

13. Governance and management

CRP5 has inputs from 14 CGIAR centers/programs and numerous external partners. This means that governance and management may be more complex than in a commodity CRP, for example. To ensure the development of an effective and efficient program, CRP5 is developing a governance and management structure that builds on the following principles:

- clear lines of responsibility and accountability
- a significant degree of independent oversight via a steering committee
- governance principles developed for the CPWF, as a basis
- the need for professional project/program management expertise
- minimal duplication of existing structures and functions
- the need for a responsive and flexible structure as the CRP evolves.

The governance and management structure of the CRP has the following major components:

1. a lead center: IWMI
2. a steering committee
3. a management committee.

The governance and management structures are shown in Figure 13.1. The respective roles and responsibilities of these components and of contributing partners are summarized in Table 13.1.

Figure 13.1. Governance and management arrangements for CRP5.

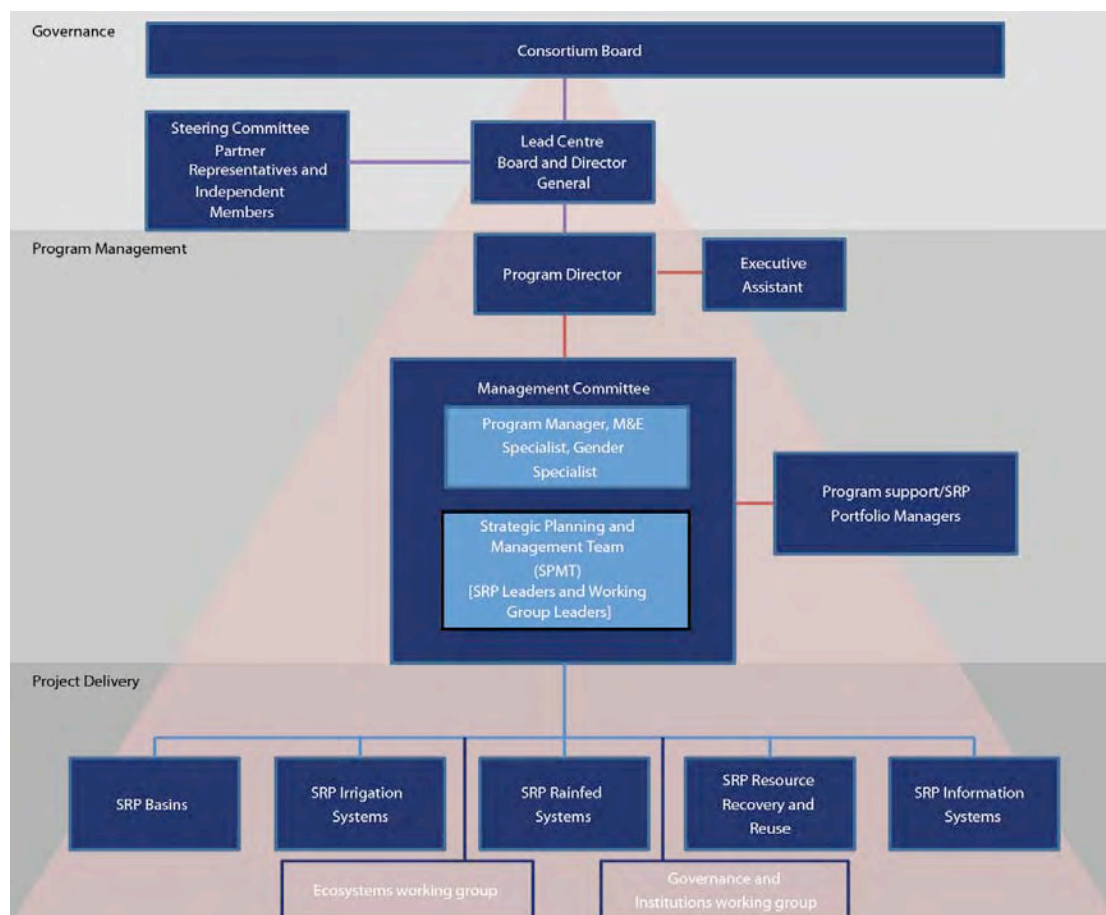


Table 13.1. Governance and management roles and responsibilities (table should be read in columns rather than along rows)

Lead Center Board (CB)	Lead Center Director General	Steering Committee	Program Director	Management Committee	Program Participants
Legal accountability	Supervision of CRP Director	Strategic directions	Intellectual and management leadership	Program delivery and outputs	Project execution
Fiduciary accountability	Development and implementation of Program Implementation Agreement and Program Participant Agreements	Development of the prioritization process for the CRP	Budgeting and financial management	SRP and cross-cutting theme leadership	Reporting against budget
HR and financial policy development	Overall reporting on Program budget to Consortium Board and Fund Council	Effectiveness of partnerships	Resource mobilization	Resource mobilization	Assistance with resource mobilization
Oversight of risk and compliance (e.g. audit and M&E)	Appointment of Program Director	Science quality	Implementation of M&E, capacity building and partnership strategies	Regional implementation of research program	Engagement with local communities and stakeholders
	Ensuring Program core staff comply with lead center HR, financial and other policies	Recommends annual workplans & budgets to lead center Director General for implementation	Program reporting to CB and FC via Lead Center	Strategies for integration between SRPs	Regional integration at project and output level
Input re: lead center interests into strategic direction setting		Advice on impact pathways	Representation of the Program at international fora	Impact Assessment	Project reporting to Management Committee and Program Director
Oversight of development of dispute resolution processes between program participants		Dispute resolution mediation	Initial settlement of disputes between Program Participants	Initial settlement of disputes between Program Participants	

Role of the lead center

The role of the lead center includes the following:

- Be accountable to the Consortium Board for program execution, delivery and use of FC funds in accordance with the Program Implementation Agreement (PIA) between the Consortium Board and the Lead Center.
- Governance, fiduciary oversight and financial management of the PIA for CRP5 will be the responsibility of the Lead Center and its Board of Trustees (i.e. there will not be a separate board for the CRP).
- The lead center's board of trustees will coordinate the audit and other due diligence and oversight responsibilities required by the Program Implementation Agreement.
- The IWMI board chair and director general will report to the Consortium Board on CRP5 as a whole, including an annual financial and progress report in relation to the Performance Implementation Agreement signed between the Consortium Board and the lead center.
- Review and evaluate Program Participants' reports and performance, and via the Program Director will monitor, direct, supervise any CRP5 related activities of any Program Participant.
- Enter into partnership agreements, via the Program Participant Agreement (PPA), with centers or other institutes that will be responsible for leading major component projects related to SRPs.
- The lead center board will oversee monitoring and evaluation processes for the CRP consistent with CB and ISPC guidelines.
- The lead center may amend the Work Plan and/or the Budget of the entire CRP, and of a Program Participant, based on a change in strategic prioritization by the Steering Committee or to reflect any additional bilateral funding received by the CRP or by a Program Participant, according to the relevant provisions of Program Participant Agreement.
- The lead center may suspend or terminate any Program Participant Agreement on the recommendation of the Steering Committee.
- The lead center director general will also work closely with the Consortium CEO on matters related to CRP5 and with respect to resolution of conflict between Program Participants in the case that resolution cannot be achieved first by the Management Committee or by the Steering Committee, before bringing the matter to the attention of the Consortium Board.

The respective roles of the Lead Center Board and Director General are indicated in Table 13.1)

Composition and role of the CRP Steering Committee

The Steering Committee will provide independent scientific advice and strategic oversight for CRP5. It will comprise main CGIAR and external partners (based on significant financial and/or in-kind contributions to the CRP) and independent members including a representative/nominee of GFAR. CGIAR and external partner representatives will include IWMI, CIAT, ICARDA, ICRISAT, Bioversity, CPWF⁹ and World Agroforestry along with FAO and ICAR. Independent members will be sought based on advice of program partners and the Consortium Board. The lead center (IWMI) director general and an independent member (initially, Dr Johann

⁹ until the completion of the CPWF Phase 2 by early 2014

Rockstrom of the Stockholm Environment Institute) will co-Chair the Steering Committee. The Program Director will be an *ex officio* member of the Steering Committee. The Steering Committee will focus on program planning and prioritization, science quality advice, partnership and impact issues. The Steering Committee is accountable to the Lead Center Board and responsible for:

- recommending to the lead center board strategic and annual plans prepared by the Management Committee.
- exercising general scientific and partnership oversight for the Program as a whole and making necessary recommendations or directions to SRPs and Program Participants through the Management Committee.
- developing and implementing prioritization processes for the CRP.
- establishing guidelines for membership of new program participants as the CRP evolves.
- facilitating collective agreement on equitable mechanisms, processes and decision criteria for funding allocations.
- mediating any dispute between the Lead Center and Program Participants or between Program Participants.
- recommending budget allocations between Program Participants to the lead center board.
- organizing Steering Committee meetings once a year, preferably back-to-back with a periodic annual CRP5 science forum.
- providing advice on scientific direction, science quality and feasibility of proposed approaches to the Lead Center and the Management Committee.
- providing advice on partnership and uptake/impact strategies.
- providing oversight and advice on gender and capacity-building issues.
- recommending the Lead Center to suspend or terminate Program Participant Agreement, or amend the budget and/or Work Plan on the basis of its evaluation of a Program Participant's performance; changes in strategic direction or priority within the CRP; additional funds brought in by a Program Participant or the reports submitted by such Program Participant.

Composition and role of the CRP Management Committee

The Management Committee will have two tiers:

- A core team will consist of the Program Director, a Program Manager, and Monitoring & Evaluation and Gender & Equity specialists. This team will be supported by two Program Administrators, who will deal with management of the contracts, finances and milestones of the SRP portfolio. The Program Director will be appointed by the lead center following consultation with other major partners in CRP5. The Director will be supported by a personal assistant. The Program Director will report to the IWMI director general and work closely with the Steering Committee in terms of overall program goals and outputs/outcomes.
- The second tier will be a Strategic Planning and Management group consisting of key contributors from the centers and partners. This group will include individuals selected to lead the SRPs and the working groups (Ecosystem Services, Institutions and Governance). The members be selected from among the program participants. Gender and diversity considerations will be a factor in team composition. The SPMG would meet in person 2–3 times per year and more often virtually. The combined Management Committee is

responsible and accountable for program delivery as specified in the Performance Contracts. The SRP leaders will be responsible for scientific management and outputs in each respective SRP and required to seek better ways of integration between SRPs.

The Performance Implementation and Program Participant Agreements will be the basis of determining expected outputs and performance against these. The CRP Program Director will report to partner institutions on performance and if major disputes arise regarding performance or delivery of outputs that cannot be resolved by the Management Committee, these will be dealt with initially at Steering Committee level. The entire Management Committee (Core team and SPMG) will be responsible to the Program Director for:

- fostering integrative and innovative solutions to key issues identified as the focus of CRP5
- planning scientific inputs and delivery of CRP outputs via the development of rolling annual work plans
- recommending budget allocations to the Steering Committee, based upon evaluation of the Program Participants' performance and reports and the recommendation of the Steering Committee. The budget allocations will be the basis for performance contracts between the lead center and the Program Participants.
- integrating outputs regionally and between SRPs within the CRP and for complementarity and reduction of overlap with other CRPs – bringing context, contribution and synergy between different CRPs and CRP components
- ensuring that gender issues are mainstreamed in the research.
- in conjunction with the Steering Committee and lead center, overseeing monitoring and evaluation processes for the CRP that are based on the Performance Implementation Agreement, Program Participant Agreement, and CB and ISPC requirements
- ensuring that the CRP outputs are of the highest scientific quality
- ensuring that partnerships are developed to deliver on-ground impact
- submitting CRP documentation and funding requests to the Steering Committee
- collaborating with the CRP Director and all partners for receiving and reviewing of technical report, annual activity report, financial report and final report from Program participants
- providing evaluation of the Program Participants' reports and their performance
- giving necessary directions and advice on the implementation of the CRP5 proposal by the Program Participants
- supervising the communications strategy
- reporting against work plans, milestones and outcomes
- finding amicable resolution of disputes between Program Participants.

Role of the CRP5 Program Director

This position will be filled following advertisement and an international search. The responsibilities are:

- intellectual and management leadership
- strategic planning
- ensuring that CRP components work as a team to deliver high-quality, integrative outputs to users
- ensuring that the CRP has a well-designed and implemented gender strategy
- ensuring that a coherent and comprehensive monitoring and evaluation strategy is implemented across the CRP

- representing the CRP within and outside the CGIAR
- leadership of the Management Committee
- managing relationships with SRP Managers
- assuming decision-making authority with respect to day-to-day operations of the CRP and, in accordance with the Program Participant Agreements, the release of funding to partners
- final approval of reports and project deliverables prior to their public release.

Management of regional integration

To ensure regional and basin integration CRP5 will nominate regional leaders from the lead center and major partners. Strong Regional Leadership is key to ensuring integration around coherent problem sets. Regional Leaders will be empowered to assess whether activities in the region meet the development goals and will convene periodic think tank meetings to meet with policy advisors from key countries and influential members of civil society and investors.

The terms of reference for a Regional Leader will include:

- acting as focal point for regional partners and main spokesperson for the CRP5 in that region, promoting interaction among and between SRP Managers
- developing, monitoring and revising theories of change and uptake strategies
- ensuring that gender and equity issues are given appropriate attention
- promoting interaction with other CRPs working in the same region and at the same research sites
- troubleshooting, suggesting solutions for, and facilitating corrective action
- developing and maintaining relationships with partners, resource persons and experts
- ensuring that partner activities are supporting the respective SRPs
- communicating consistent messages about the CRP; these should be consistent with messages communicated by SRP Managers
- ensuring information flows to and from the CRP Management Committee
- ensuring that research outputs and international public goods are suitable for the region and are published.

Program coherence means that individual projects have functional links; for example, the output of one project is an input into another project. This has to be planned, with all project leaders and other stakeholders helping. It is dangerous to underinvest in this process.

Outlined below is a process to ensure this happens. This process is noted in the work plan (Appendix 4) under the heading *Develop regional program plans*.

1. Based on existing experience, develop initial problem sets (regions, basins, sub-basins, ecosystems).
2. Design and implement a process of defining and prioritizing a more complete set of regional problem sets – including consultation workshops and synthesis of information.
3. For each regional problem set, develop a coherent program based on the theory of change logic and SRP logic presented here. Use SRPs to integrate across regions. Include an exit strategy for each research site. Figure 1.1-1.3 exemplifies how different SRPs will contribute to CGIAR Strategy and Results Framework goals.

4. Set budget goals for regional programs and projects, consider existing or ongoing projects and design new ones, and calculate which budgets need to grow and which need to decline.

How existing structures will complement CRP5

A critical aspect of implementation of CRP5 will be using the existing regional management structures of the centers and partners to facilitate delivery of regionally integrated outputs. This will also enhance linkages with the GFAR and its regional constituency, networks such as Improved Management of Agricultural Water in East and Southern Africa (IMAWESA) administered by IWMI and other existing communities of practice.

Because staff will contribute to CRP objectives and projects from their own centers or partner organizations, there will be no need to duplicate human resource, communication and other administrative functions. Communications and reporting on the program as a whole will be coordinated by the CRP5 Director, but will use inputs from the network of partners with their respective roles and inputs defined in the Program Participant Agreements. Resource mobilization will be coordinated at CRP level under the leadership of the CRP Director. Human Resources support will be provided by IWMI for Program positions and by the respective partners for positions required to deliver CRP5 outputs. Monitoring and Evaluation and Gender and Equity issues will also be dealt with at Program level by specific appointments to the Management Committee.

Dispute Settlement Mechanism

Disputes between Program Participants shall be resolved amicably by the Management Committee. Failing that, the Steering Committee shall mediate the dispute and submit its report to the IWMI board, whose decision shall be final.

Disputes between a Program Participant and the Lead Center shall be resolved amicably by the parties themselves. Failing that, the Steering Committee shall mediate the dispute. If, after the Steering Committee's mediation, the dispute remains unsettled then the parties to the dispute shall submit it to the Consortium board. Only after a party is not satisfied by the decision of the Consortium board can it request for arbitration according to the provisions of the Program Participant Agreement.

Risk Management Strategy

Administrative and management risks

CRP5 includes 13 CGIAR Centers and many other partners. The first year will present many challenges resulting from new forms of collaboration, the transition from individual projects to a coherent research agenda, the different organizational cultures and disciplines, and various other dimensions of a large complex research consortium. With all centers moving into CRPs there is also a risk that researchers may be distracted by new procedures, reporting lines become unclear, and other changes may lead to delays and non-delivery of outputs. Efficient monitoring, evaluation and learning systems, an effective Management Committee, and decentralization to existing centers rather than trying to build another bureaucracy will be key strategies to mitigate this risk. We will implement a simple and clear management system that

draws on competencies in the centers and recognizes lessons learned from earlier systemwide initiatives and challenge programs.

Partnership risks

A wide range of partners is expected to participate in CRP5 to achieve the goals of the program. Lack of capacity of partners is often considered a key risk. However, at least as vital is the risk that the CRP5 does not engage with the right partners to achieve impact on the ground. Non-traditional partners will play a crucial role and there is still only limited experience in engaging with these partners (e.g. the private sector). During the first year of the CRP5, a gap analysis will form the basis for further partner selection, and a partnership working group will be established to work with the ME&L unit on partnerships.

Financial risks

There is a risk that the funding base is insufficient or too fragmented to achieve significant goals. To mitigate, CRP5 needs to concentrate funding on a clear set of priorities (SRPs) and to actively and collectively seek additional funds for activities. Coordinated fund-raising will be crucial. CRP5 will work together with the CGIAR Fund and Consortium Board to engage donors on the need for funding.

Political and social risks

There is a risk that research ideas and partnerships will not be received favorably or be a voice at the table because of changes in politics or situations of conflict. This is mitigated by taking a long-term view and monitoring the political landscape where we may, at times, have to wait for opportunities to engage. In the meantime, we have the flexibility to move to a more receptive environment. We will be taking advantage and building on long-term engagements.