Policies

Purpose

This paper proposes for review, and if considered appropriate, a decision of the System Management Board to endorse, until such time as amended or revoked as relevant to the subject matter, all of the current policies, procedures, guidelines and other requirements previously approved by the Consortium Board with certain modifications set out in this paper.

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Recommended Decision Point

1. Pursuant to the discussion below, the System Management Office puts forward the following as the proposed decision of the System Management Board in respect of the continuing effectiveness of the current policies, procedures, guidelines and other requirements previously approved by the Consortium Board unless otherwise agreed.

    The System Management Board

    Endorses until such time as amended or revoked as relevant to the subject matter, all of the current policies, procedures, guidelines and other requirements previously approved by the Consortium Board with the following modifications:

    a. all relevant appearances of the CGIAR Consortium and its derivatives are changed to CGIAR System Organization;
    b. all relevant appearances of Consortium Office are changed to System Management Office;
    c. all relevant appearances of Consortium Chief Executive Officer or Consortium CEO are changed to Executive Director of the CGIAR System Organization;
    d. all relevant appearances of CGIAR Consortium Board are changed to System Management Board;
    e. all relevant appearances of Fund Council are changed to System Council; and
    f. all relevant appearances of Fund Office are changed to System Management Office.

Background

2. The Consortium Board, pursuant to the authority granted to it under its Constitution of the Consortium of International Agricultural Research Centers ("**Consortium**"), approved policies, procedures, guidelines and other requirements ("**Policies**") that are:
    a. Subject to Fund Council approval, part of the Common Operational Framework ("**COF**") and applicable to all funding and implementation aspects of CGIAR's Strategy and Results Framework regardless of funding source or implementing entity (according to the definition of the COF set out in the Glossary annexed to the Joint Agreement);
    b. Consortium-wide and applicable to the CGIAR Consortium and to all CGIAR Research Programs ("**CRPs**") and/or Centers as relevant; and
    c. Internal to the CGIAR Consortium and only applicable to the Consortium Board and/or Consortium Office.

3. A full list of Policies referred to in paragraphs a) and b) above is set out on the CGIAR website at this page: http://www.cgiar.org/resources/main-legal-documents-of-cgiar/

4. The CGIAR Fund Council appointed transition team tabled, at the 2 - 4 May 2016 transition meeting of the Funders and Centers, a paper setting out the proposed approach to the review and, where, appropriate amendment or revocation of Policies. Appendix 1 sets out that paper in full.

5. While it is recognized that a good proportion of the Policies will need to be substantially amended or revoked altogether, the relatively close timing between the approval of the CGIAR System Framework (17 June 2016, "**Framework**") and the Charter of the CGIAR System Organization (30 June 2016, "**Charter**"), and this first Board meeting, has not left sufficient time for a detailed review of the Policies to be made and a formal proposal to be presented. Additionally, work on the proposed Financial Framework Agreement and the required agreements for the new CGIAR Trust Fund to be established, will need to be completed before a final proposal on ongoing applicability of many of the Policies could be presented.

6. In order to avoid disruptions to the current CRPs and other activities, it is recommended that the System Management Board endorse the current Policies, with the understanding that the Policies will be reviewed for continued relevancy in due course, taking into consideration the Guiding Principles for the Governance of the CGIAR System set out in Annex A to the Framework, as provided for in Article 1 of the Framework.

7. The System Management Office will also propose that the System Council endorse all the current policies, procedures and guidelines previously approved by the Fund Council.

Meeting of CGIAR Centers and Funders on the CGIAR System
Rome, Italy
May 2-4, 2016

Proposed Approach to Existing CGIAR Consortium Policies, Procedures and Guidelines

A. Introduction

1.   The purpose of this note is to outline a proposed approach and timeline to transition the current policies, procedures, guidelines and other requirements (PPGs) of the CGIAR Consortium to the CGIAR System Organization.

2.   The Consortium Board, pursuant to the authority granted to it under its Constitution, has approved PPGs which are applicable to its operations and the operations of the Consortium office as well as the operations of Centers while implementing CRPs and, in some instances, more broadly. Some of the PPGs are outdated or otherwise inappropriate and therefore need to be either immediately revoked or substantially amended. Other policies will need to be retained in the short term to avoid disruptions to the current CRPs and other activities but will require review and, in some cases, revocation or significant revision prior to implementation of the next generation of CRPs.

B. Legal Impact of the Transition on the Consortium

3.   From a legal perspective, there is no change in the legal personality of the Consortium/System Organization, as it will be the same legal entity with only the name changing from the CGIAR Consortium to the CGIAR System Organization.

4.   The current PPGs, therefore, will continue in effect unless revoked or revised by the new System Council. However, given the substantive changes being undertaken with the transition to the new system and the replacement of the Consortium Board in its entirety by a new System Council, it is proposed that the System Council, at its inaugural meeting in July 2016, adopt decisions stipulating that the PPGs are revoked or reconfirmed in the first instance and revised or scheduled for reviewed in accordance with Schedules 1 – 3 of this note and that any such PPGs to be carried over shall be applied in the same manner until such time as they may be revoked or revised.

C. Policy Revocation Amendment and Adoption

5.   In accordance with the current CGIAR Consortium Policy Adoption Process, PPGs are approved under the following:

    a) ***Common Operational Framework*** (COF): apply to all funding and implementation aspects of the SRF regardless of funding source or implementing entity according to the definition of the COF set out in the Joint Agreement;

    b) ***Consortium-wide:*** are applicable to the Consortium and to all CRPS and/or Centers as relevant.

    c) ***Internal Consortium:*** are only applicable to the Consortium Board and/or Consortium Office.

6.   The Schedules attached to this document set out the PPGs and propose a timeline for reviewing the relevant PPG as follows:

    a) **Schedule 1** sets forth those PPGs which will need to be revoked or revised and restated at the inaugural meeting of the System Council because the documents are outdated and have been replaced by other procedures or will need to be so substantially revised that they will in effect require a near full restatement.

b) **Schedule 2** sets forth those PPGs which will remain unchanged and applicable to the current CRPs and operations in general to avoid disruptions and confusion to current operations. These PPGs, however, would need to be reviewed prior to the start of the next generation of CRPs in 2017 and may be revoked or revised at that time. It is expected that recommendations to revoke or rise the PPGs as appropriate, along with amended and restated versions of the relevant PPG prepared in accordance with the governance procedures of the System Organization, would be tabled for decision at the System Council meeting in late 2016.

c) **Schedule 3** sets forth those PPGs which will remain unchanged and applicable to CGIAR Research and operations in general and do not require amending prior to the start of the next generation of CRPs although the System Council may wish to review these PPGS at a later date. The approach suggested in this table assumes that the scope of the PPGs will, in the case of the COF and Consortium-wide PPGs, continue to apply broadly to all Center operations. The scope of the PPGs will be discussed at the meeting of Centers and Funders in May 2016 and the time frame for reviewing and revising the PPGs listed in this Schedule will be adjusted depending on the outcome of that discussion.

d) **Schedule 4** sets forth new PPGs to be approved by the System Council prior to the implementation of the next generation of CRPs in 2017. Any new PPG would be developed in accordance with the System Organization's governance procedures.

7.   The Policy Adoption Process, a current Consortium policy listed in Schedule 1 to be replaced, sets out the manner in which PPGs are developed by the Consortium. A new policy will set out the framework as to how PPGs and other requirements are developed, adopted and applied, including as to whether the policy is applied to funding provided by the System Organization, applied across the CRP, or applied broadly to a Center. It is proposed to table the policy at the System Council meeting in July 2016.

Schedule 1

Policies, Procedures and Guidelines to be revoked or replaced as of 1 July 2016

No	Formal Title	Effective Date	Description/Purpose	Classification	Action
1.	Guidelines for Preparing the 2010-12 Medium Term Plans and the 2010 Financing Plans (FG4)	January 2009	Provides guidelines for Center preparation of Medium Term Plans and financing plans to allow for a review and adjustment of the research agenda.	Common Operational Framework	To be revoked as it is outdated and has been substantially replaced by other documents
2.	CGIAR Consortium Policy Adoption Process	March 2014	Sets out the manner in which the COF and Consortium-wide PPGs are developed by the Consortium in consultation with Centers.	Consortium-wide	To be revoked and replaced by a new policy
3.	Consortium Board Policy for Travel Expense Management	May 2011	Sets out the travel cost management system to be employed by the Consortium Board.	Internal Consortium	To be revoked and replaced by Travel Policy for the System Council
4.	Consortium Delegations of Authority	March 2015	Sets out delegations and levels of authority from the Board to the CEO and from the CEO to senior Consortium staff.	Internal Consortium	To be revoked and replaced

Schedule 2

Policies, Procedures and Guidelines to be reviewed prior to 31 December 2016

No	Formal Title	Effective Date	Description/Purpose	Classification	Action
1.	CGIAR Non-Research System Costs Financing	November 2011	Defines non-research System costs and describes formula for equitably sharing costs among Funders.	Common Operational Framework	To be revised
2.	Common Criteria for CRP Design and Assessment	August 2010	Provides the basis by which CRPs are designed, assessed for investment by the Consortium and monitored.	Common Operational Framework	To be revoked and replaced by agreed performance management system
3.	CGIAR Financial Management (FG1)	February 2007	Provides overview of financial management, covering planning and budgeting, oversight, monitoring, reporting and resource mobilization.	Common Operational Framework	To be revised
4.	CGIAR Accounting Policies and Reporting Practices (FG2)	February 2006	Provides a standard set of accounting policies and reporting practices which support harmonization of the Center's Annual Financial Statements.	Common Operational Framework	To be revised
5.	CGIAR Auditing Guidelines (FG3)	October 2010	Articulates basic principles of the audit function in CGIAR, describing the framework required to organize an effective Audit Committee and internal/external audit function.	Common Operational Framework	To be revised

No	Formal Title	Effective Date	Description/Purpose	Classification	Action
6.	CGIAR Cost Allocation Guidelines (FG5)	December 2008	Provides a harmonized framework from which each Center can have a good understanding of its true costs, and which ensures that all costs required to carry out a project are properly charged to that project.	Common Operational Framework	To be revised
7.	CGIAR Procurement of Goods, Works and Services Guidelines (FG6)	April 2008	Sets out principles as a guidepost for Centers' own policies.	Common Operational Framework	To be revised
8.	Template for Annual Reporting of CRPs	November 2014	Provides reporting format for annual performance monitoring at CRP level, from CRP Director and Lead Center to the Consortium office.	Consortium-wide	To be revoked and replaced by the CGIAR System-wide format for Financial Reporting
9.	CGIAR Consortium Financial Certification Framework	June 2013	Requires Centers to provide reports on a set schedule financial and certifications as to veracity and quality of the reports.	Consortium-wide	To be reviewed and revised if necessary
10.	Consortium level Monitoring Principles[1]	September 2011	Sets out the principles to monitor performance of the Centers and implementing partners with respect to each CRP.	Consortium-wide	To be revoked and replaced by agreed performance management system

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[1] This document will likely be incorporated into the Performance Management System for CGIAR Research.

Schedule 3

Policies, Procedures and Guidelines not requiring revision prior to 31 December 2016[2]

No	Formal Title	Effective Date	Description/Purpose	Classification	Action
1.	CGIAR Principles on the Management of Intellectual Assets	March 2012	Sets out principles with respect to the management of intellectual assets produced or acquired by Consortium and/or Centers to ensure widespread diffusion and use of the results of CGIAR research.	Common Operational Framework	To be reviewed
2.	Implementation Guidelines for the CGIAR Principles on the Management of Intellectual Assets	June 2013	Provides additional information and illustrations with regard to the IA Principles to facilitate understanding of the Principles, guide interpretation and ensure coherent implementation.	Consortium-wide	To be reviewed
3.	CGIAR Open Access and Data Management Policy	October 2013	Sets common expectations with respect to Open Access to information products produced within the scope of the SRF.	Consortium-wide	To be reviewed
4.	CGIAR Open Access and Data Management Implementation Guidelines	July 2014	Provides suggested implementation guidelines that describe the basic principles to be followed in Center-developed plans to implement the Open Access Policy.	Consortium-wide	To be reviewed

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[2] The actions suggested in this table assumes that the scope of application of these policies will remain the same.

No	Formal Title	Effective Date	Description/Purpose	Classification	Action
5.	CGIAR Policy for Independent External Evaluation[3]	February 2012	Addresses the independent evaluation of CGIAR as a whole and its ongoing and completed programs and institutional entities.	Common Operational Framework	To be reviewed
6.	CGIAR Investment Policy Guidelines	October 2013	Sets out general principles and requirements for Centers with regard to investing cash reserves.	Internal Consortium [4]	To be reviewed
7.	CGIAR Branding Guidelines[5]	September 2014	Sets out a unified branding guideline to be used across the CGIAR.	Consortium-wide	To be revised
8.	Consortium Board Code of Conduct and Conflict of Interest Policy	March 2015	Sets out the principles to identify and address actual and/or perceived conflicts of interest.	Internal Consortium	To be replaced by the Ethics and Conflicts of Interest Policy

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[3] This Policy will likely be incorporated into the Evaluation Framework.

[4] Effective Date is the date of approval by the Consortium Board. The document has not yet been approved as part of the Common Operational Framework.

[5] The Branding Guidelines will be initially updated to take into account the name change, but a more thorough review can take place after the system is in place and operational.

Schedule 4

New Policies, Procedures and Guidelines to be developed

1. CGIAR System-Wide Format for Financial Reporting

2. Performance Management System for CGIAR Research (and with effect from January 2017)

3. Guidelines and Criteria for Prioritization and Allocation of Funds

4. Risk Management Framework, including Escalation Procedures

5. Evaluation Framework

6. Travel Policy for System Council

7. Ethics and Conflict of Interest Policy