true organic, unified “system” rather than 15 separate entities.

## **3. Activities and Planned Outputs for 2005**

The Office of the CIO, through the ICT-KM Program, has the following objectives for the upcoming fiscal year:

### **3.1 Strategic Planning and Development**

#### **2005 Investment Plan Development**

- Carry out broad consultative process on needs and options - January 2005
- Building on GPG1 and some of the early work from the 2004 Investment Plan projects, finalize and launch the ICT-KM investment plan for 2005 - March 2005.

### **3.2 Monitoring and Evaluation**

#### **Learning Focus**

- Ensure lessons from the program activities are learned and communicated throughout the year.

- Ensure smooth implementation of ICT-KM Program/Projects Monitoring and Evaluation Plan.
- Share results of M&E approach with other System Office Units

Most of the costs for the above activities are covered by 2004 budget allocation for Monitoring and Evaluation.

#### **2004 Investment Plan: Projects Implementation**

- Ensure careful monitoring of second year implementation;

### **3.3 Public Awareness and Resource Mobilization**

- Aggressively coordinate, communicate and promote activities related to its projects and objectives;
- Participate actively in various fora, including relevant international conferences, AGM 2005, etc.;
- Seek opportunities for new resource mobilization activities in concert with Marketing Group.

### **3.4 Management Services**

#### **2004 Investment Plan: Projects Implementation**

- Ensure that 2<sup>nd</sup> year of implementation of the 2004 Investment plan continues to show good progress;
- Participate in project meetings;
- Encourage cross-project linkages and meeting participation;
- Ensure expeditious implementation of 2005 Investment Plan activities.

#### **Good Practice Notes**

- Together with the appropriate System Office unit develop and disseminate 2 Good Practice Notes relevant to ICT and KM practices

#### **Nurturing Champions and Communities of Practice**

- Nurture center-based talents and communities of practice to achieve potential system-wide benefits;
- Point out linkages and opportunities;
- Identify individuals for additional responsibility and training opportunities;
- Support CoPs – linkages, provision of tools and advice, facilitation training, etc.;
- Organize Web-based seminars on a regular basis to expose staff to leading edge technologies and approaches of interest to the unified CGIAR system.

#### **Maximizing Efficiencies**

- Building on the successes of 2003 and 2004, look for and pursue additional cost-saving opportunities in the area of ICTs and Libraries;
- Investigate and pursue opportunities for joint, inter-center services in the area of ICT and I/KM;
- Facilitate the purchase of system-wide software and/or subscriptions;

- Manage the tendering process for renewal of the services now under the contract with CGNET;
- Carry out a study to streamline and rationalize the support to Future Harvest Centers in the area of ICT.

#### **4. System-Office inter-unit cooperation**

Cooperation with sister System Office units will be pursued. Planning is being finalized as per results of the Third System Office meeting.

#### **5. Organization and Governance**

The CIO functionally reports jointly to the chair of the CGIAR ICT-KM subcommittee of the Center Directors Committee and the Director of the CGIAR, and is hosted by WorldFish Center, Malaysia. The Director General of the WorldFish center provides administrative supervision of the CIO.

The ICT-KM program is supported by a cross-functional Advisory Group. The ICT-KM Advisory Group is currently composed of 16 members representing 12 communities of practice (CoP) and management groups within the CG.

The staffing of the ICT-KM program includes an internationally recruited Chief Information Officer and a nationally-recruited Program Associate.

In order to build in-house capacity and ensure ownership, the projects under the ICT-KM Investment plan are managed by CGIAR staff. Consultants and temporary staff are hired for ad-hoc activities.

#### **6. Finance**

The cost of the unit for 2005 is expected to be USD \$330,600. Financing will be provided equally by the Centers and the CGIAR Secretariat.

#### **7. Performance Assessment**

- Annual performance evaluations are prepared jointly by the Director of the CGIAR and the Chair of the ICT-KM sub-committee of the Center Directors Committee.
- Annual program expenditures are controlled by the Finance Department of the WorldFish Center.
- The CGIAR 360 degree Feedback system is used every 2-3 years to understand clients and supervisors perception.

## **Future Harvest Alliance Office – Summery Work Plan 2005**

### **1. Introduction**

The Center Directors Committee (CDC) co-manages the SO, along with the Director of the CGIAR Secretariat, and the Chair of the Science Council. The SO operates in a distributed and ‘virtual’ mode, with units located around the world as appropriate, and several are based at the Centers.

The Future Harvest Alliance Office (FHAO) was formed in May, 2004, to support the CDC and the collective action framework among the Future Harvest Centers by incorporating the existing CDC Executive Secretary (part-time) position and adding (for 2004/05) a part-time Executive Officer. The enhancements were designed to help the collective work of the Centers, their representation in critical CGIAR forums such as the Executive Council and the System Office, and their work with other partners within the CGIAR System.

During the course of 2004 and culminating at AGM04, historic action was taken on the part of the CDC and CBC, in their collective action through their agreement to establish an Alliance of the 15 Future Harvest Centers. The CBC and CDC produced a joint statement for their Framework for Collective Action, which laid out both immediate and longer-term goals. The Alliance will work to build on:

- Existing collaboration in programs, administration and policies;
- An analysis of deficiencies for collective action in the past, via a new focus on agreed upon guiding principles;
- Existing entities and mechanisms, such as the CDC, CBC and the Medium Term planning process and others; and
- The determination of the Centers to improve and streamline programming efforts in Sub Saharan Africa, in collaboration with the Task Forces, as a first priority, and then extend into other regions.

In 2005 the CDC will begin to serve as the Executive of the Alliance, the CBC will act as the Alliance Board, and before meeting again in May, 2005, the Executive Committees of both CDC and CBC will discuss progress and review priorities regarding the implementation of the Collective Action Framework. The support for the Alliance Executive will be further developed in the coming year, and will build upon the work currently underway through the Future Harvest Alliance Office. A joint working group of CBC and CDC members will draft a charter for the Alliance, for discussion during their meetings in May, 2005, at WorldFish.

## **2. Objectives**

As leader and manager of FHAO, the EO is responsible for:

- Providing policy and administrative support to collaboration among Centers, in order to streamline and strengthen the Centers' contributions to the reformed CGIAR System.
- Providing high level support to the CDC and as requested to the Committee of Board Chairs (CBC).
- Enhancing the contribution of the CDC and the Centers to the CGIAR Executive Council and the System, and strengthening the strategic agenda of the CDC and CBC.
- Advise the CDC and CBC on further operational and strategic improvements in its operations.
- Alert these bodies to trends and upcoming opportunities and issues of relevance to the success, efficiency and effectiveness of the Future Harvest Centers.
- EO also works to contribute to enriching the external partnerships of CG Centers and helps build momentum for greater collaboration and shared services among centers, as essential strategies to unlock the full potential of investments and the knowledge capital of the Centers
- The EO administers common CDC activities as assigned by the CDC in an effort to streamline and increase its efficiency, and works with the CG Secretariat, on behalf of the CDC, to increase efficiency, service procurement and delivery.

The Executive Secretary (ES) for the Committee of the Center Directors is responsible for:

- Ensuring the CDC has continuous assistance to help in servicing the needs of the CDC (primarily the flow of information and meeting organization).
- Maintaining the Committee's institutional memory and continuity, by devising ways in which to help the CDC improve its communication and flow of information, both internally and with external partners.
- Serves as liaison for the CBC and CDDC Committees.
- Provides oversight of the budgetary process with the Executive Director of AIARC, and oversees responsibility in managing the secretariat support for the CDC.
- The ES 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 Executive Officer of the FHAO and to the CDC Chair.

## **3. Activities and planned outputs for 2005**

### **3.1 Strategic Planning and Development:**

- Work with CDC and unit heads to develop a forward plan for shared service operations, and commence implementation of Alliance plan for Collective Action.

### **3.2 Monitoring and Evaluation**

- Track WB funding patterns with a view to helping the Centers maximize their benefits from the CGIAR funds.
- Assist the Centers to coordinate the monitoring of the SW-EPs and assess the performance of the World Bank funding to the programs in 2002 and 2003..

### **3.3 Communication and Resource Mobilization**

- Oversee the preparation of the formal CDC presentations to AGM (current and incoming Chairs).
- Work with CDC and CBC Chair for two articles for *CGIAR News* per year, and contribute as needed to the CGIAR Annual Report.
- Serve as liaison with CGNet and the Virtual Resources Center (when established) for CDC distribution lists, services and Collaboration site technical backstopping.
- Work with the CGIAR Secretariat and the Marketing Group to improve the currency and coverage of CGIAR achievements on the CGIAR and other related website.

### **3.4 Management Services**

- Brief weekly report of FHAO activities to CDC Chair.
- Establish suitable working arrangements with CGIAR Secretariat.
- General administration and oversight of CDC collective activities.
- Establish a suitable arrangement with the Marketing Group.
- On behalf of CDC Chair, EO approves CDC/FHAO budget expenditures.
- Act as central point of contact with the CGIAR and Science Council Secretariats, PSC and support the CDC member on the SO Steering Committee.
- FHAO to work with CDC and CBC Chair and secretariat to help improve the processes of CBC.
- Help facilitate and organize Collective Action communications with various communities of practice and relevant groups within the CGIAR System as the FHAO evolves.

## **4. Organization and Governance**

The FHAO reports directly to the CDC Chair, and facilitates the work of the CDC as a whole.

The Executive Officer gives policy and administrative support to collaboration among Centers, provides a high level support to the CDC as the governing body of the FHA and to the Committee of Board Chairs, especially with respect to enhancing the contribution of the CDC and the Centers to the CGIAR Executive Council and the System, and strengthening the strategic agenda of the CDC and CBC. The EO assists the CDC members responsible for oversight and support to the Center units participating in the System Office (i.e., Gender and Diversity Program, Central Advisory Service on Intellectual Property, Internal Audit Service, HR-Strategic Advisory Service, & Chief Information Officer), appropriate support to the shared System units, and provides

support to the CDC System Office representative on the Steering Committee of the System Office.

## **5. Finance**

The CDC budget is established during their meetings prior to AGM, with activities and programs funded through contributions from each of the 15 Centers plus contributions from other parties, such as the CGIAR Secretariat and CGIAR members. Centers' contributions are made on a bi-annual basis (January and June) and the funds are managed by relevant committees and boards overseeing the activities. In addition, the Future Harvest Alliance Office provides overall financial monitoring and financial control and management services are provided by the Association of International Agricultural Research Centers (AIARC). Funding from each Center is based on the proportion of each Center's annual audited expenditure, for the year prior and based on the official audited figures released by each Center and the CGIAR Secretariat.

The FHAO budget for 2005, as agreed to by the CDC during AGM04, consists of the following:

- Personnel (EO, ES and Administrative Support Officer): US\$ 203,000
- Consultants for Collective Action and Website development: US\$ 159,000
- Travel: US\$ 37,650
- Financial services and CDC Meetings: US\$ 17,000
- General Operating Costs (CGNet, telecommunications): US\$ 17,000

**Total: US\$ 433, 650**

## **6. Performance Assessment**

The FHAO's annual work plan is prepared for CDC review during their AGM meetings, and approved by the CDC Chair. The EO and ES serve as consultants to the CDC, and are reviewed based on performance, prior to contract renewal. The performance of the FHAO is assessed twice yearly in a full achievement and performance report submitted to and discussed by the CDC.

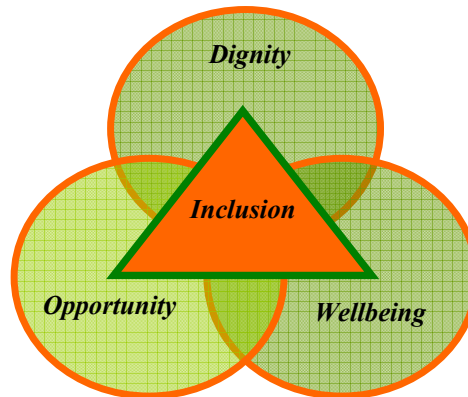
# Gender and Diversity Program - Summary Work Plan 2005

## 1. Introduction

In 2005 the Gender & Diversity Program of the CGIAR System (G&D) is launching a new strategy to guide the program over 2005-2008. Called 'leveraging global diversity for global impact' the new strategy is designed not only to build on the gains of G&D's first four years, but also to chart new territory by building closer links to the core mission of the CGIAR. It is based on the recommendations of a positive External Program and Management Review in 2003 and a consultative planning process conducted with the CGIAR leadership and hundreds of staff members worldwide in 2004.

### VALUES

All of G&D's work is guided by four integrated values of diversity management – ***inclusion, opportunity, dignity*** and ***well-being***.



### G&D'S MISSION

To work in partnership and trust with the Future Harvest Centers to empower all staff, diverse in professional discipline, nationality, gender, race, culture, ethnicity, language, age, religion, sexual orientation, and physical capability to build greater diversity and to fully leverage that diversity for global impact.

## 2. Objectives

***Strategic Objective 1- Staffing:*** Strengthen the Future Harvest Centers' abilities to attract, develop and retain the highest quality staff from diverse backgrounds and regions, with particular emphasis on women in management and science.

***Strategic Objective 2- Systems:*** Consolidate and institutionalize policies and practices that support inclusion, dignity, wellbeing and opportunity into the management systems of the Future Harvest Centers and CGIAR.

***Strategic Objective 3 – Integration:*** Integrate gender and diversity practices into the core work of the Future Harvest Centers through closer collaboration with scientists, research teams, and other global initiatives and systems office units of the CGIAR.

In 2005, G&D will focus more so on two of its strategic objectives, staffing and systems, with an emphasis on consolidating its earlier work in human resources by expanding on gains in increased staff diversity and institutionalizing diversity policies and practices in workplace management.

### **3. Activities 2005**

G&D's activities and budget for 2005 is shown in the table below. The total estimated budget is: US\$ 765,943. Of this sum, US\$ 328,400 is for direct services and research, while US\$ 437,543 is for personnel, travel and overhead.

G&D's top priority in 2005 is supporting the centers' first steps toward achieving their new 1-, 3- and 5-year goals for gender and diversity in policy, practice and staffing. Other priorities include the 10<sup>th</sup> anniversary women's leadership series, production of model policies for the inclusive workplace, and continued expansion of the mentoring program. In addition, two major research projects will be undertaken in 2005: (a) an impact assessment of the CGIAR's 10 year investment in women's leadership training; and (b) a gender analysis of the CGIAR's retention and mobility trends.

<b>Activity</b>	<b>2005 Budget</b>
<b>STRATEGIC PLANNING AND DEVELOPMENT</b>	
<b><i>Staffing: Attraction, Promotion and Retention of Diverse Staff</i></b>	
Upgrade diversity positive recruitment resources	5,000
Spouse/partner resources and memberships	6,000
Collaborate with SAS-HR to integrate G&D into new staff development programs	5,000
Women's leadership and management course (ICARDA)	2,500
Cost share 10th anniversary women's leadership courses (ICRAF and CIMMYT)	54,000
<b><i>Systems: Policies and Practices for Inclusive Workplace</i></b>	
Collaborate with SAS-HR to integrate G&D into HR reforms	8,000
Produce 'inclusive workplace' policy and practice guidelines and models	16,000
Strengthen G&D Associates (formerly focal points), incl annual workshop	55,000
Cost share relevant HR training opportunities	6,000
<b><i>Integration: G&amp;D Collaborations with Scientists, Programs, CGIAR</i></b>	
Mentoring program follow up and expansion	12,000
On-line course for high performance research teams	8,000
Expand 'everyday methods for working with diversity'	5,000
Begin development of diversity case studies with select research teams	2,500
With other SO units, seek to establish CGIAR women's fellowship program	2,500
<b><i>G&amp;D Website and Publications Series</i></b>	
Editing, design, printing, dissemination of G&D series, incl. regional adaptations	40,000
Website development, fees	5,000
<b>MONITORING AND EVALUATION</b>	
Conduct impact study of women's leadership series	10,000
Support Centers' annual monitoring of G&D goals	1,500
Develop M&E framework for G&D's new strategy	2,400
<b>PUBLIC AWARENESS AND RESOURCE MOBILIZATION</b>	
G&D Representation in CG Events and Other Conferences	10,000
<b>MANAGEMENT SERVICES</b>	
Conduct gender analysis of CGIAR's retention and mobility trends	12,000
Support centers' G&D goal achievement	60,000
<b>INDIRECT COSTS</b>	
G&D Personnel	322,943
Secondments to G&D	50,000
Travel (staff, secondees, board members)	30,000
Office overhead, equipment and supplies	28,000
Contingency	6,600
<b>TOTAL</b>	<b>765,943</b>

## **4. Organization and Governance**

As a systemwide service to the 15 Future Harvest Centers, G&D is organized for continuous consultation and communication with all key bodies of the organization. It is governed by the Director General of its host center ICRAF (Dr. Dennis Garrity) together with CGIAR Director (Dr. Francisco Reifschneider). To help ensure that G&D responds to the needs and priorities of the centers, it also has an Advisory Group consisting of a cross-section of stakeholders including representatives of CDC, CDDC, CBC, donors and both internationally- and nationally-recruited staff members. Day-to-day management of the program is the responsibility of the Program Leader (Vicki Wilde).

In addition, G&D has about 100 Focal Points, with representatives in all Centers. This system of Focal Points supports dialogue and active consultation among G&D and staff members from all categories, including senior managers, scientists, and human resource personnel.

ICRAF provides the legal and administrative home for G&D at its headquarters in Nairobi, providing office space, housing, transport and use of Center facilities such as computer networking, personnel, accounting and travel services. All costs are reimbursed by G&D according to the terms of a Memorandum of Agreement with ICRAF.

The staffing for G&D consists of one Program Leader (internationally-recruited) and one Administrative Assistant (nationally-recruited), both full time. They enjoy the same status and benefits as regular ICRAF staff members. In addition, G&D expands its human resources with one to two secondments from other centers each year and will seek to expand its staffing with a new junior professional position starting in late 2005.

## **5. Finance**

Funding for G&D is raised on an annual basis to provide for all G&D costs, including personnel, office space and overhead, and the production of all services and resources.

A strategic alliance of internal and external investors supports G&D. Internal investors include the Committee of Directors General and the CGIAR Secretariat. External investors include the Netherlands, Norway and Switzerland.

Funding sources and levels for 2005 is expected to be about the same as 2004.

## **5. Performance Assessment**

G&D has the following forms of performance assessment and feedback:

1. External Management and Program Review in 2003;
2. Joint Board Chair-CGIAR Chair annual review of progress and expenditures;
3. Annual performance evaluation of the Program Leader by the Board Chair, plus biannual 360 reviews involving stakeholders throughout the system (last completed in November 2003);

4. Annual expenditures audit by ICRAF's Finance Unit;
5. Workplan and progress review and feedback by the CDC, CBC and CDDC in response to reports and presentations during AGM; and
6. Ongoing feedback from Advisory Group members and Focal Points in response to 'G&D Updates' throughout the year.

In addition, in 2005 G&D will develop a new monitoring system tailored specifically for measuring the effectiveness of its new strategy for '*leveraging global diversity for global impact*' over 2005-2008.

# Internal Auditing Unit – Summary Work Plan 2005

## 1. Introduction

The CGIAR Financial Guideline No 3 (FG3) provides that CGIAR Centers should establish an independent internal audit function. Internal auditing is defined as an independent, objective assurance and advisory activity designed to add value and improve an organization's operations. It helps an organization accomplish its objectives by bringing a disciplined, systematic approach to evaluate and improve the effectiveness of risk management, control and governance processes<sup>7</sup>.

## 2. Objectives and Service Offerings

The IAU provides customized service to Consortium members, including in some cases full delivery of their internal audit coverage, in other cases joint arrangements with in house or locally outsourced internal auditors, supplemental services to support in house internal audit functions, and special assignments. In addition, the IAU undertakes special reviews for the CGIAR Secretariat, monitors the implementation of FG3, promotes the development of the CGIAR Internal Auditors' discussion group (CGIARIANET), and develops good practice guides on selected aspects of Center functions with a governance, risk management, internal control or accountability perspective, drawing on internal and external benchmarks and from lessons learned from audits.

### **Overall objectives of the CGIAR Internal Auditing Unit**

*To provide strategic leadership on internal auditing by assisting the Board and management of participating Centers to effectively discharge their management and fiduciary responsibilities.*

*To provide independent, objective assurance and advisory services that add value, improve operations and help the Centers meet their business objectives.*

*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, governance, risk management, internal control and accountability.*

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<sup>7</sup> Based on the Professional Practices Framework, Institute of Internal Auditing (the worldwide professional body for internal auditors).

The IAU will pursue these objectives through the following service offerings, grouped by CGIAR System Office functional objectives.

<b>SO Functional Objective</b>	<b>IAU Service Offering</b>
Strategic Planning and Development	<b>Identify, define and communicate best practice to Centers</b> – Preparation and dissemination of good practice notes and discussion papers on management processes from a control, risk management or corporate governance perspective
Strategic Planning and Development	<b>Develop audit standards within the CGIAR system</b> - through such activities as interaction with Center internal auditors; System-wide training events; development of an internal audit manual; dissemination of results of meetings of internal auditors of international public agencies; interaction with international professional bodies relevant to internal auditing; development of links with internal auditors in the scientific research sector; and implementation of recommendations from the 2004 external quality assurance review.
Monitoring and Evaluation	<b>Undertake CGIAR system-wide audit and advisory services and progress reviews</b>
Monitoring and Evaluation	<b>Support to Centers in developing risk management systems</b> – as agreed in Center medium term internal audit plans. The IAU will collaborate closely with other SO units (in particular CIO, SAS-HR, CG Sec, CAS-IP) in delivering this service offering.
Monitoring and Evaluation	<b>Support and advice to Centers on the implementation and monitoring the GPGA Rehabilitation Initiative</b> - joint advisory work with other SO components, especially CAS-IP and CIO. This work is incorporated from 2004 into IAU audit and advisory work programs agreed with the Centers, but is shown separately for SO reporting purposes.
Monitoring and Evaluation	<b>Undertake other Center audits and advisory services</b> – tasks as defined in the annual/medium term audit plans (additional to risk management support) agreed with each Center and as agreed for the CGIAR Secretariat. Includes support for the implementation of risk management systems and follow up of recommendations from previous reviews.
Management Services	<b>Lead CGIAR Internal Audit network</b> - lead CGIARNET discussion group, develop an IA website, and develop planning and monitoring tools for the IA function.

### 3. Activities, planned outputs for 2005 and performance assessment

*The table below sets out an IAU performance measurement and evaluation strategy based on an adaptation of the “Outcome Mapping” methodology presented at an ICT-KM Evaluation Workshop in May 2004:*

<b>IAU Service Offering</b>	<b>Mission</b>	<b>Outputs (Progress Markers)</b>	<b>Outcomes</b>	<b>Boundary Partners</b>	<b>Monitoring Methods/ Progress Reporting</b>	<b>Evaluation Plan</b>
Identify, define and communicate best practice to Centers	<i>The IAU will, in collaboration with other SO units and various communities of practice across the CGIAR Centers, identify good practices and lessons learned to guide Center improvement efforts</i>	4 Good Practice Notes per year – some to be jointly developed with other SO units 1 ILAC brief on the topic of internal audit and risk assessment as a basis for institutional learning and change	GPNs are referred to by Centers to assess their own practices, and to make improvements where applicable  Selected good practice notes used in the development of CGIAR guidelines	* Communities of practice relevant to the GPN topics * Editor/ publisher to advise on improving formats * ILAC group to be consulted on improving GPN strategies	Reviews in Centers (for some GPN topics, as components of audits)  Quarterly IAU Activity Reports to Sponsors	Annual evaluation by Board of Sponsors
Develop audit standards within the CGIAR system	<i>The IAU will move the CGIAR internal auditing function to full compliance with international standards and good practice.</i>	Review (2004-5) Center audit committee and IA charters; Complete a further IA PD Week (2006); Complete (2005) and update (2006-2007) internal audit manual; disseminate (annually) results of meetings of internal auditors of international public agencies; implement (2005) recommendations from the 2004 external quality assurance review; visit (2005) non consortium Centers and assess audit arrangements.	Full compliance by the CGIAR internal audit function with the International Standards for the Professional Practice of Internal Auditing	* Center internal auditors * Center management and audit committees * Institute of Internal Auditors	Internal quality assurance reviews  Quarterly IAU Activity Reports to Sponsors	Annual evaluation by Board of Sponsors; 5 yearly external quality assurance review
Undertake CGIAR system-wide audit and advisory services and progress reviews	<i>The IAU will undertake high quality assurance and advisory services and research on management/control issues to support System-wide programs and activities</i>	Completed assignments as agreed with the CGIAR Secretariat, includes: * Development of material for risk components of SASHR First Level Leadership Dev Program * Procurement review; * GPG1 Genebank Upgrade Mid Term Review; * ICT-KM inputs; * Explore ILAC linkages to IA	(a) for assurance and advisory reviews – implementation where identified of improvement recommendations (b) for “research” assignments – initiation of action using the IAU products	* System/Center clients (will vary depending on the assignment)	Tracking of assignment progress via IAU database  Follow up reviews  Quarterly IAU Activity Reports to Sponsors	Annual evaluation by Board of Sponsors; 5 yearly external quality assurance review

<b>IAU Service Offering</b>	<b>Mission</b>	<b>Outputs (Progress Markers)</b>	<b>Outcomes</b>	<b>Boundary Partners</b>	<b>Monitoring Methods/ Progress Reporting</b>	<b>Evaluation Plan</b>
Support to Centers in developing risk management systems	<i>The IAU will in collaboration with other SO units, provide knowledge, advice and guidance on risk management to CGIAR centers to enable them to identify and manage their risks and opportunities in accordance with international good practice.</i>	<i>Completion (2005) of Center risk management frameworks and first Center-wide assessments; updates (2006-2007)</i>	<i>Centers routinely incorporate comprehensive risk management in their organizational processes, and implement action where the assessments indicate unacceptable exposures</i>  <i>Center boards issue risk management statements annually without qualification</i>	<i>* Center management and Boards * Other SO units</i>	<i>Ongoing review of progress during each year</i>  <i>Status reports to Centers; Summary status reports in Quarterly IAU Activity Reports to Sponsors</i>	<i>Annual evaluation by Center management/Boards; 5 yearly external quality assurance review</i>
Support and advice to Centers on the implementation and monitoring the GPGA Rehabilitation Initiative	<i>The IAU will, in collaboration with other SO units (especially CIO and CAS-IP) provide support and advice to assist Centers in their implementation and monitoring of GPG1 and GPG2 programs</i>	<i>Completed reviews in selected Centers as per Center medium term IA plans</i>	<i>Reviews help Centers ensure that GPG projects conform to donor requirements and public goods which benefit from upgrade efforts can be effectively used</i>	<i>* Center management and Boards * Center auditees * Other SO units</i>	<i>Tracking of assignment progress via IAU database</i>  <i>Follow up reviews</i>  <i>Status reports to Centers</i>	<i>Audit client evaluations; Annual evaluation by Center management/Boards; 5 yearly external quality assurance review</i>
Undertake other Center audits and advisory services	<i>The IAU will provide independent, objective assurance and advisory services that add value, improve operations and help the Centers meet their business objectives</i>	<i>Completed annual work programs for each Center participating in the CGIAR internal audit consortium</i>  <i>Achievement of audit services standards (see detailed 2005-2007 Business Plan)</i>	<i>Internal audit coverage and reporting provides reasonable assurance to Center management and Boards that all significant risk areas are being adequately managed and controls are adequately designed and effective, or (if not) are subject to improvement action plans.</i>	<i>* Center management and Boards * Center auditees</i>	<i>Tracking of assignment progress and service standard achievement via IAU database</i>  <i>Periodic reviews of status of implementation of audit recommendations</i>  <i>Activity Reports and Follow Up Status reports to Centers</i>	<i>Audit client evaluations; Annual evaluation by Center management/Boards; 5 yearly external quality assurance review</i>
Lead CGIAR Internal Audit network	<i>The IAU will lead a network of internal auditors from all CGIAR Centers, to be a forum to learn and share best practices regarding internal auditing techniques, governance, risk management, internal control and accountability.</i>	<i>Maintain an active CGIARIANET discussion group; maintain and update the IA web pages in the CGIAR website; implement/maintain an IAU risk assessment and audit management database;</i>	<i>CGIAR internal audit function as a whole (IAU and Center IAs) is effective, efficient and adopts relevant good practice drawn from the global IA profession</i>	<i>* Center IAs * CGIAR webmaster (website support) * Editor/ publisher to advise on improving website presentation * CIAT ICT group (database support)</i>	<i>Internal quality assurance reviews</i>  <i>Quarterly IAU Activity Reports to Sponsors</i>	<i>Annual evaluation by Board of Sponsors; 5 yearly external quality assurance review</i>

## 4. Organization and Governance

The IAU is a virtual organization: its “global head office” is hosted by IRRI Los Banos. The Unit also has staff hosted in other Centers.

Under an “11 Center Consortium scenario”<sup>8</sup>, for 2005-2007 the IAU organization will comprise 3 international level appointments (Director and Associate Directors) and 3 national level appointments:

- the Director, to be hosted by IRRI Los Banos, but (in the case of the current Director) also working from Sydney.
- two Associate Directors, one based in the Africa region (at ILRI Addis Ababa) and one in the Americas region (host Center to be determined)
- one Senior Internal Auditors based at IRRI Los Banos
- one Internal Auditor based at IRRI Los Banos
- one administrative staff member (at IRRI Los Banos)

An additional position of Associate Director based in Asia will be added if the consortium membership, and therefore the service coverage of the IAU, is further expanded.

IAU staff will be supplemented by experts on short term consultancies and cross-support from other Center internal auditors for specific assignments, where specialized or local expertise is desirable or where this is a cost-effective solution.

The main features of the IAU’s governance arrangements are:

- The IAU is a joint venture of participating Centers and the CGIAR Secretariat;
- The IAU is headed by an IA Director who reports functionally, in respect of client services, to the Boards of Trustees and Directors General of the participating Centers<sup>9</sup>, and to the CGIAR Secretariat Director, and the internal audit function is given organizational recognition as part of each Center’s governance structure. In response to the 2004 IA Quality Assurance Review, the IAU will work with each Center to ensure that an IA Charter meeting current good practice is in place.
- Day to day governance of the IAU is exercised by a Board of Sponsors comprising the senior staff members of the Centers to whom the IA Director reports administratively (as determined by their Directors General), and the Lead Financial Officer in the CGIAR Secretariat;
- The Board of Sponsors meets formally with the IA Director at least annually and on an interim basis during the year as needed to ensure smooth operation of the IAU;

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<sup>8</sup> At the time of preparation of this work plan summary, there were 11 Center members of the IA Consortium, but 2 more Centers have now applied to join from 2005.

<sup>9</sup> Where the Centers have their own in house internal auditors, the reporting arrangements for audit coverage to the Boards of Trustees and Directors General will be agreed with these Centers and will generally be joint reporting arrangements.

- The audits of the IAU are confidential to the concerned Center, and specific details of results are not disclosed to other parties, including other members of the consortium, without specific approval of the Center. Appropriate arrangements are made to ensure this requirement will be observed in the preparation of any reports of generic lessons and good practice prepared by the IAU.
- The IAU plans and reports administratively to the Board of Sponsors in formats compatible with integrated planning and reporting at the SO level. The IAU participates, as an SO component, in SO meetings in which overall results and plans of the SO units are presented, and in processes for the preparation of integrated plans, reports and evaluation activities at the SO level.

## 5. Finance

Under the “11 Center Consortium scenario”, with IRRI and WorldFish contributing extra for additional services in lieu of their own in-house internal audit function, the participants will contribute the following shares of the IAU budget in 2005:

a) base contributions –

CIAT	\$35,000
CIFOR	35,000
CIMMYT	35,000
CIP	35,000
ICARDA	35,000
ICRAF	35,000
IFPRI	35,000
ILRI	35,000
IPGRI	35,000
IRRI	70,000
IWMI	35,000
WARDA	35,000
WorldFish	70,000
CGIAR Secretariat	<u>120,000</u>
	645,000

b) (b) contributions from System-wide programs (2005):

	12,000
Total of (a) and (b) – 2005	657,000

# The Science Council Secretariat – Summary Work Plan 2005

## 1. Introduction

The Science Council Secretariat – formerly the TAC Secretariat – began functioning with the establishment of the Science Council (SC) in 2004. The Secretariat is an original central component of the CGIAR System, established when the CGIAR began operation.

## 2. Objectives

The objective of the SC Secretariat is to facilitate the work of the Science Council, by providing scientific, institutional, administrative and logistical support in all the four major functions of the Science Council: (i) Ensuring relevance of science; (ii) Enhancing the quality of science; (iii) Assessing impact of CGIAR research; and (iv) Mobilizing global scientific and technical expertise.

## 3. Activities and planned outputs for 2005

### 3.1 Strategic Planning and Development

Supporting SC Chair's leadership of the SC

⇒ *Briefing and follow-up notes and correspondence, SC meetings*

Support to Standing Panel on Priorities and Strategies (SPPS) Chair and members

⇒ *Facilitate planning, organizing and conduct of SPPS studies; prepare briefings and documentation for SPPS meetings; draft minutes of SPPS meetings and SPPS reports*

Planning System level priorities and strategies

⇒ *Planning System level priorities & strategies facilitated, and report disseminated*

Conducting perspective studies on System priorities

⇒ *Perspective studies on IP, food safety facilitated, animal and fish genetic resources, and a feasibility study of poverty mapping for priority setting facilitated, and reports disseminated*

Support to Standing Panel on Mobilizing Science (SPMS) Chair and members

⇒ *Facilitate planning and conduct of SPMS meetings; draft minutes of SPMS meetings and SPMS reports*

Preparation of the annual report on global agricultural research

⇒ *Preparation of the annual report facilitated*

Contribution to CGIAR Task Force work

⇒ *Assistance of SC in the Africa Task Force*

Support to Standing Panel on Mobilizing Science (SPMS) Chair and members

⇒ *Facilitate planning and conduct of SPMS meetings; draft minutes of meetings and reports*

Implementation of the mobilizing science strategy

⇒ *Preparation of mobilizing science task force and strategy facilitated*

Mobilization of global scientific partnerships

- ⇒ *Implementation of a strategy for the mobilization of the global scientific partnership facilitated*

### **3.2 Monitoring and Evaluation**

Support to Standing Panel on Monitoring and Evaluation (SPME) Chair and members

- ⇒ *Prepare documentation for SPME meetings; facilitate SPME communication and information sharing; Prepare minutes of SPME meetings and sections to SC reports to AGM*

Support to Standing Panel on Impact Assessment (SPIA) Chair and Members

- ⇒ *Facilitate planning, organizing and conduct of SPIA studies; prepare briefings and documentation for SPIA meetings; draft minutes of SPIA meetings and SPIA Reports to the SC and AGM*

Implementation of New M&E Process

- ⇒ *Assistance to SC in development of new TOR for EPMR and Guidelines for CCER; Facilitation of transition into new Centre M&E System*

Support the development of a Performance Measurement System for the CGIAR

- ⇒ *Input to SC work to develop performance measurement indicators and reporting guidelines for programmatic indicators*

Planning and organizing evaluation of the CGIAR research agenda

- ⇒ *Input to SC's work on preparing MTP assessment framework and guidelines, appointment of consultant, preparation and dissemination of final documents*

Organizing and implementing SC-commissioned external evaluation of Centres

- ⇒ *IFPRI and CIMMYT EPMRs: Assist EPMR Panel during Main Phase, assist SC in commentary preparation, printing and dissemination of report; CIFOR, ICRAF, ICLARM EPMRs: Assist SC in Panel selection, appointment and briefing; support Panel during Initial phase; IWMI, ICARDA, ILRI EPMRs: Assist SC in planning*

Organizing and implementing SC-commissioned external evaluations of SWP

- ⇒ *Support to panel, preparation and dissemination of report for the external review of ASB SWP*

Monitoring and evaluation of CPs

- ⇒ *Assistance to SC on monitoring SSA CP implementation*

Organization and implementing SC-commissioned System-level impact assessments

- ⇒ *Facilitate selection and hiring of SPIA study consultants/panels; briefings and correspondence with panels and CGIAR Centers involved; technical and logistic backstopping; publication of completed reports; oversight to the studies*

Strengthening capacity of Centres to assess impacts on poverty

- ⇒ *Facilitate interactions between SPIA members and case study leaders for the NRM research impact assessment studies: planning SPIA Workshop for May/June to report cases*

Developing a 'CGIAR Impacts' information web-page in collaboration with CGIAR Centres

- ⇒ *Upgrade site content and design; develop short "Briefs" of key system-level and centre impact assessments; update the ex-post IA bibliography and screen new submissions; encourage Centre submissions*

### **3.4 Communication and Resource Mobilization**

Develop and maintain program and project database

- ⇒ *Contribution to establishing an online MTP logframe reporting system*

### **3.5 Management Services**

Organizing Science Council meetings, including document preparation

- ⇒ *Logistical organization of SC meetings in May and September, design of meeting agenda, EOM report*

Developing and maintaining SC databases and roster of peer reviewers

- ⇒ *Support to SC in managing a peer reviewed roster; Contribute to linking the roster to the CGIAR Central database*

Developing and maintaining SC website and document collection

- ⇒ *Update the SC web site in its new design*

Assisting the SC Chair in coordinating SC Activities

- ⇒ *Input to SC Chair's planning of SC meetings in May and in September*

Preparing documentation for CGIAR meetings

- ⇒ *Preparation, printing and distribution of SC meeting documents for CGIAR meetings*

Facilitating liaison and communication between SC and Centres

- ⇒ *Assist SC in developing links with Centres*

Liaising with FAO on administrative and technical aspects of SC

- ⇒ *Administrative operations completed; FAO expertise input to SC Secretariat work received*

## **4. Organization and Governance**

The SC Secretariat is hosted in the Sustainable Development Department. The Secretariat is headed by the Executive Director of the Science Council (Ruben Echeverria). The Secretariat has a 4-person compliment of professional staff (Amir Kassam on sick leave, Timothy Kelley, Sirkka Immonen and a vacant position to be filled early in 2005) and 5 support staff equivalents. The Secretariat is governed by the Science Council, and is bound by the rules and regulations of the host institution.

## **5. Finance**

The cost of the SC Secretariat operations (including salaries and other expenses of staff) are shared by CGIAR co-sponsors. Both budget administration and administrative offices are provided by FAO in Rome.

## **6. Performance Assessment**

Performance will be assessed in 2005 via:

- ⇒ Annual assessment submitted to FAO
- ⇒ *Annual assessment submitted to SC Chair*

## **Strategic Advisory Service on Human Resources**

*The detailed work plan is pending until the recruitment of a new SAS-HR Director is completed.*