

Section 1

The Consultative Group on International Agricultural Research (CGIAR) Joint Declaration

Working Draft
(Interim draft for discussion purposes)

October 26, 2009

Cover notes and clarifications for the Working Draft:

- 1) This document is not expected to be signed, but only endorsed or adopted by the Business Meeting.*
- 2) This document is intended to be an overarching framework for the CGIAR that will inform the implementation of the restructuring, including the terms of specific implementing agreements.*
- 3) The degree of commitment behind the aspirational statements in this document depends on the intent and actions of each individual entity, although for this document to provide a sound basis upon which to proceed with the reforms, it is expected that differences or issues will be raised for resolution at this time.*
- 4) Terminology used in this document for the Consortium is as follows: "Consortium" means the legal entity to be created, "Consortium Board" means the group of individuals comprising the Consortium's governing body, and "consortium of Centers" means the Consortium plus the Centers. We have avoided use of "Consortium of Centers," because the new legal entity will not comprise directly the Centers.*

Context

CGIAR support for international agricultural research over nearly four decades has led to remarkable achievements in agricultural and environmental science. The CGIAR has generated significant benefits for the poor in developing countries. In order to build on this success and meet the new challenges of the 21st century, the CGIAR is implementing far-reaching changes.

These changes are designed to increase outputs, outcomes, and impact; strengthen efficiency, effectiveness, and relevance; establish a simple, clear governance structure characterized by separation of research funders and implementers; and enhance decentralized decision making and active subsidiarity.

It is the intention of funders and implementers that the new streamlined arrangements together with a programmatic approach to prioritizing research and inclusive partnerships will result in a harmonized, robust, and flexible structure that builds confidence for maximized funding contributions and research impact. In doing so, funders and implementers expect that the new CGIAR will better meet the needs of poor farmers, fishers, herders, and consumers throughout the world.

The new CGIAR is a global research-for-development partnership consisting of its funders and a consortium of international agricultural and natural resources research centers working with partners to implement an agreed Strategy and Results Framework (SRF) consistent with this Joint Declaration. This Joint Declaration is a nonbinding statement of intent that describes the fundamental principles that unify the CGIAR participants and the aspirational roles and responsibilities that flow from those principles.

Statement of Resolve

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

We share a commitment to three ***strategic objectives***:

- ***Food for People***: Create and accelerate sustainable increases in the productivity and production of healthy food by and for the poor.
- ***Environment for People***: Conserve, enhance, and sustainably use natural resources and biodiversity to improve the livelihoods of the poor in response to climate change and other factors.

- ***Policies for People:*** Promote policy and institutional change that will stimulate agricultural growth and equity to benefit the poor, especially rural women and other disadvantaged groups.

In restructuring the CGIAR to achieve our common vision, primary goal, and strategic objectives, **we resolve:**

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

Principles

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

Principle 1 – Harmonization

1.1 Funding and implementation of CGIAR agricultural research will be harmonized through adherence to the agreed SRF and support of this Joint Declaration.

1.2 Funding for the SRF will be (i) to the extent possible, through the CGIAR Fund and (ii) based on a common framework for processes, reporting, monitoring, and other operational aspects set by the Fund Council, in coordination with the Consortium (the common operational framework).

1.3 Implementation of the SRF will be (i) by the Centers and their partners through the Consortium and (ii) based on the common operational framework.

1.4 The CGIAR Fund and Consortium are exclusive to and exclusively for the CGIAR, unless exceptionally agreed otherwise between the Fund Council and Consortium.

1.5 The CGIAR will be structured to create incentives and fair cost structures in support of the principles and actions set forth in this Joint Declaration.

Principle 2 – Managing for Results

2.1 Monitoring and evaluation of progress toward and achievement of tangible and measurable results, outputs, and outcomes under the SRF will be accurate, comprehensive, timely, harmonized, and publicly available.

2.2 Evaluation of performance to achieve the SRF and governance of the CGIAR will follow best practice and will include evaluations that are independent and impartial to the policy-making process and delivery and management of programs.

2.3 The Consortium, Centers, and CGIAR Fund donors are mutually accountable for Mega Program outputs financed by the Fund.

2.4 CGIAR Fund donors are accountable for timely and adequate provision of funds as agreed in performance agreements between the Fund Council and the Consortium.

2.5 The Consortium and Centers are accountable for high-quality science and resultant products and services as agreed in performance agreements between the Fund Council and Consortium and the Consortium and Centers.

2.6 The Consortium, Centers, CGIAR funders, and their respective partners have shared responsibility for getting CGIAR research into use to achieve development outcomes.

2.7 Research innovation and partnership [*this is to reflect reference to value of competition in Maputo documentation*] for implementation of the SRF will be encouraged to ensure high-quality research.

Principle 3 – Effective Governance and Efficient Operations

3.1 CGIAR funders and implementers are collectively accountable for achieving results under the SRF.

3.2 All CGIAR funders, the Consortium and the Centers will strive toward common, streamlined arrangements and simplified, cost-effective operations without unnecessary complexity.

3.3 Resources used for the CGIAR system, including research programs, decision-making bodies, and advisory functions, will be allocated and implemented in a transparent manner.

3.4 The Centers implement the SRF, while the Consortium oversees and coordinates implementation.

3.5 Upon receipt of funds from the Fund, fiduciary responsibility (i.e., to monitor and confirm the intended use of funds) and programmatic responsibility (i.e., to ensure implementation by Centers and partners and confirm their achievement of results) for those funds reside with the Consortium; rights and remedies regarding those responsibilities are as negotiated in performance agreements with the Consortium and reside with the Fund Council, as a collective, on behalf of all Fund donors.

3.6 Prior to disbursement of funds from the Fund, fiduciary responsibility for those funds belongs to the Trustee of the Fund, who receives instructions from the Fund Council to commit and disburse available funds to the Consortium, but has no responsibility for monitoring or supervising use of those funds once disbursed.

Principle 4 – Collaboration and Partnership

4.1 The perspectives and priorities of end users will inform SRF, Mega Program and proposal development, funding, implementation, and results monitoring and evaluation.

4.2 CGIAR operations will be informed by the views of participants and other stakeholders through a series of periodic and regular interactions.

4.3 All CGIAR participants will seek to resolve differences that may arise within the CGIAR through common resolution mechanisms, unless otherwise specified in performance and other implementing agreements.

4.4 The CGIAR restructuring will be premised on a strong Consortium and strong Fund Council as collaborative counterparts and complementary pillars through which other elements of the CGIAR, including the Centers, bilateral funders, and other supporting stakeholders, can support the principles and conduct set out in this Joint Declaration.

Conduct

In order to adhere to the Principles, we will strive to act in the following manner:

Principle 1 – Harmonization

1.A. CGIAR funders will

- (i) seek to provide adequate and predictable funding for implementation of the SRF,
- (ii) convene and collaborate through a Funders Forum,
- (iii) through the Funders Forum agree to mechanisms for the equitable sharing of costs to support the SRF and implementation of the principles and conduct set out in this Joint Declaration,
- (iv) respond to Consortium requests to address over- and underfunding,
- (v) join the CGIAR Fund if, when, and to the extent possible, and
- (vi) provide any funding for the SRF under the common operational framework.

1.B. In addition to 1.A., funders contributing to **the CGIAR Fund will, through those funds,**

- (i) finance the SRF, including institutional funding, primarily and increasingly through unrestricted funding [and/or specified Mega Programs],
- (ii) fund the operations of the CGIAR Fund, including operating budgets of the Fund Council, Fund Office, Trustee, and other supporting costs, and
- (iii) seek to increase the proportion of their funding for Centers from bilateral funding to the unrestricted funding through the Fund.

- 1.C. In addition to 1.A., funders contributing **bilaterally to the Centers** will, for those funds,
- (i) support only initiatives that implement the SRF, including Fund Council–approved Mega Programs,
 - (ii) complement funding support being provided through the CGIAR Fund,
 - (iii) limit any reporting, monitoring, or evaluation required beyond the common operational framework to the absolute minimum necessary, and
 - (iv) agree to contribute equitably to costs of aspects of the CGIAR from which they may benefit.
- 1.D. **The CGIAR Fund Council** will
- (i) have responsibility for approving [agreeing]Mega Programs, regardless of funding source, based on proposals from the Consortium,
 - (ii) set the common operational framework in coordination with the Consortium for any funding of the SRF,
 - (iii) respond to Consortium requests for funding, including with respect to over- and underfunding of specific programmatic needs, and
 - (iv) seek the advice of the Independent Science and Partnership Council (ISPC) in making Fund allocation decisions about Consortium proposals to implement the SRF, including Mega Programs.
- 1.E. **The Consortium** will
- (i) oversee and coordinate the design by the Centers of the SRF, in consultation with stakeholders, including end-user representatives, for endorsement by participants in the Funders Forum,
 - (ii) oversee and coordinate the design by the Centers of the Mega Programs, in consultation with stakeholders, including end-user representatives, for approval by the Fund Council,
 - (iii) provide sufficient programmatic and financial information to enable the Fund Council to allocate CGIAR Fund funds,
 - (iv) ensure collaboration among and compliance by Centers in implementing Fund Council–approved Mega Programs and other proposals,
 - (v) set the common operational framework in coordination with the Fund Council for any implementation of the SRF,
 - (vi) ensure Center collaboration and compliance with respect to bilateral funding for the SRF,
 - (vii) receive funding only through the CGIAR Fund, except as [may be exceptionally] agreed by the Fund Council,
 - (viii) seek to ensure that research conducted by the Centers will be primarily under the SRF, as such scope is determined by the Consortium Board, and
 - (ix) avail itself of high-quality scientific advice, including from the ISPC.

- 1.F. **The Centers will**
- (i) primarily engage in research to implement the SRF,
 - (ii) engage in non-SRF research only at full economic cost recovery from funding sources for such research, and
 - (ii) follow the common operational framework for any implementation of the SRF.

Principle 2 – Managing for Results

- 2.A. **All CGIAR funders will** rely on a common results-based monitoring and evaluation framework.
- 2.B. **The Fund Council will**
- (i) regularly assess the performance of the Consortium in meeting its obligations under performance agreements with reliance on accurate, comprehensive, timely, and harmonized information provided by the Consortium,
 - (ii) regularly assess the performance of aspects supporting the Fund, including the Trustee, Fund Office, and ISPC,
 - (iii) commission periodic independent evaluations of Mega Programs, including by component or with a view to gaps, as well as cross-cutting themes, as considered useful for validating findings from external evaluations commissioned by the Consortium.
- 2.C. **The Consortium will**
- (i) have overall responsibility for monitoring research under the SRF with real-time information about program performance, outputs, and outcomes,
 - (ii) seek to ensure that key stakeholders, including end users, participate in program design and evaluations,
 - (iii) commission external evaluations of Mega Programs, including by component, as well as any other thematic or Center-specific evaluations, as considered useful or required by the performance agreements, and
 - (iv) facilitate institutional and other learning for continuous performance improvement and improved results as informed by monitoring and evaluation mechanisms.
- 2.D. **The Centers will**
- (i) use a common system and set of metrics for reporting program performance information to the Consortium so as to minimize duplication of effort and enhance consolidation and comparison of data , and
 - (ii) cooperate with any evaluators commissioned by the Consortium or Fund Council and any follow-up recommendations.
- 2.E. An independent evaluation of the CGIAR as a whole will be commissioned every six to seven years by a reference group constituted for this express purpose to assess the contributions of all participants and

the extent to which the principles and conduct in this Joint Declaration have been achieved, including (i) the efficacy of the Consortium and Fund structures, the ISPC, and the GCARD, and (ii) the effectiveness of research under the SRF in the light of the CGIAR vision and strategic objectives.

Principle 3 – Effective Governance and Efficient Operations

- 3.A. **The Consortium and the Centers [, in consultation with the Fund Council,]** will agree on the relationship between the Centers and the Consortium, including parameters for defining Center and Consortium status and governance relative to each other and other rights granted to and from the Centers.
- 3.B. **The Consortium** will have primary responsibility, and will rely on Center cooperation, for
 - (i) keeping track of all CGIAR funding and seeking adjustments to over- and underfunding of SRF implementation, and
 - (ii) consolidating financial and progress reporting of individual SRF-implementation activities financed by the CGIAR Fund and bilateral funding.
- 3.C. **The Consortium and the Centers** strive to perform effectively and efficiently, including through the provision of shared services to avoid duplicative functions and through the use of Lead Centers to coordinate Mega Program implementation.
- 3.D. **The Fund Council** (on behalf of all CGIAR Fund donors), **the Consortium, and the Centers** will adhere to the terms of their respective performance and other implementing agreements.
- 3.E. **The CEO of the Consortium** may act as the public face of CGIAR in international fora and in so doing will collaborate closely with the Chairs of the Consortium Board, the Fund Council, the Funders Forum, and the ISPC.

Principle 4 – Collaboration and Partnership [this section has had minimal consultation as yet]

- 4.A. **The Consortium and Centers** will build and enhance the partnerships necessary to (i) ensure full stakeholder engagement in the design of the research agenda, (ii) optimize research effectiveness and efficiency, (iii) strengthen the capacity of national agricultural research systems and other research partners in developing countries, and (iv) fully exploit CGIAR research for achieving development impacts.

- 4.B. **A Global Conference on Agricultural Research for Development (GCARD)** will provide an opportunity to engage stakeholders in SRF and Mega Program design, assist in open identification of demand-driven research opportunities and partnership development, and provide public visibility of the programs and development impact of the CGIAR to its partners and users.
- 4.C. **The Consortium, Centers, and Fund Council** will consider the recommendations of **the GCARD** in their decisions
- 4.D. **The ISPC's** primary role is to provide independent advice to CGIAR funders through the Fund Council and the Funders Forum, as derived from ex-ante assessment of research proposals, foresight studies and impact assessments. ISPC will also convene periodic high-level scientific dialogues to inform scientific deliberations among CGIAR scientists and their research partners and help catalyze partnerships with other global science communities.
- 4.E. The Consortium will propose a common resolution mechanism [no details available as yet] for the CGIAR, in consultation with stakeholders, for endorsement by participants at the Funders Forum.

This Joint Declaration represents a statement of aspiration and intent for the restructured CGIAR. It recognizes the importance of allowing CGIAR funders and CGIAR doers to rely on each others' commitments to proceed on the basis of mutually shared expectations. However, this Joint Declaration is not directly binding on any CGIAR participants or stakeholders; any binding commitments pertaining to CGIAR will be defined in other contractual or legal arrangements operationalizing the CGIAR. This Joint Declaration may be referenced in such other arrangements, but would in each case do so only in a way that clearly states the respective parties' intentions as to the relative binding or nonbinding nature of any of the principles or conduct stated herein.

