

8 ORGANIZATION AND MANAGEMENT

This chapter examines CIAT's leadership, organization and management. It begins with a discussion of leadership and the organization, addressing the organizational structure, decision-making, and CIAT's organizational culture and morale. This is followed by a discussion of research management, and the management of corporate services. The Panel's assessment draws from our interviews, observations, CIAT documentation, and a staff survey. The survey, conducted during the course of the EPMR, was sent to all CIAT staff; 166 staff participated (43 internationally-recruited staff (IRS) and 123 nationally-recruited staff (NRS)). Annex 6 presents the results – excluding the many written comments from staff, which are reflected in this report.

8.1 Leadership and the organization

Organizational structure

CIAT's organizational structure has changed a number of times since the last EPMR, most recently in April 2007. A consolidated version of the new structure is shown in Figure 1.1. As it indicates, the DDG of Research, DDG of Corporate Services, and the Director of Public-Private Partnerships (PPP) report to the DG. The DDG of Corporate Services is a new position, comprised of the consolidation of the former positions of Director of Finance and Director of Administration. Further details and discussion of the research structure are in section 8.2, while discussion of the administrative structure is presented in section 8.3.

Leadership and decision making

The current DG joined CIAT in 2000, shortly after the last EPMR. His accomplishments during this period have included the establishment of CIAT programs in Africa, particularly the highly successful TSBF, and the development of the strategy for a CIAT program in Asia. In addition, he has mainstreamed participatory research at CIAT and more generally fostered innovative research. The DG's commitment to CIAT's mission, his vision, capacity to communicate compellingly and inspire others, and his collegial nature have been strengths that have served him well in leading CIAT. Broad aspects of leadership and management – and financial management in particular – have been weaknesses.

CIAT's current Management Team consists of the DG, the DDG-Research, the DDG-Corporate Services, and the Director of PPP (as well as the DG's assistant as resource person and the Board secretary as secretary). The newly appointed DDG-Corporate Services, who joined CIAT on June 1, 2007, replaced the Director of Administration (and the former Director of Finance) on this team. The position of Director of Cooperation, who had been on the Management Team, was terminated in 2006. The Management Team meets on a weekly basis to discuss key issues facing CIAT, and advise the DG.

In the Panel's view, the Management Team has not operated effectively as a team in recent years. The team has lacked the full mix of skills needed for sound institutional decision-making – in particular in finance and management. And it has not strategically led CIAT through the period of financial crisis. Likewise, the DG has not approached major strategic issues facing CIAT in recent years, most notably the financial ones, with a clear plan and prompt, decisive action. Tough decisions – that required priority action – were not taken in a timely manner, and the problems evolved but were not satisfactorily resolved. The rationale

for difficult decisions, such as downsizing, was not clearly communicated to staff – and the process lacked transparency. In addition, staff perceive that decision-making on operational matters, particularly personnel matters, is not systematic and transparent; this has affected morale. These shortcomings in leadership and management, along with a proposed course of action, are discussed further below.

Management at CIAT below the senior management level has been decentralized in recent years to project managers. Scientists are not trained as managers. Their role is discussed in section 8.2. In addition, senior management makes use of several committees to support decision-making. There are five committees on the research side (Research Management, Biosafety, Laboratory and Agrochemicals, IPR, and DDG/Project Managers). There are 17 committees supporting Corporate Services in key aspects of financial management, personnel management, information management, and institutional security, as well as four personnel advisory groups/union. In the Panel's view, management should review the value and opportunity cost of these 17 committees, and possible means to streamline them.

Organizational culture and morale

Despite the difficult challenges that CIAT currently faces, the Panel found that CIAT management and staff remain committed to the center's mission and their work, and are proud of the center's accomplishments. At CIAT, there is a culture of open discussion, and innovation, entrepreneurship, partnership, equity and excellence are valued. But the culture at CIAT is currently characterized by contradictions. These are the consequence of management practices related to leadership and decision-making, which are not conducive to research excellence or positive morale.

Innovation and teamwork

At CIAT, a majority (59%) of staff respondents to the EPMP staff survey agreed that they find the work environment conducive to innovative research. The Panel heard that researchers have been given a lot of autonomy to do their work. On the other hand, opinions are mixed as to whether the work environment is conducive to teamwork; opinions may vary by work area. Staff and management alike commented that the center's approach to project management – which encourages individual entrepreneurship – creates disincentives for teamwork, both because inter-project collaboration is not supported and managers are at times competing for resources.

Transparency and equity

CIAT's culture and policy framework value equity, openness and participation. However, only 19% of staff surveyed agreed that decisions regarding downsizing were fair – 33% of IRS felt they were fair whereas only 14% of NRS did. Fewer (14%) of those surveyed agreed that the downsizing decisions were transparent (16% of IRS and 13% of NRS); 21% agreed that these decisions were strategically oriented. While the Panel consistently heard that discussion at CIAT is open, we also heard that decision-making is not transparent and the rationale for decisions is not consistently clear. The Panel heard the sentiment, "everything is negotiable," all too often. While equity is valued in principle, in practice CIAT's policies are not applied consistently.

Autonomy and controls

While project managers have a fair amount of autonomy, they have been hampered in their

work by the weak control environment. Only 21% of IRS surveyed agreed that CIAT has effective management systems and controls; among NRS, however, 56% of respondents agreed that CIAT has effective management systems and controls. The Panel observed that at CIAT information systems do not readily provide information needed for project decision-making, across the institute. Poor controls and unsustainable financial management resulted in the imperative to cut costs and terminate staff. These institutional-level decisions have impacted the authority and autonomy of CIAT managers, and the research environment more broadly.

CIAT's financial situation and the nature of subsequent decisions have demoralized staff at CIAT. This problem is more severe among IRS than among NRS. Among staff who responded to the Panel's survey, only 26% of IRS have good morale as a CIAT employee, while a larger 46% of NRS do. The Board and management are aware that morale is a problem, and indicated that it is a result of the financial situation, downsizing, and the atmosphere of uncertainty. The Panel agrees that these events precipitated the downturn in morale. However, the Panel notes that the last EPMR of CIAT (as well as that in 1995), commended management for its handling of staff cuts – in particular for the care shown to staff; that report also stated that the Panel overwhelmingly heard from staff that people in CIAT are treated fairly and equitably.

In the view of the Panel, the downsizing process was not well managed. It should have been more proactive rather than reactive, and more holistic and strategic rather than incremental in approach. The process should have entailed broader participation, clear rationale for position cuts, and effective communication geared to instill trust and buy-in. The Panel sincerely hopes that lessons learned will strengthen management and decision-making processes going forward.

In the view of the Panel, in order to restore staff morale, significant changes are needed to restore staff confidence in CIAT leadership and management. Only 32% of staff surveyed believe that relations between staff and management at CIAT are positive. Only 23% of those surveyed have confidence in CIAT leadership (DG and the Board). Restoring staff confidence in leadership will be a major challenge of CIAT's Board and management in the coming period. The majority of CIAT staff have patiently weathered a prolonged period of budgetary constraints and rounds of retrenchment. Unless there is an appreciable change in CIAT's governance and leadership situation, CIAT risks the loss of a critical number of key scientists over the next few months. The Panel considers this the number one risk to CIAT's future.

[#13] *The Panel strongly recommends that the CIAT Board take rapid and bold actions to reconstitute CIAT leadership and management in the short term. The Panel also recommends that a specific action-plan be put in place to follow up on the implementation of this recommendation by 1 March 2008 in close consultation with the CGIAR.*

8.2 Research management

Organization of research

In 2000, at the time of the last EPMR, CIAT had a project-based research management structure built around 16 self-sufficient project groups. Projects were managed by project managers, who were given considerable responsibility with accountability. The project

managers reported to one of two research directors. The EPMP recommended that CIAT seek mechanisms to foster intra- and inter-project integration. CIAT's response was that this would form an input to the strategic planning exercise it was about to undertake.

The sequence of changes in organization of research over the following six years has been described in detail earlier (Ch 2). In 2002, TSBF in Africa became part of CIAT and regional coordinators were appointed. This commenced the building of greater emphasis in regionally based teams. In 2004, CIAT established three Research for Development Challenges (RDCs) that clustered the remaining project teams. The RDCs were designed as platforms for enhanced integration. In 2006, the three RDCs were reduced to the current two – People and Agroecosystems RDC, and Sharing the Benefits of Agrobiodiversity RDC – and were formalized into structures with an appointed leader with budget and personnel authority. By this time, CIAT's research program consisted of 11 projects.

In 2007, in response to the recommendation of a CCER, CIAT reorganized its research around the product concept, which is intended to better focus and integrate major elements of CIAT's research. The six product lines have designated leaders within the existing RDC structure, but the transition from projects is still occurring, as evidenced by some references to old project codes in the current MTP and positions of some staff groupings, which retain their project alliances. However, as noted and discussed throughout this report, CIAT continued to struggle with how to organize its research to achieve the desired integration. Recommended remedies to this situation have been detailed in Chapter 7. Currently, organization of research at CIAT is underpinned by the Research Committee, which is chaired by the DDG Research and has the RDC leaders, Regional Coordinators and TSBF leader as members. The evolution of the organization of research over the last six years is symptomatic of the limited guidance afforded by the existing strategic plan and the need for its renewal (as noted in Chapter 2).

CIAT has started to move towards this renewal. In November 2006, the Board held a strategy retreat. The DDG-R prepared three scenarios of possible futures that focused CIAT's research agenda and accommodated an anticipated saving of about US\$2M in the research budget for 2007. The Board and management then developed a revised vision statement (Chapter 2), which they characterized at a February 2007 meeting as a "living document." The Panel views these as positive steps towards a renewed research strategy. However, these steps lagged behind CIAT's changed financial circumstances and its pre-2007 downsizing. The failure to integrate financial planning and management with research strategy and organization has been at the core of the troubles befalling CIAT since the last EPMP.

Focusing the research agenda

Research staff at CIAT numbered 73 IRS and 397 NRS in 2000, and they number 73 IRS and 399 NRS in 2007. Despite the constancy of size in the research staff in 2000 and 2007, the interim has been a time of great flux and, recently, turmoil at CIAT. Between 2000 and 2007, CIAT first expanded its research activity, and increased its staffing greatly (maximum of 108 IRS and 722 NRS in 2005), only to be forced into the present contraction due to financial imperatives. Between 2001 and 2005, subsidized special projects rose from US\$11.7M to US\$29.2M. Contraction in 2006 and 2007 has resulted in the termination of 25 IRS and 106 NRS research personnel. Such swings come at great cost to staff morale, to the confidence in CIAT of employees, donors and the CGIAR, and fuel the perception of the institute as being unstable.

The expansion of research activity came at a time that management and Board were receiving annual letters from the CGIAR Secretariat warning that low reserves placed CIAT in a perilous position, vulnerable to a change in financial circumstance – precisely the scenario that unfolded in 2005. Today CIAT reserves stand at approximately US\$1M compared to US\$5M at the time of the 5th EPMR; US\$10M (90 days reserve) is approximately what CIAT's reserves should be according to CGIAR guidelines. The Panel wonders whether much of the recent turmoil would have been avoided had CIAT focused on building reserves and stayed closer to its research mission rather than expanding on it.

CIAT Board and management must improve procedures for balancing research ambition with financial reality. From 2000-2005, CIAT expanded its activities, often in areas outside of its traditional core research mission of genetic improvement and NRM. For example, between 2003 and 2006, more than US\$1M of unrestricted core was spent annually on Rural Agroenterprises, GIS, and the Rural Innovation Institute. There may be need for CIAT involvement in these areas, but attention must be given to the appropriate scale, potential for impact, sustainability of the resource commitment, and cohesion of the activity with the center's strategic plan. None of these research areas were subject to formal ex-ante evaluation, careful monitoring of impact, or ex-post analysis and none has achieved overall integration with CIAT research outcomes. All three areas have now either been discontinued, or are being downsized subsequent to unfavorable external reviews. Despite these examples of the cost of poor planning, CIAT still has no rigorous formal priority setting system in place, project monitoring is haphazard, and CIAT lacks an appropriate strategic plan [*per Rec. #1*].

The Panel suggests, in conjunction with Recommendation #1, that CIAT formalize and implement procedures for priority setting, research monitoring and impact analysis that inform the process of formulating CIAT's strategic plan.

8.3 Corporate services and management

Corporate Services came into being in June 2007 with the arrival of the new DDG of Corporate Services. It is a consolidation of services that had reported to the Director of Administration and the Director of Finance, as well as two units – Corporate Communications and Capacity Strengthening (CCC) and Information Systems Unit (ISU) – that were previously housed in other parts of the CIAT organization. The department currently has 188 staff, including the DDG (Table 8.1).

The 2007 budget for Corporate Services is approximately US\$5.4M, of which US\$1.0M is charged to service users. The department's five IRS include the DDG, plus heads of Grants Management, CCC, ISU, and the Gender and Diversity Specialist (in CCC). A discussion of Corporate Services follows.

Financial services

Leadership and structure

CIAT's financial management structure has been in a state of flux since the first quarter of 2006. CIAT decided in early 2006 to abolish the positions of the Finance Director and Director of Administration and created a new post, DDG of Corporate Services.

Table 8.1: Corporate services – staffing in 2007

Unit	Staffing
Finance	22
Grants Management	17
Human Resources	17
Central Services	79
Corporate Communications and Capacity	25
Information Systems	26
Office of the DDG	2
Total	188

Until the DDG of Corporate Services position was filled, management appointed an Interim Finance Director on a part time basis. The Interim Finance Director was also the Director of Public-Private Partnerships (PPP). The Interim Finance Director, an agricultural economist by profession, provided leadership to the finance team and supported the Board and management during the period from April 2006 to January 2007. On 26 January 2007, the DG announced that “CIAT must identify cuts at all levels to adjust to a new budget reality. The post of Director of AGRONATURA and PPP will be part of the 2007 cuts.” As a result, the Interim Director of Finance was to be relieved of these duties. The DG announced that until the DDG-Corporate Services was on Board in May, 2007, two mid-level managers would share the responsibilities of financial management. A few days later, on 2 February 2007, the DG announced that “Management, in consultation with members of the Board, has decided to budget scarce resources to bring a management consultant to lead finances from 1st March to 30 April 2007.” The two mid-level managers were no longer interim leaders of financial management. After the management consultant completed his two-month assignment, the former Interim Finance Director, whose post as Director PPP was no longer on the cut list, continued to assume the Interim Finance Director role until the new DDG of Corporate Services joined CIAT on 1 June 2007. All these actions occurred during the time of the Board intervention, discussed in section 9.4.

The management consultant provided the Board and management with valuable advice in devising a Business Plan for the financial recovery of CIAT, proposed an indirect and direct cost recovery policy and methodology as well as a partial restructuring of the finance department, and more specifically the establishment of the Grants Management Unit. The Grants Management Unit is responsible for the administration of restricted research funds, from proposal development through execution and reporting; it supports donor relations and acts as a focal point for financial administration to regional offices.

The new DDG of Corporate Services comes from years of successful private sector management experience with expertise in business development and marketing. He has no substantive financial management, human resources and information technology expertise, which form the major parts of his portfolio at CIAT.

The Panel has tried to make sense of management's actions from April 2006 to date in the areas of financial management leadership. Management's action was intended to primarily correct the perceived weaknesses that were assumed to have contributed to the current financial situation. In the Panel's view, the decisions that were taken were reactive, unsystematic and did not address the underlying issues faced by CIAT. They may have even compounded the problems. One member of the Board, in an informal interview, characterized such actions as "knee-jerk management." It is very difficult to understand CIAT's decision to abolish the Finance Director's post and hire a DDG of Corporate Services with skills in business development and marketing at a time when the financial management issues faced by the organization should take center stage. The rationale for aggregating the functions of the project office, grants administration, donor relations and regional financial administration under Grants Management Unit is questionable. Grants' financial administration was previously housed under the Financial Controller of CIAT. The newly structured Grants Management Unit is led by an international staff with limited experience and no qualification in financial management. The Panel struggled to understand the business logic in such restructuring and assignments of responsibilities.

CIAT's Finance Department until March 2006 was led by a Finance Director with units responsible for accounting (controller's unit), restricted project administration, a treasury function and a budget management unit. It is staffed with very competent personnel and is in a position to produce monthly, quarterly and yearly financial and management information. It is highly focused on processes and the production of various reports. The implementation of Oracle financials has strengthened the department's service provision and keeps proper books of accounts. The provision of financial information and strengthening of internal financial controls are likely to be further enhanced when the remaining modules of Oracle financials and reporting tools are fully implemented. The Finance Department has provided information on the underlying financial performance of the organization over the years to management and the Board. However, the finance leadership was not forceful, assertive or clear enough in its presentation for management and the Board to fully grasp the impending financial difficulties and take appropriate corrective measures early enough. Further, as noted elsewhere, the Board and the DG lacked the financial competence to understand and take action on the underlying issues. The Finance Department, in fact, contributed to the problem by crafting a 'creative accounting' solution to balance the books year-on-year by using the so-called "full cost recovery" methodology and consequently just postponing the inevitable problem to a later date.

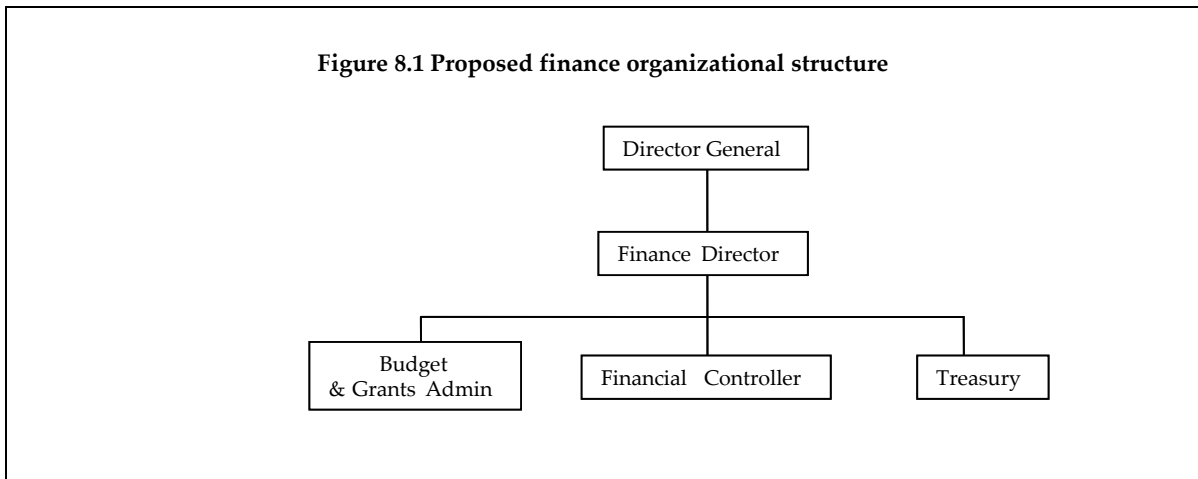
The Panel believes that the current structure and leadership require major adjustments for the Finance Department to deliver on its key organizational objectives.

[#14] *The Panel recommends that: (i) CIAT establish a Finance Director position and recruit an experienced financial manager with an internationally recognized professional accountancy qualification. The Finance Director report directly to the DG to ensure the relative independence of the position and to enhance internal financial controls, and should be a member of the Management Team. (ii) The recently established Grants Management Unit should be abolished and its functions disaggregated.*

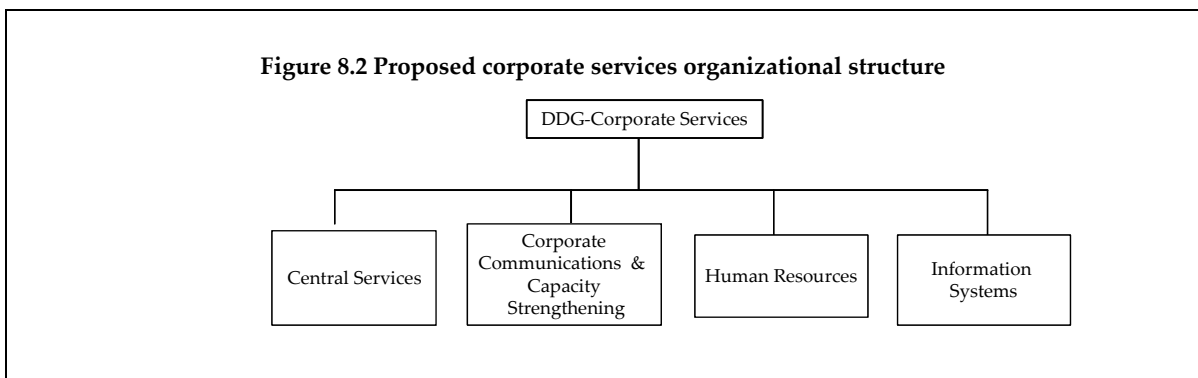
The focal point for financial administration of regional offices should be placed with the Financial Controller's Unit. The current Budget office could be reconstituted as the Budget

and Grants Administration Unit so that the financial planning, monitoring and reporting of activities under different funding sources are managed in a coherent manner.

It is important that the Finance Director sets up a mechanism whereby project proposals and donor reporting go through proper vetting and clearance processes, and that the DDG-Research and the Finance Department work very closely. The Budget and Grants Administration Unit should be charged with the responsibility to give clearance to budgetary provisions in project proposals with due attention to making sure that all elements of direct and indirect costs are included. A proposed organizational structure for the finance department is shown below.



As a result of moving finance out of Corporate Services, the new structure for Corporate Services would be as shown in Figure 8.2. Corporate Services would incorporate retained services as a result of the dissolution of PPP, including the administration of AGRONATURA.



Provision of financial information

The provision of relevant, useful and timely financial information to all levels of management and the Board is critical for decision making. This is a key responsibility for the finance function. Currently, CIAT finance staff provide lots of financial statistics on the basis of what they consider required by management and the Board. The Board and management request additional analysis on an ad hoc basis. There are no agreed and standardized formats.

The Finance Department needs to re-examine its financial information provision critically. *The Panel suggests the Finance Department develop a reporting package including the following: (i) Cash flow analysis by currency phased by month at each reporting period with adequate commentary on the impact of currency on both receipts and expenditure; (ii) Critical highlights of statutory financial statements emphasizing risk items such as overdue receivables, provisions; and (iii) Budget performance reporting, providing detailed variance analysis (aggregated and disaggregated depending on the user of the information).*

In the formulation of budgets, *the Panel suggests that CIAT adopt formats that clearly indicate the build-up of (i) Projected revenue by source of funding and by currency including phasing either on a monthly or quarterly basis; (ii) Assumptions, that are explicitly stated, regarding the build up of revenue projections; (iii) Costs by source of funding and types/objects of expenditure (staff, activities).*

The Panel suggests that CIAT draw lessons from other CGIAR centers where budgetary information and actual financial performance include quarterly reporting, variance analysis, and forecasts which revise Approved Budgets in the light of actual performance, supported by appropriate commentaries.

The current Oracle system in place is yet to be utilized to its maximum. There are many opportunities for such an Enterprise Resource Planning system to provide useful and timely information. CIAT should explore the possibility of using Web-based reporting, almost in real time, to support researchers and managers.

Human resource management

Since the time of the last review, human resource management for NRS and IRS has been consolidated into one office, led by the Human Resources (HR) Manager – who formerly led the HR function solely for NRS. The office handles personnel management, staff development, occupational health and industrial safety, and employee/family social welfare for CIAT employees. In recent years, as the Human Resources Manager notes, his office has focused largely on its administrative functions at the expense of strategic involvement in staff planning and development, and related organizational change efforts. This section reviews CIAT staffing, human resource policies and practices, and strategic human resource management.

Staff composition and downsizing

To effectively recruit, develop and retain high-caliber staff, CIAT's approach to human resource management must remain responsive to its programmatic needs. Since the time of the last review, major changes that impact human resource management have included increased decentralization of operations, financial constraints and the need to downsize, and an increase in project-funding relative to unrestricted income. Trends in staffing are reviewed in light of these developments.

In 2007, CIAT has 86 IRS, 621 NRS (based in Colombia), and 91 locally-recruited staff (LRS) at sites outside of Colombia. The number of IRS is virtually the same as it was at the time of the last EPMP, while the number of NRS has decreased by 6%. Staff numbers increased dramatically in the interim, primarily due to successes in project-based fundraising. In 2005, CIAT had 108 IRS and 722 NRS, prior to the 2006 and 2007 downsizing.

Table 8.2 presents staffing since the last EPMR. As it indicates, overall staffing of research has increased, with a 15% increase in NRS positions, although IRS positions declined slightly (by 3%) during the period. Concurrently, NRS positions in research support declined by 26% and in management and finance declined by 31%. Since the last review, the number of IRS positions in research support and in management/finance increased by four positions, with the bulk of those in the management/finance areas; the proportion of IRS in these areas increased from 12% in 1999 to 18% in 2007. The current DG assumed authority in 2000; research staffing in 2000 and 2007 is comparable, as is NRS staffing in research support. NRS administrative staffing has declined in the interim, and a number of shifts occurred in IRS management positions.

Table 8.2. Staffing by organizational area

Area	1999		2000		2007		Change from 1999 to 2007	
	IRS	NRS	IRS	NRS	IRS	NRS	IRS	NRS
Research	75	346	73	397	73	399	-3%	15%
Research Support	6	119	3	87	7	88	17%	-26%
Management and Finance	3	193	9	162	6	134	100%	-31%
Total	84	658	85	646	86	621	2%	-6%

While the majority of CIAT staff are based at headquarter in Colombia, staff are located in a total of 16 countries. CIAT is becoming increasingly decentralized; in 1995 25% of IRS were out-posted; in 2000 31% were out-posted, and in 2007 47% were out-posted. Much of this change has been associated with the growth in the regional operations of CIAT (Chapter 5).

CIAT has a truly international staff, with 35 nationalities represented. The national origin of CIAT IRS has shifted since the time of the last review, in parallel with the move towards greater focus of operations in the key regions. Since 2000, there is an increase in representation from Africa and Asia, and a decrease in representation from the Americas (particularly North America), among CIAT's IRS, as shown in Table 8.3. At the time of the last EPMR, US nationals and Colombian nationals constituted the two largest groups (27% and 14% respectively). As of June 2007, these two nationalities remain the largest groups, although US nationals have declined to 16% of CIAT IRS, and Colombian nationals are now approximately 12% of IRS.

Staff downsizing, in response to CIAT's financial constraints, resulted in the elimination of 27 IRS and 130 NRS positions during 2006 and 2007. Some of the individuals in these positions retired or were at the end of their CIAT contract; some individuals returned to CIAT in other positions. The distribution of staff cuts is shown in Table 8.4. As it indicates, 25% of IRS positions were cut from the pre-downsized December 2005 level, including 24 of 93 research positions (26%). Among NRS positions, 18% of positions were downsized from the December 2005 level, with the greatest proportion (23%) in research support. Women comprised 19% of IRS positions in 2005 – and held 19% of positions terminated. Among NRS, women comprised 38% of the staff in 2005 – and held 37% of the NRS positions terminated.

Table 8.3. Region of origin of CIAT IRS – 2000 and 2007

Region	2000	2007
Africa	14%	27%
Europe	29%	26%
Central & South America	21%	19%
North America	31%	17%
Asia	2%	7%
Oceania	2%	5%
Total	100%	100%

Table 8.4. Positions terminated in 2006 and 2007 by area

Area	2006		2007		Total		Total Dec-05		Cuts as % of Dec-05	
	Terminations		Terminations		Terminations		staffing		staffing	
	IRS	NRS	IRS	NRS	IRS	NRS	IRS	NRS	IRS	NRS
Research	14	42	10	40	24	82	93	466	26%	18%
Research Support	1	12	0	12	1	24	8	103	13%	23%
Management and Finance	2	11	0	13	2	24	7	153	29%	16%
Total	17	65	10	65	27	130	108	722	25%	18%

As noted in Section 8.1, the vast majority of staff who responded to the EPMR survey felt that decisions concerning the downsizing were not fair, equitable, or strategically oriented. A key factor in downsizing decision-making was the funding source of each position, and the nature of the staff contract; freeing up unrestricted funds was a priority, as was terminating positions that had a lower associated termination cost. Unfortunately, this approach did not necessarily coincide with programmatic priorities. In addition, professional NRS research staff felt particularly targeted by the cuts – as did Latin American IRS. Among IRS who left during the downsizing, four were retirees. Excluding these four, 39% of the remaining 23 IRS staff in positions downsized were Latin American and 30% were North American; of these 23 individuals, 35% were Colombian and 22% were from the United States. The Panel notes that the downsizing of Colombian IRS – in the absence of transparent rationale – did not send a positive message regarding CIAT’s commitment to Colombia or Latin America.

CIAT’s overall staff turnover has been elevated since 2006, due to the downsizing. Taking a longer view, staff turnover (percent of staff leaving each year) averaged 12% for IRS and 16% for NRS from 2001 through 2006, which are reasonable rates. During this period, turnover among female staff at CIAT was considerably higher than that among male staff, for both IRS and NRS, as is shown in Table 8.5. Turnover was also higher among female than male staff during the prior review period, from 1995 through 2000. Turnover averaged 19% for IRS women from both 1995 through 2000 and from 2001 through 2006; for NRS women, turnover declined from an average of 27% to 23% during these two periods. Turnover was comparable among male IRS and NRS, during both periods. As CIAT does not consistently survey or document exit interviews of departing staff (although this has begun to change), the Panel

cannot explain the difference between female and male turnover rates. Our impression is that higher turnover rates among women are generally related to personal factors – age, stage in career, family interests, other job opportunities – as opposed to CIAT’s work environment. CIAT’s upcoming Gender and Diversity Audit could explore this question further.

Table 8.5. Average turnover over two periods

	NRS	IRS
1995-2000		
Male	19%	18%
Female	27%	19%
Total	22%	18%
2001-2006		
Male	11%	10%
Female	23%	19%
Total	16%	12%

Since the time of the last EPMR, the proportion of CIAT’s IRS who are women has declined slightly from 23% to 21%. The last EPMR commented that the proportion of women decreases as one goes up the organization ladder. Currently, 28% of senior scientists are women, although only 7% of regional coordinators or unit heads are women, and none of the senior management are women. Among NRS, the proportion of women has increased slightly from 35% to 37% since the time of the last EPMR; 38% of NRS supervisors and managers are women, although only 17% of the 12 senior NRS managers are women.

Policies and practices

The last EPMR Panel was favorably impressed by CIAT’s personnel policies. Many of these are now in need of updating. Leadership is needed to rethink policies, update systems, and ensure that policies are consistently applied and support CIAT’s values and programmatic objectives. Brief comments on selected CIAT policies and practices follow.

Recruitment and contracting. As CIAT programs have become increasing project-driven and decentralized, human resource management has become more complex and related policies have not been systematically applied. Overall, decision-making regarding recruitment and contracting is decentralized, but management can override decisions. The HR office’s role varies, depending on the staff group.

- *For IRS* – the HR office plays an advisory or support role; decisions are taken by the relevant project manager, director, the DDG, or the DG.
- *For NRS* – the HR office works with the relevant manager through the process; typically the HR office recommends a salary and in most cases but not all the manager accepts this recommendation.
- *For LRS* – the HR office is not involved; the recruitment and contracting are handled directly by the regions.

Since 2000, CIAT has reduced considerably the number of IRS and NRS on continuing appointments and on contracts of more than one year in duration, and has increasingly

employing staff on contracts of one year or less in duration, in response to financial constraints. In 2000, only 6% of IRS were on contracts of one year or less in duration; in 2007, 46% of IRS are on such contracts. In 2000, 34% of NRS were on contracts of one year or less; in 2007 53% of NRS are on such contracts. In 2000 while one IRS was on a part-time contract, seven are currently on such contracts. In addition, newer contracts have clauses that enable CIAT to terminate employee contracts on short notice, such as 30 days, in case of termination of donor funding. Short-term contracts and contingency clauses can be highly detrimental to staff morale, commitment and productivity – and can affect CIAT’s ability to recruit staff as well, particularly where relocation is involved. CIAT management should expeditiously review its contracting practices and take measures possible to avoid the related potential loss of staff.

As discussed in section 5.5, in the Panel’s view, CIAT has not progressed to a global institution in its administration of human resources. In recruitment, contracting, and other policy and service areas, CIAT’s human resources office is oriented largely towards headquarters. As recommended in Chapter 5, CIAT’s administrative systems need to be revamped so as to more responsively support the region’s operations. The result, in the area of human resource management, should be a system that is consistent, coherent and equitable across CIAT’s programs, globally.

Compensation. CIAT salaries for IRS have not increased for seven years. While IRS are eligible for bonuses, these have not been consistently awarded and, in recent years, have been modest and contingent upon available funding. Salaries of new recruits are market comparable, which has resulted in internal inconsistencies and, in some cases, the upward adjustment of salaries of comparable positions. Salaries also may be adjusted upon promotion. CIAT’s salaries for IRS were below 2005 CGIAR averages, and their position has presumably eroded further in the past two years.

IRS do not all have the same benefit package, as it has been modified a few times over the years for new recruits. Differences in conditions among regions have not been adequately considered. Management and the Board have discussed moving IRS to a single benefit package, with monetization of benefits – although the proposal has not moved forward yet. Such a policy can provide new incentives or disincentives for prospective employees to choose to work at CIAT – and for current employees to choose to stay. In light of the potential impact of changes in the benefit package on CIAT’s capacity to attract and retain staff, the Panel believes that proposed changes on that front should be thoroughly reviewed and should have support of CIAT’s Principal Staff Association.

The compensation for NRS union employees, who comprise from 25% to 30% of total NRS, is adjusted every two years following negotiations. For non-union positions, salaries are reviewed and adjusted periodically based on market conditions and associated staff turnover. In general, compensation of NRS is competitive, and CIAT is considered a good employer.

Performance appraisal and development. The last EPMP Panel found the performance appraisal system at CIAT to be excellent. In 2006, the process was not fully carried out for all employees; management considers the system in need of updating, and has plans to do so. According to respondents to the EPMP staff survey, 58% of IRS agree that performance appraisal at CIAT is systematically and fairly carried out, 56% of NRS do not agree. Only 22%

of NRS and 19% of IRS agree that performance appraisal at CIAT is clearly linked with rewards. While 54% of NRS agree that CIAT provides good opportunities for professional advancement, 56% of IRS do not agree.

While CIAT's policies encourage professional development, in recent years financial constraints have limited opportunities for training and staff development. According to the CGIAR Performance Measurement reports, in 2004 and 2005 CIAT led CGIAR centers in terms of average number of days IRS and NRS staff spent in training (seven to eight days per year), and the percent of the budget that the center spent on training (more than 3%). In 2006, CIAT's training budget dropped significantly – and in that year the center was one of only two without an active leadership development program covering current and prospective staff in managerial positions.

The last EPMP commented on the creation of the Staff Development Fund, which opened up training and educational opportunities to staff for job-related and personal development. That Fund's budget has declined steadily from US\$0.14M in 2000 to US\$0.069M in 2006, and is projected to decline further yet in 2007. Likewise, the number of people trained through this fund declined from roughly 600 in 2000 to half of that in 2006.

In the Panel's view, while recent shortcomings in the performance appraisal and development front at CIAT were triggered by financial constraints, they appear symptomatic of a broader lack of strategic management of human resources, discussed further below.

Gender and diversity initiatives

Since 2000, a series of activities have been carried out at CIAT around gender and diversity (G&D) issues, aimed at building awareness and improving the organizational climate. This work at CIAT is aligned with the CGIAR G&D Program. Initiatives at CIAT have included training, mentoring, awareness-building events and initiatives, support groups, and input to CIAT policies – such as a revised draft recruitment policy and improved new staff orientation. A related initiative was the establishment of a day-care center on the CIAT campus in 2001, which has been particularly beneficial to women employees (both IRS and NRS) with young children. CIAT tracks and the DG reports to the Board on data associated with gender staffing, recruitment and retention. The DG is committed to the issue, although budgetary constraints have hindered initiatives. Plans are underway for a G&D Audit at CIAT that, in the Panel's view, should provide valuable insights for organizational development.

In 2006, CIAT implemented a harassment policy, in line with a new Colombian law. The center has taken this policy seriously and the Panel is pleased to see this development. CIAT's G&D Committee has worked on a campaign against sexual harassment, which included seminars and workshops. These are important steps. The Panel, however, heard complaints about work-place harassment. While the Ethics Committee formally deals with such issues, in the view of the Panel, an individual who is seen as neutral, confidential and independent should be designated to handle such complaints. This individual – who could be an ombudsman – would listen, serve as an information resource, offer options, and help solve the problem.

Spouse employment continues to be an issue for IRS at CIAT headquarters. The spouse of a CIAT employee based in Colombia is not permitted to work in Colombia, in accordance with

CIAT's headquarters' agreement and Colombian law. Under some arrangements, the spouse can work at CIAT – if a suitable opportunity arises. The constraints to spouse employment impacts CIAT's ability to attract and retain employees of two-career couples. The issue was pursued by the former DG, up to the ministerial level of the Colombian government, to no satisfaction. In light of efforts that have been made in the past and the high rate of unemployment among professionals in Colombia, the current DG is not optimistic that efforts would result in policy change.

Strategic human resource management

CIAT spent some US\$10.1M in “phase out costs” associated with staff terminations since 2003 (US\$5.8M of which was in 2006 and 2007). The downsizing that occurred at CIAT in the late 1990s cost an additional US\$10.0M over four years, as reported in the last EPMR. In both cases the cost of terminating staff was largely the result of former policies and local labor laws. However, the potential high cost of doing business at CIAT underscores the need for strong leadership and planning on the human resource front. In recent years, human resource management has lacked the attention and support of CIAT leadership. It has largely been an administrative function. The Human Resources Manager has had limited authority, and the decentralization of decision-making on this front has caused inequities, reduced transparency, and weakened morale. This is directly linked with issues of leadership and decision-making more broadly at CIAT, as discussed in section 8.1. Ultimately, deficient human resource policies and management can damage staff productivity and retention.

[#15] *The Panel recommends that human resource management become a priority at CIAT; this should entail aligning human resource planning with broader program and financial planning efforts, streamlining human resource business processes to improve service delivery, and renewing policies and their consistent application.*

Specific initiatives could include the following.

- ***Human resource planning*** – should be integrated with programmatic and financial planning. This should begin with an assessment of staffing needs in the short and long-term, relative to existing competencies. It should link a strategic institutional perspective with development plans for teams and individuals. Leadership and management development, as well as G&D, should be integral elements of this plan. The planning process can help align individual and team aspirations with program strategy and budgetary priorities.
- ***Human resource business processes*** – should be examined for opportunities to improve service delivery and operational efficiency. Currently, CIAT staff – particularly those in the regions – are frustrated with what they perceive as the HR Office's lack of responsiveness; likewise, the HR Office has frustrations with the demands placed on them by managers and staff. The business-process review should aim to streamline the HR Office's operating procedures, clarify needed changes in roles and responsibilities (for the office and their customers), and improve service delivery.
- ***IT opportunities*** – should be explored, as part of the business-process review, to enhance the capability and efficiency of the HR Office and to enable CIAT managers and staff to readily access team and personal HR information. In particular, human resource management in the regions should be integrated with that in headquarters.
- ***Policy renewal*** – has been initiated, and the process should move forward expeditiously. It should be accompanied by procedures that are consistently applied and ensure

transparent and equitable treatment. In particular, CIAT's policies and procedures associated with recruitment, contracting, compensation, and performance management should be designed to attract, develop and retain high-caliber employees. Policies should be aligned with new program needs and financial considerations, and should be easy to administer.

- *Employee feedback mechanisms* – should be broadened to include regular use of staff surveys. CIAT has an impressive tradition of communication between management and staff, which has been fostered through staff associations and the union. Staff attitude and customer satisfaction surveys can be valuable, low-cost tools for learning that can complement existing mechanisms. According to the CGIAR Performance Measurement report of 2006, CIAT was one of only three CGIAR centers that did not use such all-staff surveys in 2005 or 2006, and share results with staff. Such initiatives should be developed in consultation with staff. An associated process should be put in place to systematically document staff exit interviews.

Administrative services

The former Director of Administration was involved in the founding of CIAT in 1967, and has been a central player in its management for the past 40 years. It will be a challenge to the new DDG of Corporate Services to draw from his predecessor's institutional experience – and incorporate new ideas and approaches to the way CIAT does business.

All administrative service areas have faced budget reductions in recent years, along with staff downsizing. Services offered and the associated organizational arrangements are similar to those at the time of the last EPMR. Prior to that review, the administration had undergone major changes in terms of reductions in staffing and budget, and development of new ways of doing business, including outsourcing and a strengthened service orientation.

The EPMR staff survey results presented a mixed view concerning the effectiveness of CIAT's administrative services (Annex 6). A split of 48% of staff surveyed agreed that services are effective, whereas 48% disagreed (with 17% strongly disagreeing). Responses of IRS and NRS were similar, although IRS were a bit more critical. Comments to the Panel focused on the perceived high cost of administrative services and their management. In the Panel's view, the DDG of Corporate Services should assess the need, rationale, quality, and cost effectiveness of services, and opportunities for improvement that address customer-service concerns. He should take a fresh look at further opportunities for consolidation and incorporation of new technologies. Further, as CIAT's research strategy and staffing plan unfolds, opportunities should be explored to further develop partnerships for increasing use and sharing costs of CIAT's headquarter facilities (as discussed in section 6.5), or closing underutilized facilities.

A brief discussion of CIAT's administrative services follows.

Maintenance

The maintenance group covers the physical plant, automotive workshop, and transportation. Its services include utilities (water, electric, and telecommunications), building and water network maintenance, air conditioning, and lab equipment. Most of the services are contracted out, and some of these contracts are with cooperatives formed by former CIAT employees (as described in the last EPMR). In response to budgetary constraints, measures have been taken to reduce utility use (electric, water, lighting, gasoline), and this has included

installation of new systems or equipment. In addition, operational and maintenance schedules of CIAT's infrastructure have been reduced. The signs of deferred maintenance are evident in the CIAT campus. It is essential that management make well-calculated decisions when deferring maintenance to ensure that unnecessary risks are not taken and that schedules can resume in a timely manner.

Food and housing

CIAT's Food and Housing Unit provides cleaning, food and beverage services, receptionists, and housekeeping for the accommodations. Most of the services are outsourced, an arrangement that has been in place since the time of the last EPMP. Food and housing services are self-financed, while cleaning services are not. Cleaning services have been reduced to cut costs, which is a source of customer dissatisfaction.

Purchasing

Two separate units handle purchasing for CIAT – the office of Maintenance and Procurement, in Cali, and the CIAT-Miami International Purchasing and Logistics Office. In total, these offices purchased US\$8.1M in 2006, including local purchases (US\$2.4M), contracting (US\$4.6M), and international purchases (US\$1.1M, managed primarily through Miami). The CIAT-Miami Office focuses on specialized supplies. CIAT purchases account for roughly 60% of purchase costs in the Miami Office; CIP, WARDA, and other CGIAR centers also use the service. In Cali, CIAT contracts out administrative services (cleaning, gardening, security, among others), as well as research support; some of these services had been handled in-house prior to the last EPMP. Since the time of the last EPMP, further efforts have been made to cut costs and improve procurement services through better planning, negotiation with suppliers, simplification of processes, implementation of Oracle, and staff training. The Miami office has made strides in covering virtually all of their costs through service fees, which was not the case in the past. That office is exploring the use of Web-based and other technology to improve service. The CIAT Procurement unit in Cali also provides warehousing, fixed assets control, vehicle fleet administration, and oversees the mail office. In the view of the Panel, the DDG of Corporate Services should take a fresh look at possible additional opportunities for cost-saving and consolidation of CIAT's purchasing operations.

Institutional protection

The security conditions in Colombia have improved overall in recent years, as is reflected in the increase in foreign investment. However, information provided by CIAT management indicates that Cali is the most insecure City in Colombia (in terms of homicides) as it is on the drug trafficking route to the coast. While CIAT staff are conscious of security risks, the Panel did not sense a climate of concern. To the contrary, staff seem comfortable moving about in Cali, although they are less comfortable traveling into the countryside and there are some parts of the country that they consider off limits due to security risks. Like other CGIAR centers, CIAT has field operations in locations where risks are elevated, although none presents a particular risk at the current time. CIAT's Institutional Protection unit focuses on incident prevention. The unit develops security guidelines and procedures, and provides security of CIAT's headquarters and research sites in Colombia, using a force of CIAT security guards (12) and contracted guards (9). As a result of recent budget cuts, services provided to CIAT staff have been cut, such as surveillance of homes of IRS. The Panel agrees with a decision taken at the recent Board meeting that prior to downsizing in security, Management should evaluate the risks.

Legal

CIAT has a full-time lawyer representing the center on legal matters. This includes advising on legal issues and documents, representing the center in its negotiations with the union, and supporting work with CIAT's collaborative networks (such as FLAR). The lawyer oversees CIAT's insurance coverage for headquarters; the regional offices coordinate this elsewhere. An area in which CIAT is finding an increasing need for legal counsel is intellectual property management. While CIAT's current lawyer provides support in this area, it is one in which he is not a specialist and CIAT is likely to need outside counsel occasionally, as is discussed in section 6.4. The same could be said for other specialized legal areas.

Information technology

The Information Systems Unit (ISU), under Corporate Services, provides information technology and communications support to CIAT scientists and management. It is staffed with skilled local professionals whose expertise includes software development, IT infrastructure maintenance and support skills. Since 2000, the ISU has made excellent progress in several areas, including the following:

- Strengthened procedures and software applications associated with institutional memory, to organize, store and provide data and information created in research and administrative processes within CIAT.
- Development and implementation of IT applications that provide support to research, such as: Genetic Resource Unit, Project Manager Software, and Information System for Analytical Labs.
- Storage of data and information resulting from CIAT's research projects, creating scientific databases that are readily and securely available.
- Implementation of administrative and financial information systems based on open, online, integrated and web-based systems; the purchase of an Enterprise Resource Planning (ERP) system (Oracle Financial) together with the development and integration of the other systems.
- In telecommunications and network infrastructure, CIAT changed from proprietary systems to services held by external providers that use best practices and permit CIAT to have secure systems with continuous service and 24 hour support.
- CIAT became part of the local university network, as well as national and regional high-speed networks, connected via the Internet, which provide economic, technical and educational benefits.

CIAT must continue to make strategic investment in IT and communications systems, including upgrades to its ERP Financial Systems to further help improve productivity to support researchers, disseminate knowledge and improve its administrative and financial management. The Panel commends the ISU for its achievements obtained with limited resources.

Corporate communications and capacity strengthening

The Corporate Communications and Capacity Strengthening Unit (CCC) was formed in March 2006 as a merger of three units: Communications and Graphic Arts, Training and Conference Services, and the Library. The aim was to better integrate information and knowledge sharing initiatives, and find cost savings through consolidation. CCC has responsibility for a range of functional areas including communications, library, knowledge sharing, media, scientific training, conferences, and graphic arts. The unit consisted of a team

of 34 in December 2005, and is targeted to end 2007 with 20 staff, following downsizing and retirements.

Following input from within CIAT, CCC defined its new focus to consist of three areas – in which the team has begun to make progress:

- External communications – media presence and revitalizing CIAT’s corporate image
- Internal communications – reactivating the Intranet and making it relevant to the regions
- Training – e-learning and university partnerships

There have been several developments in the area of CCC since the time of the last EPMR. CIAT has capitalized on new technologies and opportunities for collaboration. In the past six years, CIAT has completed the electronic cataloguing of all CIAT authored publications, which now may be accessed online. The CGIAR Virtual Library has enhanced access of CIAT researchers and collaborators to information from other centers – and enhanced access of others to information generated from within CIAT. As the Internet has improved access to information, the use of CIAT’s online library resources has increased (as confirmed by regularly monitored web statistics), while researchers’ physical visits to CIAT’s library have declined.

In terms of external communications, CIAT produces press releases and works with TV and radio teams, mainly in Colombia and Latin America. Some stories have been translated and adapted to non-Latin audiences and disseminated more widely in collaboration with the CGIAR Secretariat’s communication team. CIAT, in collaboration with the CGIAR Secretariat and seven CGIAR centers, has posted a media specialist in East Africa, who develops stories in consultation with researchers, for media release. In addition, CCC has modified CIAT’s annual report structure and content, and the tagline (from “Solutions that Cross Frontiers” to “Partners in Research Cultivating the Future”).

Concerning internal communications, CIAT’s Intranet has been further developed and is now launched in both English and Spanish. CCC has enhanced the coverage and reach of CIAT’s internal newsletter ARCOS. In 2003, CIAT’s Annual Review Week was renamed Knowledge Sharing Week. This annual event is designed to improve communication, relationships, and collaboration within CIAT. Staff from CIAT headquarters and the regions participate in the week’s meetings, information fair, informal networking, and social events; the week, which culminates with awards, generates discussion and excitement around CIAT’s programs.

In terms of training, in 2005 CIAT organized its first multi-institutional distance education course, in collaboration with the National University of Colombia, Bioversity International (former IPGRI), and REDCAPA. This initiative was followed by a distance learning program between CIAT and the University of Florida, in which CIAT researchers are serving as thesis supervisors; CIAT’s first distance education student will graduate from this program in April 2008. CIAT has also continued to offer training opportunities at headquarters, in which over 2,600 students and professionals have participated in short courses or carried out thesis research at CIAT (BS, MS, PhD), during the last five years.

The Panel is pleased to see the organizational development and outputs of CCC in recent years. The unit has reengineered processes and initiated creative outsourcing in order to continue to offer its primary services with a reduced staff. We are impressed by the

innovative collaborative arrangements, within the CGIAR and with other institutions, which leverage resources, talent, and access to relationships. The Panel encourages the head of CCC to continue to explore promising opportunities on this front.

The Panel agrees with the priorities of CCC going forward, and believes that there is much work ahead. Concerning training, the Panel cautions that CIAT's programs should continue to drive the training strategy and agenda, despite CCC's new place in CIAT's organizational structure.

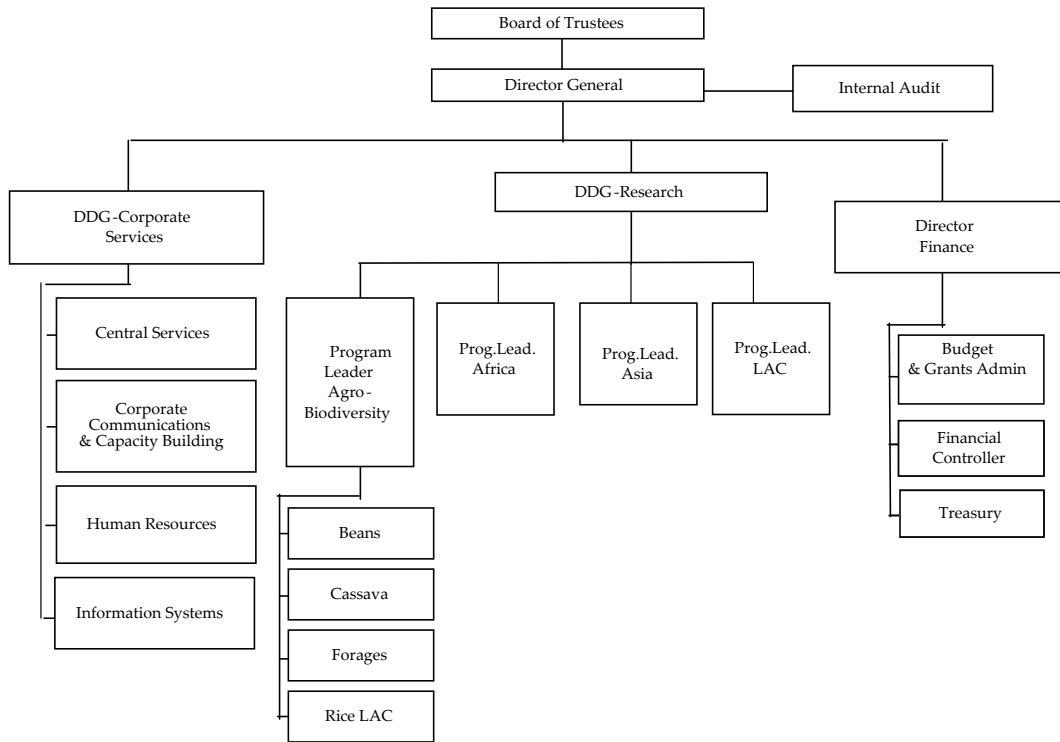
Concerning external communications, in the Panel's view, the head of CCC has an appropriate role and is capable of leading her expanded team, although the reduction in staff may cause constraints. Leadership is needed on the corporate communications front. The Panel received volumes of material and presentations from CIAT – and while much of the material was highly valuable, it did not present a consistent or coherent corporate message – targeted to the needs of its audience. *The Panel suggests that the head of the Corporate Communications and Capacity Strengthening unit be given authority to play a leadership role in driving CIAT's external communications, working with the DG and relevant managers.*

The Panel believes that the relationship-building component of external communications needs greater focus within the organization – particularly in regards to donor relationships. The DG leads this effort and others in CIAT are involved in various aspects. The Panel sees the need for a focal person, within the Office of the DG, to support the DG in this work. This would not be a new position but rather a reorganization of existing roles within the DG's office, following the development of CIAT's next strategic plan. This individual would then develop the accompanying fundraising strategy and coordinate its implementation, track targeted relationship-building efforts, and ensure that CIAT presents a consolidated front to its donors and other important institutional alliances. *The Panel suggests that CIAT reorganize existing roles in the Office of the DG and appoint a special assistant for institutional alliances and donor relations.*

8.4 Recommended organization structure

The recommended structure for CIAT, which brings together the recommendations in research management and corporate services, is presented in Figure 8.3.

Figure 8.3. Proposed organizational structure



9 GOVERNANCE

This chapter examines the past performance of the CIAT Board, its current positioning, and opportunities for improvement. It explores the Board's size and composition, its structure and operations, and the Board's role. It closes with a discussion of challenges in governance and controls.

9.1 Board size and composition

CIAT's current Board of trustees is presented in Annex 7, a discussion of which follows.

Board size

According to CIAT's by-laws, the center's Board is comprised of no more than 17 members, including four ex-officio members (the DG and three representatives of the Colombian government), and a Colombian national elected by the Board. Currently the CIAT Board has 14 members. Since the last EPMR, the Board's size has ranged from a high of 16 in 2000 to a low of 12 members in early 2007. (In addition, CIAT has a non-voting *emeritus* Board member, who was a member of CIAT's founding Board in 1968.) Variations in Board size during the review period have been due to the timing of term completions, resignations and appointments – and to a decision taken in 2005 to reduce Board size to 14 members (10 at-large and four ex-officio), in accordance with the recommendations of a CIAT Board task force on Board structure and operations. It should be noted that while the Board officially has 14 members, two ex-officio host-country Board members have not attended meetings in recent years. While the Board is currently at its target size, eight of 10 at-large Board members will complete their second term between 2009 and 2011. In order to level future turnover at one to two Board members per year, the Board plans to expand during the coming two years and then stabilize at 10 members at-large by 2010.

Board composition

CIAT's Board has expertise across a wide range of scientific disciplines, and experience spanning the regions in which CIAT works. Board members have had strong knowledge of science and, for most of the period since the last EPMR, limited financial expertise. In 2005, the Board began to focus on this gap.

The CGIAR defines professional qualification in financial management for CGIAR Board membership as (1) a recognized professional qualification in finance (preferably CPA, CA or equivalent), and (2) substantive experience in directly managing significant financial matters in the public or private sector. In 2005, CIAT appointed a Board member with broad financial planning and management expertise, but without the CGIAR-defined qualification. In 2006, CIAT appointed a Board member with such expertise, although that individual subsequently resigned. At the close of the May 2007 meeting, the Board appointed a highly accomplished individual whose experience meets the CGIAR's qualification in financial management. The Board recognizes the need to strengthen itself further in this area, and is seeking a nominee who is a CPA or the equivalent. The Panel agrees with this assessment, and believes that such expertise is essential for providing oversight of CIAT's accounts and financial controls.

Board members have been selected largely from outside of the CGIAR system, as independence was a priority. In 2005 the Board decided to limit CGIAR Board nominees from three to two, in order to provide more flexibility to the Board in the member selection process. Latin Americans continue to dominate the Board in terms of nationality mix, due to the host country agreement (requiring three ex-officio Colombians plus an additional Colombian Board member). Since the last EPMR, membership of Europeans has declined considerably and, as total Board size has also declined, the proportion of developing country representation on CIAT's Board has increased, as Table 9.1 illustrates.

Table 9.1. Board composition by region – full Board

Region	2000-2001	2007-2008
South America	6*	6*
North America	2	3**
Europe	5**	2
Africa	1	2
Asia	2	1
Total	16	14
% developing country	50%	64%

* Includes 4 Colombians

** Includes the DG

There also has been a shift towards a more regionally balanced Board. This is particularly evident when the trend is viewed excluding the ex-officio (four) and additional (one) host-country Board member, as Table 9.2 shows. While noting that it would be desirable to increase Asian representation on the Board, particularly in light of CIAT's growing presence in that region, the Panel is pleased to see the overall trend towards a more regionally representative Board.

Table 9.2. Board composition by region – excluding host country and ex-officio members

Region	2000-2001	2007-2008
South America	18%	22%
North America	18%	22%
Europe	36%	22%
Africa	9%	22%
Asia	18%	11%
Total	100%	100%

While the proportion of Board members from developing countries has increased since the last EPMR, their role in Board leadership positions has not. Currently, each of the four Board members from a developed country holds a position of either Board or committee chair – while none of the chair positions are held by Board members from developing countries

(although that of vice chair is). The Panel encourages the Board to strive for a broader mix in its leadership.

In 2000-01, six of CIAT's 16 Board members (or 38%) were women – or 50% of the (12) members at-large; currently, four of CIAT's 14 Board members (or 29%) are women – and 40% of the (10) members at-large. It should be noted that two women left the Board in 2006, due to competing demands on their time, and that the Board is seeking to add a woman as its next recruit. The Panel notes that in addition to a decline in women Board members since the last EPMR, the number of women in leadership positions at the center has also declined (see section 8.3). The Panel urges CIAT to redouble efforts to reverse this trend.

9.2 Board structure

The CIAT Board has five committees, discussed below, which report to the full Board: Executive and Finance Committee, Program Committee, Audit Committee, Nominating and Governance Committee, and Risk Management Committee. The Board also has a sub-Committee on Compensation, and a sub-Committee on Security Matters. In addition, the Board appoints a Scientific Advisory Committee for the TSBF Institute (as discussed in section 7.5).

Executive and Finance Committee

The Executive and Finance Committee acts on behalf of the Board between meetings, and serves as the Board's finance committee. Members include: the Board chair, vice chair, the DG, and the chairs of the Program Committee, Audit Committee, and Nominating and Governance Committee, as well as one additional Board member. The committee has assumed a prominent role in overseeing CIAT's financial situation and associated changes, which was the focus of their deliberations during the Panel's visit.

While minutes were recorded for the majority of interim Executive and Finance Committee meetings, these were not circulated to the full Board prior to the May 2007 meeting. As a result, at least some Board members who were not in the committee felt ill-informed and on the periphery at the May meeting. The Panel underlines a comment made in the CCER concerning the importance, particularly during the current situation, of documenting interactions and keeping the whole Board up to date.

During the Panel's visit, the Committee did not receive sufficiently relevant and useful information in advance of the meeting. This hampered members' ability to contribute. Further, while committee members were aware of the financial issues, they lacked the financial expertise to challenge underlying assumptions to conclusions and projections.

Program Committee

All Board members serve on the Program Committee, which advises the Board on CIAT's research strategy, programs, and scientific quality. More than half of CIAT's five-day Board meeting is typically devoted to program-related matters – two times per year. In addition, Board members are encouraged to attend the annual program review (or Knowledge Sharing Week) held a week before the spring Board meeting. The committee interacts with scientists, management and partners, is very committed to its role, and has a deep understanding of CIAT's programs.

The Program Committee tackled an ambitious agenda during the Panel's visit, including the Medium Term Plan, research organization, regional integration, partnerships, CCER follow up, specific programmatic issues, staff awards, and more. Despite the duration of the formal meeting (two days) and strong facilitation by the chair, the time seemed insufficient to delve fully into many items. This was due to operational issues in some cases (late documents or lengthy presentations), a big volume of material, and a large number of participants – the full Board and some staff. The discussions tended to be wide-reaching, and did not sufficiently focus on selected strategic issues.

Audit Committee

The Audit Committee is normally comprised of three or four Board members, excluding the Board chair and DG. The committee provides oversight of CIAT's annual financial audit, and establishes and monitors internal financial controls and reporting, and management policies, systems, and procedures. The Audit Committee works closely with the Executive and Finance Committee; the former is concerned with monitoring compliance and controls, using information about past and present performance, while the latter is forward looking and focused on budgets, financial planning, and funding prospects.

The Audit Committee, which the Panel observed in May 2007, is led by a chair who is an experienced management consultant with a general understanding of financial management. The Audit Committee as a whole, however, did not have sufficient financial management skills to probe management and auditors in sufficient depth. The Panel was told by the BOT that the current Audit Committee chair has the required financial expertise. The Panel, however, notes that the CGIAR's 2006 Performance Measurement (PM) Indicators clearly stated that CIAT's Audit Committee chair "does not meet the definition provided in the PM instructions."¹⁴ In other words, the Audit Committee chair does not have professional expertise in financial management.

The Committee did not follow a systematic approach in its interaction with the internal auditor, external auditor, or interim director of finance. The Panel was informed that the chair of the Audit Committee in 2006 and 2007 held two private sessions each year with the senior Audit partner from the external audit team. The previous Audit Committee chair met annually, in private (outside of the committee agenda), with the senior Partner from the external audit firm. Good audit committee practice suggests that such closed sessions are held with all committee members present and not with the chair alone.

The Audit Committee, like the Executive and Finance Committee, was not provided with relevant and useful information in advance of the meeting, to aid its deliberations. The documentation consisted of PowerPoint presentations. The external auditor's presentation included a clean audit opinion – and no discussion of the center's financial difficulties. The Audit Committee did not raise this omission or engage the auditor in discussion of CIAT's financial difficulties. Additional discussion regarding the Audit Committee may be found in section 9.4.

¹⁴ Report on the Verification of Selected CIAT 2006 CGIAR PM Indicators, a note sent to the DG of CIAT dated June 18, 2007.

Risk Management Committee

The Board's Risk Management Committee (RMC), which was established in 2006, consists of three Board members, including one representative of the Program Committee and two representatives of the Audit Committee. The RMC reports to the full Board. Its role is to advise and monitor risk management at CIAT as well as to review the proposed annual statement of the Board on risk management. The RMC is expected to base its activities, analyses, and suggestions on the outcome of the semi-annual center-wide assessment of major strategic, operational, and financial risks – conducted by the CIAT Internal Risk Management Committee (CRMC) – as well as the likelihood and exposure of the center to these risks.

The committee, which works with the CIAT (staff) Risk Management Committee, has made progress in identifying risks, but has not yet assessed or begun to monitor these. The role of this committee will be critical to effective Board oversight of risk, and to incorporating risk management more broadly into Board decision making. Additional discussion regarding risk management may be found in section 9.4.

Nominating and Governance Committee

In 2006, the Board renamed the Nominating Committee as the Nominating and Governance Committee, and broadened its terms of reference. The committee, which is comprised of at least four Board members, nominates candidates for Board membership, nominates the Board chair and vice chair, and advises the Board on governance-related issues. The committee also oversees induction of new Board members. During the Panel's visit, the committee considered current Board composition and member tenure, developed a plan for succession and renewal through 2010, drew up a profile of a desired nominee, and considered Board member assignments in non-research areas.

In the view of the Panel, this committee has brought an impressive mix of new members to the Board. The committee has aimed to seek broad input to its nominating process, such as by seeking nominations from staff, donors, and partners. In addition, the Board weighs not only the candidate's profile and expertise, but the candidate's commitment, fit, and availability to serve – which is gauged through interviews. Once identified, the nominee is invited to observe a meeting, to gain a realistic understanding of the time involved, before agreeing to serve. The prospective Board member is also provided with a valuable orientation of the center and the Board, and is matched with a Board "buddy" for coaching. The Panel commends the Board's approach to member induction. In addition, the Panel is pleased to see the "Governance" role added to the Nominating Committee, and feels that this role should be developed more fully.

9.3 Board operations

This section comments first on CIAT's Board policies and procedures, then reflects on broader aspects of Board operations and practices that impact upon Board performance.

Policies and procedures

The 2006 CCER on Governance, Management, and Finance commented on the strong effort the Board has made since 2001 to create a comprehensive framework of policies and procedures, which are in keeping with best practices in CGIAR centers. The CCER noted, however, that although the Board Manual includes a policy on Staff Concerns (p. 73), there is

no clear distinction between a process for “whistle-blowing” and the role of the Board as “court of last resort” for personal grievances. The Board has begun to move forward on this front. The EPMR Panel underlines the importance of the CCER recommendation, and urges the Board to adopt a policy and procedures to cover the situation of whistle-blowing and consider the appointment of an ombudsperson or other means of providing this role.

Board operations and practices

CIAT’s Board is comprised of highly accomplished individuals, and the chairs are skilled at facilitating meetings. BOT meetings are characterized by an open, collegial atmosphere, hard work, mutual respect, quality deliberations, and a strong sense of commitment and purpose. Senior staff attend BOT meetings, and Board members make opportunities to talk with staff and understand CIAT’s programs and operations. The BOT was supported for 15 years by an excellent secretary (who retired in 2007), as evidenced by the quality of minutes and records, and the up-to-date BOT manual. In addition, the committees and the BOT take self-assessment seriously.

In order to strengthen performance, in recent years the BOT has increased the number of meetings (from one to two per year), expanded interactions with management and scientists, broadened BOT engagement between meetings, instituted retreats to focus on important issues, expanded the Board’s skills’ mix to include management and finance, and instituted self-assessments at the end of each committee and BOT meeting. The Panel commends these developments.

In the Panel’s view, while the quality of deliberations is high, the Board’s time is not optimally spent and operational matters hinder Board performance. Particular areas that could be enhanced include information provided to the Board, the Board’s workload and agenda, and performance measurement.

Information provided to the Board

Documents prepared for the May 2007 BOT meeting were not consistently provided in advance and their quality was uneven. Several documents were handed out during committee or the BOT meetings. Financial documents did not clearly lay out assumptions or include scenario planning. A draft of the new CIAT MTP (2008-10) was circulated during the week of the meeting. Staff presentations to the BOT were uneven; many were too long and few highlighted key issues for Board discussion. A more orchestrated effort is needed to ensure that documentation and presentations are designed and delivered to optimize use of Board time and facilitate strategic discussions.

The Board’s workload and agenda

In addition to serving on the full Board, the majority of CIAT’s BOT members at-large are on at least three Board committees (because all are on the Program Committee and a majority is on the Executive Committee). Each BOT member also provides oversight of particular research and non-research areas within CIAT. The breadth of information that Board members need to process and discuss is significant. In addition, the time available for in-depth strategic discussions is limited. Further, the open nature of Board meetings, while a positive reflection of CIAT’s culture, can at times hinder the actual openness and focus of discussion. On this point, the Panel was surprised to learn that the Board did not have a closed, full-Board session to discuss CIAT’s financial situation. Suggestions for addressing these concerns include:

- Ensuring that the role of individual Board members, in their ongoing oversight of specific research and non-research areas, is clear and linked with Board priorities
- Assigning members to introduce and provide strategic focus to complex agenda items
- Dividing into parallel sessions to address specific topics in depth
- Selectively, making more use of closed Board and committee sessions to foster focused, frank discussion of issues

Performance measurement

In the past year or two the BOT has elevated its attention to performance indicators, particularly those associated with CIAT's financial health. These indicators have driven performance on the financial front in a manner that wasn't evident in prior years. The Panel believes that the BOT, in consultation with management, should broaden this practice and establish key performance targets for CIAT's programs and management, and track progress against these according to an agreed timeframe. Doing so will clearly communicate the Board's priorities and expectations, and help motivate performance accordingly.

[#16] The Panel recommends that the Board, in consultation with management, institute measures to strengthen Board operations and strategic focus; measures should address information shortcomings, the Board's heavy workload and agenda, and priority performance indicators.

9.4 CIAT in distress – and the Board's role

This section focuses on the Board's role during the time of financial and related stresses at CIAT. It begins with an overview of the role the Board has played in recent years, including its intervention, its strategic leadership, and its appraisal of the DG. This is followed by a discussion of the nature of governance and the control environment at CIAT, including what catalyzed the recent financial crisis, the evolution of the problem and response since 2000, internal controls and risk management. It closes by looking forward – with recommendations relating to governance and the control environment.

The Board's role

Intervening mode

Since the time of the last EPMR, the BOT has evolved from a role that was described as overly respectful of the line between Board and management, to an intervening mode in which the BOT has become intensely involved in discussions of critical issues and decision-making. A marked shift occurred in late 2005, when the BOT became aware of the gravity of CIAT's financial situation, which it had failed to fully understand or act on prior to that time. During the past 18 months, the BOT chair has been speaking on a weekly basis with the DG, the Executive and Finance Committee has met frequently (10 times in 2006 and 10 times from January through May 2007), and the full BOT has increased meetings from one to two per year. During this time, the BOT has provided oversight and guidance to management relating to the financial crisis, and the BOT has aimed to ensure that financial decisions were aligned with research strategy.

However, a BOT intervention is not "business as usual." As of mid-July 2007, there is uncertainty concerning the duration of this intervention. While the Board chair's May 2007 letter to the Interim Director of the CGIAR indicated that the BOT will maintain its current level of engagement until May 2008, some other BOT members and management do not

seem to be fully aware of this expectation – and explicitly told the Panel that they expected the intervention to end in 2007. In the Panel’s view, CIAT will not be perceived as a stable institute until it emerges from BOT intervention.

The Panel has reflected considerably on the efforts that CIAT has made in the past 18 months, since the BOT intervention began. In the Panel’s view, the Board’s dedication to CIAT and commitment to shepherd the center through this difficult period have been exemplary. The Panel’s assessment, however, is that the intervention has not resulted in the resolution of CIAT’s underlying problems. While scientific programs at CIAT continue to be impressive, financial and management challenges continue to loom large. Since March 2006, the center has not had a permanent Director of Finance or the equivalent – which is essential in the view of the Panel – and no plans are underway to recruit one (as of mid-July, 2007). Only 23% of staff surveyed by the EPMR Panel expressed confidence in CIAT leadership (DG and the BOT), and the Panel believes that the center risks the resignation of a critical number of key scientists over the next few months. The Panel has concluded that fresh approaches are needed in terms of leadership and governance at CIAT, and that the BOT should end its intervention as soon as possible.

[#17] The Panel strongly recommends that the Board lay out clear parameters and a timetable to end, as soon as possible, its intervening mode so that normality can return to CIAT.

Strategic leadership and oversight

While the CIAT Board’s active involvement in the financial realm is a recent development, since the last EPMR the Board has provided ongoing guidance to the center on the research program. The 2000 EPMR urged the Board to refocus its attention on strategic issues of resource allocation and the monitoring of implementation. The Panel believes that the growth of project-funded activity at CIAT, from 2000 through 2005, was not strategically driven and weakened CIAT’s research focus. Further, the downsizing that followed was conducted in successive rounds and overall has not resulted in a clear strategic repositioning. As previously noted, only 21% of CIAT staff surveyed by the EPMR considered the staff downsizing to have been strategically-oriented, and only 14% of staff agreed that it was transparent.

The Panel believes that the BOT did not provide strong strategic leadership and oversight for much of the period since the last EPMR. More recently, management and the current BOT have initiated steps to strengthen oversight and renew the research strategy. The Panel considers that this process, integrated with improved financial and human resource planning, should move forward expeditiously.

Appraisal of the DG’s performance

The DG is currently in the middle of his second five-year term at CIAT. In May, 2006 the Board instituted a new approach for appraising the DG. Each Board member completes an assessment form ranking 21 aspects of the DG’s performance. The Board chair reviews these and provides a summary to the DG, in the presence of the full Board. Prior practice entailed the chair seeking informal input from each Board member then having private conversation with the DG (of which there was no record). The Panel observed the BOT session in May 2007 in which the Board chair synthesized and presented Board members’ feedback, and the DG provided a brief response. This was followed by a one-on-one conversation between the

DG and the BOT chair. CIAT staff was provided an opportunity to complete a questionnaire regarding the DG's performance, although the process did not feed into the Board's assessment this year.

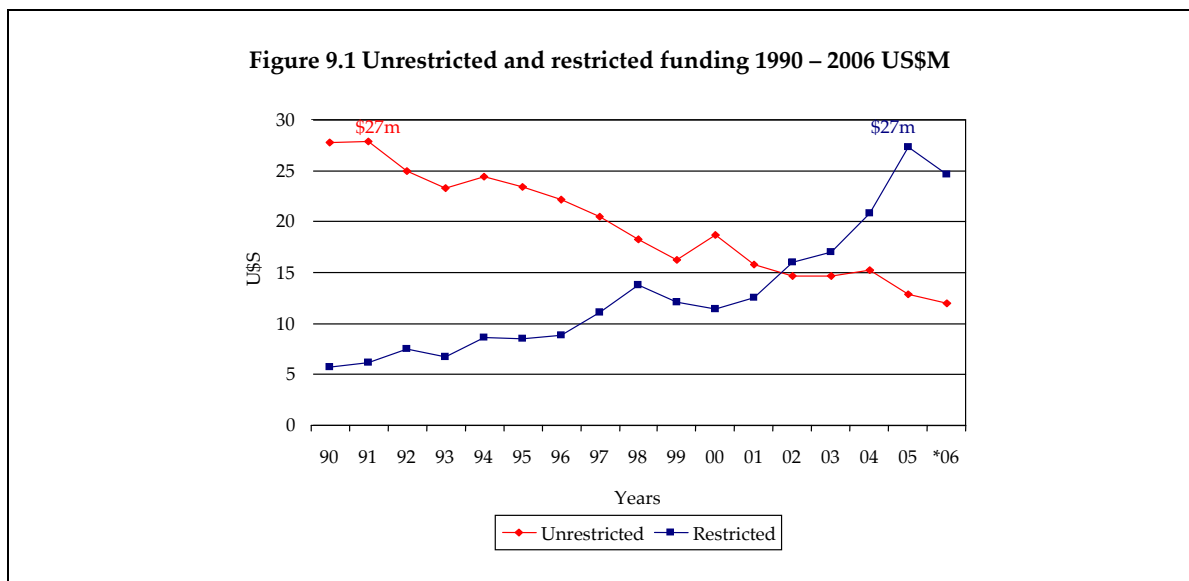
The Board's appraisal of the DG's performance, which the Panel observed, appeared balanced, indicating both strengths and weaknesses. However, while the appraisal identified crucial leadership and management weaknesses, the Board did not take commensurate measures to rectify these vital soft spots in general management that had a significant bearing on CIAT's past performance and its future success. *The Panel suggests that the process for appraising the performance of the DG should be conducted against pre-agreed measurable goals, should incorporate staff feedback, and should result in concrete actions designed to deal with identified weaknesses.*

Challenges – governance and controls

A discussion follows of what catalyzed the recent financial crisis, the evolution of the problem, the center's response, and internal controls and risk management.

The catalyst of the crisis – the funding trend

As Figure 9.1 indicates, CIAT's funding mix has changed significantly since 1990. In 2000, when the current DG assumed leadership, the funding trend was clear and a corresponding adjustment to the cost structure was imperative. *Why did it take so long for the CIAT Board and management to chart the right financial management strategy?*



The evolving financial problem and response

In a memorandum of May 3, 2007, the CIAT Board chair wrote to the Interim CGIAR Director requesting support of US\$1.5M to help CIAT out of its financial crisis. In this memorandum, the Board chair affirmed that the CIAT business plan would resolve the center's solvency problems by 2008. The memorandum asserts that *"the main source of financial problems in the recent years has been diagnosed as inadequate budgeting and project management processes, not helped by deficiencies in information systems. ... [Although] unrestricted income had been fairly stable between 2001 and 2004, this crisis that hit in 2005 could have been foreseen because of the rapid increase in subsidized special projects*

between 2001 and 2005, from US\$11.7M to US\$29.2M. *Board and management did not react in a timely fashion to this evolution. The Board did not get fully engaged until late 2005*" (Panel's emphasis).

While the Board did not get fully engaged until late 2005, there were clear indicators of financial problems and internal control breakdowns requiring strategic and sustained response from the Board and management to bring CIAT to a healthy financial position. Management began to take stop-gap measures, back in 2002 and 2003, but the response and the Board's oversight were not sufficient. Some examples follow.

- The Third Quarterly Financial Report of 2002 to the Board stated that the DG convened an all-staff meeting at which he presented CIAT's funding trends from 1993 to 2002, including the decline in unrestricted contributions and increase in restricted funding. The DG concluded that the "Center cannot continue operating under the present cost structure. ... CIAT is not facing a crisis at present; however the distribution of costs must be recognized."
- At the Board meeting in December 2002, the DG reported on the need for structural adjustments in response to the decline in unrestricted funding over the prior 10 years. He explained that "the strategy adopted to face these changes in the funding structure were on the one hand to come up with ideas and measures to make savings in expenditures, and on the other to move more expenses to restricted funding through [a] full cost recovery (FCR) mechanism, whereby special projects would be charged what things really cost and which have been historically heavily "subsidized" by core funds." ¹⁵ He further stated that the Fifth EPMR recommended that CIAT elevate the priority assigned to the redesign of its financial information systems, processes and procedures, and that the financial system's core module – Oracle General Ledger – was expected to be implemented in early 2003.¹⁶ (As of mid-2007, implementation is still not fully complete.)
- In December 2003, the DG reported to the Board that the "CGIAR Centers' finances are managed under a high degree of uncertainty. The management team is proposing implementing reductions in core allocations for 2004 and 2005. This will compensate part of the imbalance between income and expenditures in unrestricted funds."¹⁷ Any measures taken were insufficient to offset CIAT's financial difficulties.

The financial indicators used by the CGIAR, short-term solvency and adequacy of reserves, showed that CIAT was at no point during the period 2000 to 2006 in a healthy position. Regular quarterly and monthly financial information provided to management during the period indicated clearly the financial difficulties faced by the center. The DG's reports to the Board and to its Executive and Finance and Audit Committees highlighted a number of times the precarious financial situation. The CGIAR Director wrote to the CIAT Board chair and management at the end of every financial year and following the annual review of centers' performance indicators that CIAT needed to take corrective measures to solve its financial problems. This did not result in a considered financial strategy designed to put the center's finances in a more sustainable footing.

¹⁵ Report of the DG to the BOT: Meeting BOT 48: 2-6 December 2002, page 40

¹⁶ Ditto, page 41

¹⁷ Report of the DG to the BOT: Meeting BOT 49 (4-5 December 2003, page 43)

While management recognized the underlying structural shift of funding from unrestricted core to restricted project funding several years ago, it did not understand the implications of this shift to the sustainability of the center’s financial health, and did not take appropriate or timely measures to correct the situation. Instead, the center continued to live beyond its means and adopted the method of FCR to balance its books at the end of each financial reporting period. The FCR method, as employed by CIAT (from 2002 until 2007), is unconventional and inconsistent with the normal usage in the financial management profession.

CIAT’s FCR method consisted of two elements. The first was to transfer part of the excess expenditure that could not be met by unrestricted funding to special projects to the extent that these costs could be legally covered in accordance with projects agreements. The second element involved ‘internal borrowing’; the Finance Department and Project Leaders would ‘negotiate’ passing certain expenditures which were not absorbed by unrestricted funding to special projects in one financial period with the understanding that these funds would be returned to projects in the following year. The ‘rich’ project leaders became internal bankers to the center. The cumulative internal debt to special projects reached close to US\$4.0M in 2005. The inability to pay this unconventional internal debt was compounded by the strength of the Colombian Peso against the US dollar, which resulted in increases in local costs, and by the cancellation of expected “program restricted¹⁸” funding in 2005 from a major donor.

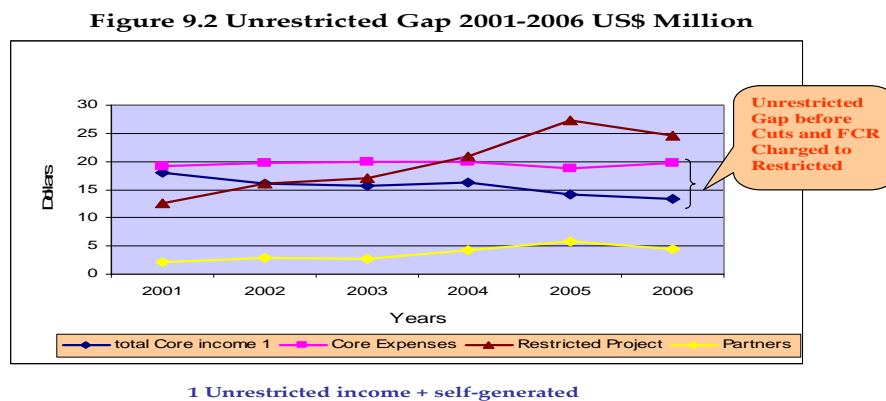


Figure 9.2, which was presented by management to the 2007 EPMR Panel and the Board, clearly shows that CIAT was living beyond its means since 2002. CIAT’s core expenses were consistently higher than its unrestricted revenue. Management’s response was typically reactive. It entailed cost cutting and staff terminations at the end of the financial years in 2003 (US\$2.5M) and 2004 (US\$1.8M). Such actions could not stop further drastic measures in what CIAT management calls ‘phase out costs’ amounting to US\$2.8M in 2006 and US\$3.0 M in 2007. Since 2003, CIAT effectively spent some US\$10.1M in restructuring costs.

¹⁸ “Program Restricted” is a funding arrangement that is half-way between core/unrestricted and project restricted funding. Depending on the donor, the program restricted could be allocated to a particular program or region. It is more flexible than project restricted funding.

In May 2007, CIAT management and Board agreed to meet financial milestones, upon which half of the World Bank's US\$1.5M emergency funding is contingent. Foremost among these is the need to complete staff restructuring, improve estimates of income, improve estimation of restricted project implementation, implement cost recovery policy, restrict capital spending, and prepare a sound 2008 budget. Management and the Board have committed themselves to meeting these milestones.

The Panel reviewed Board minutes, management reports and held discussions with Board members, management and staff to fully comprehend the underlying causes of the current financial difficulties at CIAT and the responses thereon. **The Panel concludes that various players contributed to the financial distress.**

(i) The DG and senior management recognized the significant shift in funding from unrestricted to restricted revenue and the need to make corresponding 'structural adjustments' to CIAT's cost base. However, they failed to comprehend the full implications of the funding shift or to take timely and appropriate corrective actions, which should have included building adequate reserves. The DG, who recognizes his weakness in financial management, was not helped by the finance team, which did not insist on a resolution of the problems. It is very clear that CIAT currently lacks professional financial management expertise at a senior level.

(ii) The financial management of the center provided management and the Board with timely financial information highlighting gaps between core income and expenditures. The financial reports, however, failed to articulate and interpret in clear and unambiguous manner the long term implications of this persistent gap. The financial management team was not confident enough to push for necessary changes. It assumed a role of simply informing. Further the team adopted the FCR method, which management and the Board accepted without fully understanding the mid- to long-term consequences. While the FCR policy may have helped shift some costs from unrestricted expenditure to special projects, it led to unsustainable internal borrowing. These 'creative accounting' techniques were unsustainable, contrary to best financial management practice, and precipitated the latest financial crisis.

(iii) The external auditor gave an unqualified opinion on CIAT's financial statements during the review period. While the Auditor made a series of recommendations in a number of areas, there was only one reference to the FCR method and this did not convey a serious concern. The Auditor recommended that CIAT "register, as accounts receivable from the donors for the projects, only those expenses approved by them, particularly when assessing the possibility of registering a full cost recovery." The Auditor stated that "CIAT booked expenses in restricted projects, which subsequently are not recognized by the donor. This generates accounts receivable and revenues that are not real."

(iv) The Board of Trustees, and its Executive and Finance Committee and Audit Committee, were informed of the financial situation at CIAT through the DG's Reports, quarterly financial reports and the Financial Director's presentation at formal sessions. The reports provided to the Board indicated that management was taking measures to overcome financial difficulties and subsequent years would be better. The Board took these reports at

face value. The center responded to the CGIAR Secretariat's letters to the CIAT Board chair and management on the center's financial situation with optimistic updates on corrective measures that were being and would be taken. The Board did not have the financial expertise to understand the magnitude of the financial challenges that CIAT faced, and drew comfort from unqualified external auditor's reports. The use of terms, such as FCR, in non-conventional ways made financial reports less understandable and at times may have even misled some Board members.

(v) *The CGIAR system* has performance indicators that detect warning signs of impending financial crisis. However, the CGIAR does not have strong incentives to influence a center's response to such warnings. The CGIAR Secretariat sent letters to CIAT concerning these warnings, and provided technical support to the center in the preparation of its 2006 business plan. In 2007, after CIAT's financial performance indicators had shown warning signs for five years, the center approached the World Bank for emergency funding. At that stage, the World Bank made its emergency funding to CIAT contingent upon the center's performance in meeting milestones; the World Bank provided a clear message with incentives that have motivated CIAT to respond accordingly.

The CIAT Board chair's memorandum to the CGIAR Interim Director stated that, "*the main source of financial problems in the recent years has been diagnosed as inadequate budgeting and project management processes, not helped by deficiencies in information systems.* While these deficiencies contributed to CIAT's financial problems, along with those listed above, the single most important shortcoming was weak independent Board oversight of the center's financial management and an overly optimistic management in dealing with financial issues. "A key feature of any effective financial management system in a Center is a strong, independent thinking standing committee drawn from the Board of trustees to provide the necessary overview and control of the Center's finances."¹⁹

Internal controls and risk management

CIAT's financial challenges are symptomatic of a weak control environment and insufficient risk management systems. Management has begun to address some of these issues. Work remains on critical ones, including:

- The need to establish an appropriate policy framework, procedures and processes for decentralized project budgeting, management, implementation, monitoring and reporting;
- The need to complete implementation of an integrated financial management information system that incorporates regional administrative systems with those at headquarters.

Because these issues were not dealt with effectively, they have resulted in the current financial crisis. If these issues are not addressed in an effective manner and with a sense of urgency, they are likely to lead CIAT into yet another financial crisis and irreparably damage the reputation of the organization as a credible research institution.

CIAT began to address risk management in 2004, although progress has been slow. Their

¹⁹ CGIAR Financial Management, Financial Guidelines Series, No. 1, Revised February 2007, page 4.

efforts coincided with those of other CGIAR centers²⁰. CIAT has undertaken risk analysis and a plan of action to manage risk, with the help of the CGIAR Internal Audit Unit. The analysis was primarily done by staff with some guidance from the Board. In May 2007, the Board adopted a statement on Risk Management and Internal Control. The key risk areas identified include: quality of science, financial compliance and administrative and legal integrity. The major risk identified is the changing funding environment; the statement indicates that the 2005/2006 financial crisis came about largely because the center did not adequately identify or respond to decreasing unrestricted funding from traditional donors. The mitigation plan includes a series of governance, management and administrative plans that, *if fully implemented*, will bring CIAT back to financial health.

The Panel was pleased to see risk management prominently on the agenda of the Board. However, the Panel believes that the Board needs to play a more strategic role in its oversight of risk. The Board should undertake in-depth reviews of risk identification, assessment and mitigation plans and challenge management on its assumptions. As noted in the 2006 CCER on Governance, Management and Finance, "in the words of the Board's own minutes, an effort should be made to 'introduce risk management into decision-making.'"

Looking ahead – governance and the control environment

The current Board inherited problems that pre-date the terms of its current members. The Panel believes that there is a strong chance of financial recovery provided the Board and management continue to take deliberate and timely actions in the near to medium term. This will only be possible if the Board and management have a clear understanding of the underlying causes of the current problem and take appropriate actions, including major adjustments to roles and responsibilities for financial management, risk management and internal control throughout the institute.

In the Panel's view:

- (i) The Board and management should develop an Internal Control Policy framework, clearly defining roles and responsibilities for financial management including budgetary planning, approval and regular review at different levels of the organization; the policy should spell out the type and frequency of financial information provided to the Board and management and the decisions required at each stage of the review process;
- (ii) The Board, in line with its recent decision, should strengthen its financial oversight role by appointing a Board member who is experienced in financial management, with an internationally recognized certified/chartered accountancy qualification; this individual should serve on both the Executive and Finance Committee and the Audit Committee.
- (iii) The Audit Committee should hold closed, private sessions at all of its meetings with the External Auditor, the Internal Auditor and the Director of Finance separately, probing deeper into the functioning of the internal control system; the Audit Committee could use the guidance notes provided for such purpose by the American Institute of Certified Public Accountants and/or the Institute of Internal Auditors.

²⁰ The CGIAR Secretariat included in its Financial Guidelines Series 1 the COSO (Committee of Sponsoring Organizations of the Treadway Commission) Internal Control Framework encouraging centers to implement appropriate internal control policies. The Financial Guidelines also emphasized the development of an adequate financial management system within the CGIAR Centers' as a key element in ensuring that financial risks are managed.

- (iv) Risk management issues should become a standing agenda item of the Board, discussed by the full Board following prior expert review by the Audit Committee.

In response to CIAT's financial management weaknesses, **[#18] *the Panel strongly recommends that CIAT strengthen the Board's expertise in finance/accountancy, establish an internal control policy framework, hold closed sessions of the Audit Committee to probe deeper on the functioning of internal controls, and make risk management a standing agenda item of the Board.***

It is the Panel's considered view that the BOT fell short of good governance practice in two of its critical responsibilities. First, the Board's oversight of the performance of top management was not sufficient to identify weaknesses early and take decisive, appropriate and timely actions to resolve these in the long-term interests of CIAT. Second, the Board's membership did not include financial expertise that could have helped it spot early signs of financial difficulties and unconventional accounting practices. In this regard, the BOT was not provided with clear and explicit advice from internal or external professional advisors.

[#19] *The Panel strongly recommends that the Board reflect critically on lessons learned from the recent period of distress and move expeditiously, in consultation with the CGIAR, to reinvigorate the leadership of the Board and its committees, as needed.*

Annex 1
CIAT 6th EPMR (2007) Panel membership

EDUARDO VENEZIAN (Chile) – Panel Chair

Position: Dean, Faculty of Agricultural Forestry and Veterinary Sciences, University Mayor, Santiago, Chile

Expertise: Agricultural economics; education and research management

Education: Post-Doctoral in Economics (1969-70), University of Chicago, USA; M.Sc. (1959) and Ph.D. (1962), Agricultural Economics both from Iowa State University, Ames, USA; 1952-56: Ing. Agr., Catholic University of Chile

Experience: 1988-98 Dean, Faculty of Agriculture and Forestry, Catholic University of Chile; 1986-88 Chief, Research Development Center, Research and Technology Development Division, FAO, Rome; 1977-85 Professor and Head of the Agric. Economics Department and Director of the Research Division, Catholic University of Chile; 1972-77 Agric. Advisor and 1974-77 Foundation Representative, The Ford Foundation, Brazil; 1966-72 Part-time Professor, Agric. Economics Center, Postgraduate College, Chapingo, Mexico; 1969-1970 Post-Doctoral in Economics University of Chicago, USA; 1965-72 Agric. Economics Advisor for Mexico, Central America and the Caribbean Region, Ford Foundation, Mexico, D.F; 1962-65 Economist and Asst. Chief, Agric. Economics Unit, Organization of American States, Washington, D.C; 1959-62 Research Assistant and Associate, Iowa State University. Member of numerous committees and review missions. Member of Boards of several Foundations and Business. Membership of various professional associations. Several honours and distinctions. Extensive travel throughout the world since 1951 in professional, academic and private activities. Member of the 2nd EPMR of IFPRI (1990). Chair of the 4th EPMR of IITA (1995).

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PEDRO ARRAES (Brazil) - Genetics and Biotechnology

Position: Embrapa Labex-USA coordinator since 04/2004

Expertise: Agronomy, Plant Breeding and Genetics

Education: 1987 PhD Plant Genetics and Plant Breeding; 1985 Plant Genetics and Plant Breeding MA both from University of Wisconsin, Madison USA. 1979 BS Agronomy from University Federal Rural do Rio de Janeiro City: Rio de Janeiro, Brazil .

Experience: Currently Embrapa Labex-USA coordinator since 04/2004. Previous experience: Embrapa Labex-USA coordinator; 2001-2003: Member of the Agribusiness Committee representing the Ministry of Agriculture of Brazil; 1997- 2004: General Director of the Embrapa National Rice and Beans Research Center; 1989- 95: Director of Research of the National Rice and Beans Research Center; 2000-03: Manager of the Program Productivity of Cereals, General Government Plan (PPA); 1996-97 President of Embrapa Committee of Intellectual property Rights.

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GETACHEW ENGIDA (Ethiopia/UK) - Financial management

Position: June 2004 to date: Deputy Assistant DG for Administration & Comptroller, (D-2) United Nations Educational, Scientific and Cultural Organization (UNESCO), Paris.

Expertise: Audit, Finance & Management

Education: BA Econ (Honours), Economics / Agricultural Economics University of Manchester, England (July 1981). MBA International Banking & Finance City University Business

School, London (April 1993). Fellow of the Institute of Chartered Accountants in England & Wales (Chartered Accountant).

Experience: January 2003 to June 2004: Director, Finance, Human Resources & Administration International Livestock Research Institute. July 1999 to December 2002: Chief Financial Officer International Livestock Research Institute. March 1995 to June 1999: Assistant Controller, Accounting P- 5 International Fund for Agricultural Development Rome, (IFAD) Italy. Working knowledge of French

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LIZ FIELD (USA) - Governance and Management

Position: Consultant (since 2000)

Expertise: Governance, management, and organizational development

Education: MBA, Yale University School of Management (1986); BA, Amherst College (1981)

Experience: Interim Executive Director, Portland Community College Foundation (2007); Consultant to non-profit, philanthropic, and government agencies (2000 to present); The World Bank, Corporate [the Board's] Secretariat, Operations Officer, 1995-1999; CGIAR Secretariat, Management Specialist and participant in several CGIAR external reviews, 1989-1995; International Institute for Tropical Agriculture (IITA), Management Systems Analyst, 1986-1989. Currently – Board member, Wallace Medical Concern, and Vision Council Chair, United Way of the Columbia-Willamette.

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GRAEME HAMMER (Australia) - NRM/Agronomy

Position: Professor in Crop Science, School of Land, Crop and Food Sciences, The University of Queensland, Brisbane, Australia Co-leader of Agricultural Production Systems Research Unit (APSRU), a joint venture of CSIRO, Qld Govt and UQ (<http://www.apsru.gov.au/>)

Expertise: Physiology, modelling and improvement of cereal crops and associated farming systems. Research team leadership and management.

Education: PhD 1987 Kansas State Univ. - crop physiology & modeling; MSc 1983 Univ. of Melbourne, forest growth & modeling; BA 1978 Univ. of Queensland - mathematics & statistics. BScFor Hons 1973 Univ. of Melbourne.

Experience: 1990-2003 Senior Research Scientist, Principal Research Scientist, Queensland Dept Primary Industries and QDPI Co-Leader of APSRU, Toowoomba; 1977-90 Research Scientist & Senior Research Scientist, QDPI, Brisbane; 1976-77 Lecturer (Plant Ecology), Queensland Institute of Technology, Brisbane; 1973-76 Forestry Officer, Northern Territory Forest Service, Darwin. Member of the scientific advisory Board Graduate School of Theoretical Production Ecology, Wageningen Agricultural University, The Netherlands. Member of the scientific advisory Board to International Research Institute for Climate Prediction (Columbia University, New York).

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GREG TRAXLER (USA) - Socioeconomics and Policy

Position: Professor. Dept. of Agricultural Economics and Rural Sociology, Auburn University.

Education: Ph.D. Iowa State University. Dept of Economics. Major field of Agricultural Production and Finance; Minor in Statistics. 1990; M.S. Univ of Minnesota. Dept of Agricultural and Applied Economics. 1987; B.B.A. Univ of Portland, Oregon. College of Business Administration. 1977.

Experience: 2000-present.; Assistant & Associate professor. Dept. of Agricultural Economics and Rural Sociology, Auburn University. 1990-2000; Research Assistant/Instructor. Center for

Agricultural and Rural Development (CARD), Iowa State University. September 1985 - June 1988; Research Assistant. Dept. of Agricultural and Applied Economics, University of Minnesota. June 1984 - August 1985. CIMMYT 1996-2003 Affiliate Scientist. Economics Program; July-Aug, 1993 & June-Aug, 1996 Visiting Scientist. Econ Program; 1988-1990 Pre-doctoral Research Fellow. Economics Program.

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Name: RUBEN ECHEVERRIA - *Panel Secretary*

Contact: CGIAR Science Council Secretariat. c/o FAO, Viale delle Terme di Caracalla. 00153 Rome, Italy. Tel. +39 06 570 54757; Fax +39 06 570 53298. Email: ruben.echeverria@fao.org

Annex 2
Terms of Reference for External Program and Management Reviews (EPMR) of CGIAR
Centers (as endorsed by the CGIAR in 1997)
&
CGIAR Science Council: Strategic Issues for the 6th EPMR of CIAT (October 2006)

Background

Context

The Consultative Group on International Agricultural Research (CGIAR) is an informal association of over 50 members that supports a network of 16 international research Center in agriculture, forestry and fisheries. The CGIAR aims, through its support to the Center, to contribute to promoting sustainable agriculture for food security in developing countries. Because the Center constitute the core of the CGIAR, the effectiveness of each Center is crucial to the continued success of the CGIAR (as a System).

Each Center is an autonomous institution operating within the mandate assigned to it by the CGIAR, and is governed by a legally constituted Board that has full fiduciary responsibility for managing the Center. To ensure accountability in an essentially decentralized system, each Center is expected to be responsive to the CGIAR, which provides financial support for its work.

The CGIAR has established a tradition of External Program and Management Reviews (EPMRs) to provide a mechanism of transparency and accountability to the Members and other stakeholders of the CGIAR System. EPMRs are the joint responsibility of SC and the CGIAR Secretariat, and are conducted for each Center approximately every five years. As each Center is autonomous, EPMRs provide a measure of central oversight and serve as an essential component of the CGIAR's accountability system.

Integrated System of Reviews of Each Center

Besides the EPMRs, Center Commissioned External Reviews (CCERs) are undertaken at each Center. These CCERs are commissioned by the Center Boards to periodically assess the quality and effectiveness of particular aspects of a Center's work. The terms of reference (ToRs) for each CCER are determined by the Center, based on broad principles endorsed by the CGIAR at ICW95 (ref. document entitled *Improving the Quality and Consistency of CGIAR's External Center Reviews*, dated October 24, 1995).

EPMRs complement the CCERs by providing a CGIAR-commissioned and comprehensive external assessment of the Center's program and management, especially its future directions and the quality and relevance of its research. The ToRs for the EPMRs (which update the "standard ToRs" endorsed by the CGIAR at MTM95) are provided below. Guidelines for undertaking the reviews are issued separately.

CGIAR Terms of Reference for EPMR

Objectives and Scope

EPMRs seek to inform CGIAR members that their investment is sound, or recommend measures to make it so. Members of the CGIAR and other stakeholders can be informed whether the Center is doing its work effectively and efficiently. EPMRs are both retrospective and prospective; and help ensure the Center' excellence, relevance and continued viability, and the CGIAR System's coherence. Each review is expected to be strategic in orientation and as comprehensive as the situation warrants.

The broad objectives of EPMRs are to: a) provide CGIAR members with an independent and rigorous assessment of the institutional health and contribution of a Center they are supporting; and b) to provide the Center and its collaborators with assessment information that complements or validates their own evaluation efforts, including the CCERs.

The EPMR Panel is specifically charged to assess the following:

- a) The Center's mission, strategy and priorities in the context of the CGIAR's priorities and strategies;
- b) The quality and relevance of the science undertaken, including the effectiveness and potential impact of the Center's completed and ongoing research;
- c) The effectiveness and efficiency of management, including the mechanisms and processes for ensuring quality; and
- d) The accomplishments and impact of the Center's research and related activities.

The topics expected to be covered by the EPMRs are listed below.

Topics to be Covered

A Mission, Strategy and Priorities

- The continuing appropriateness of the Center's mission in light of important changes in the Center and its external environment since the previous external review.
- The policies, strategies, and priorities of the Center, their coherence with the CGIAR's goals (of poverty alleviation, natural resources management, and sustainable food security), and relevance to beneficiaries, especially rural women.
- The appropriateness of the roles of relevant partners in the formulation and implementation of the Center's strategy and priorities, considering alternative sources of supply and the benefits of partnerships with others.

B Quality and Relevance

- The quality and relevance of the science practised at the Center.
- The effectiveness of the Center's processes for planning, priority setting, quality management (e.g. CCERs, peer reviews and other quality and relevance assurance mechanisms), and impact assessment.

C Effectiveness and Efficiency of Management

- The performance of the Center's Board in governing the Center, the effectiveness of leadership throughout the Center, and the suitability of the organization's culture to its mission.
- The adequacy of the Center's organizational structure and the mechanisms in place to manage, coordinate and ensure the excellence of the research programs and related activities.
- The adequacy of resources (financial, human, physical and information) available and the effectiveness and efficiency of their management.
- The effectiveness of the Center's relationships with relevant research partners and other stakeholders of the CGIAR System.

D Accomplishments and Impact

- Recent achievements of the Center in research and other areas.

- The effectiveness of the Center's programs in terms of their impact and contribution to the achievement of the mission and goals of the CGIAR.

CGIAR Science Council: Strategic Issues for the 6th EP MR of CIAT

1. The SC suggests that the Panel gives the highest priority to addressing the issue of Center direction and focus, broadening of its funding base and structure the Board, management and staff in a way that maximizes and rewards funding the mission.
2. A major recommendation of the last EP MR was to ensure that CIAT maintained adequate support for its regional and global research on commodities. To what extent has CIAT maintained the right balance between its commodity and NRM research? And its global and regional focus.
3. A large component of CIAT's portfolio is made up of small and discrete activities which may lead to inefficiencies in the deployment of resources. In response to SC criticism of having a large number of apparently unrelated projects, it appears that CIAT, rather than completing and/or eliminating these projects, has merely subsumed them under one program. The SC encourages the EP MR to assess how CIAT could rationalize, concentrating on fewer, well-selected areas of strategic international research with high potential benefit to the poor in the tropics.
4. Are CIAT's activities in agroenterprise development contributing to IPG in this area? Is CIAT's current and proposed research agenda consistent with CIAT's comparative advantage?
5. Is CIAT's proposed expansion of research on tropical fruits well focused to deliver IPGs? Does it draw adequately on experience elsewhere in this new area of research? What areas of CIAT's commodity research will be forgone to embrace new research in tropical crops? How were such tradeoffs decided?
6. As a result of a recent major funding shortfall there are some substantial resource shifts among projects but the criteria for these reallocations is not clear. The Center states that research on genetic improvement will "not be fundamentally changed". However, changes in project funding projections for 2007 do not quite support such a statement. Some projects have greatly increased funding projected for 2007 from MTP06-08 (beans, tropical fruits, rural agroenterprise development, and participatory research); others have major reductions (rice, cassava).
7. Is the work of the TSBF integrated into other projects such as the communities and watershed project? Does CIAT have the right balance in NRM research—between biophysical and social, between the landscape/watershed and the management of the resources at the "crop based system" level, between understanding driving processes (IPG) and local activities?
8. What are the working relations between CIAT and other centers with similar crop focus? Specifically what's the relationship with the cassava research of IITA and the tropical pasture research of ILRI?

Annex 3 Itinerary and People Contacted by the 6th EPMR Panel

Itinerary

From May 18 through May 25 of 2007 the Panel worked at CIAT-Cali Headquarters for the initial phase of the EPMR. Throughout the week Outposted Scientists, Principal Staff Scientists and Management gave presentations on their mission, vision, goals, organization, strategic plans and other themes. The Panel also met with individual Staff members to discuss project activities, operational functions and support services at CIAT. The Panel Chair and the Governance and Finance Members attended CIAT's Board of Trustees meetings at CIAT headquarters May 21-25. The Panel also met with the association of International Staff, National Staff, the Workers' Union and the association of CIAT Secretaries.

In June, subgroups of the Panel visited CIAT's Regional Staff and Collaborators in Central America, Africa and Asia. During their visit to **Central America**, in Tegucigalpa-Honduras the group participated at a workshop in Quesungual, interacted with the MIS Consortium and ARDINet Partners (including Mexico and the United States). Meetings were organized with: Honduras CIAT Staff, DICTA and UNA Olancho, CIPRES and Soghum producers, Totogalpa partnerships CIRAD-CIAT-CIPRES, Agrosalud project partners (NGOs producers and Somoto – seed production and distribution), INTA Regional Las Segovias, Funica, Posaf partners and CRS Nicaragua and CIAT Staff. Field visits were organized to see INTA irrigated rice research station (including rain fed rice germplasm development) and the livestock farmer group El Tule (Condega).

During the visit to CIAT activities in **Africa**, meetings were organized in Nairobi with TSBF/CIAT scientists, ICRAF, and partners. TSBF activities at Maseno area were visited as well as bean research activities in Kakamega. The team visited, Kawanda and Namulonge, Lilongue where they saw activities of ERI, PABRA and TSBF.

The visit to Asia included Vietnam (Hoa Binh Providence) to see the SDC-funded Smallholder Agroenterprise Development in the uplands (SADU), linking farms to market in various value chains and market extension, and other CIAT activities, such as IFAD –funded PRDU project, IFAD-funded SLP Village Livestock Project, Government Partners (VAAS, IPSARD, NIAHG, MARD), Donors (SDC and IFAD), Partner Projects (ETSP, Oxfam-Hong Kong). The team went to Laos (Luang Prabang) where they saw CIAT's activities connected to SADU (paper mulberry) L4PP (legumes for pigs), Cassava and Capacity Building (forages and livestock) in Pak Ou and Xieng Ngeun Districts. They had final discussions in Vientiane.

The Panel reassembled at CIAT Headquarters on July 3 of 2007 for the Main Phase of the review. During this period Panel members had short individual meetings with CIAT Staff.

On July 9, the Panel Chair and the Panel Secretary had a series of meetings in Bogotá with Colombian organizations (**CORPOICA**, CENIPALMA, MIDAS, and Ministry of Agriculture) and with several Colombian international agricultural research experts with knowledge about CIAT and the CGIAR.

On July 18th, the Panel Chair presented to all CIAT staff present at Headquarters a summary of the main conclusions, recommendations and suggestions included in the Report.

People Contacted

Tin Maung Aye	CIAT - Asia
German Arias	CIAT - Legal Advisor
Jaqueline Ashby	No longer CIAT employee - Director of Rural Innovation
Andre Bationo	CIAT - TSBF / AfNet Coordinator
Stephen Beebe	CIAT - Bean breeder and Project Manager
Emilia Boncondin	Board Member Designate
Robin Buruchara	CIAT - Regional Research Leader Africa
Hernan Ceballos	CIAT - Cassava Breeder / Project Coordinator
Rowland Chirwa	CIAT-PABRA, Malawi, Africa
John Connell	CIAT - Asia
Fernando Correa	CIAT - Rice Improvement Project Manager
Jesus Cuellar	CIAT - Administrative Director
Luz Stella Daza	CIAT - Internal Audit
Daniel Debouck	CIAT - Genetic Resources Unit
Shaun Ferris	CIAT - Project Manager - Agro-enterprise
Louise Fortmann	Professor of Natural Resource Sociology
James Garcia	CIAT - Statistic Consultant
Ivan Gomez	CIAT - President Union Leadership
Sibel Gonzalez	CIAT - Head Institutional Protection Unit
Carolina Gonzalez	CIAT - Research Assistant
Alonso Gonzalez	CIAT - Tropical Fruits Project
Ken Giller	Chair of the Programm Committee, Professor, Plant Production Systems
Edith Hesse	CIAT - Head of the Inforcap Unit
Carlos Jara	CIAT - President Associates Assistants
Andrew Jarvis	CIAT - Senior Scientist - Spatial Analyst
Segenet Kelemu	CIAT - Project Manager
Roger Laing	CIAT - Leader, People and Agroecosystems RDC
Kathryn	CIAT - Head Project Office
Rod Lefroy	CIAT- Regional Research Leader Asia
Zaida Lentini	CIAT - Genetisist, Senior Research Scientist
Mark Lundy	CIAT- Agroenterprise Development Specialist
Carlos Meneses	CIAT - Chief Information Office
John Miles	CIAT - Genetist
David Miron	President, TDM Consultants
Angela Molina	CIAT - President Secretaries Associates
Julian Montoya	CIAT - Administrative Assistant Miami Office
Cesar Moreno	CIAT - Financial Controller
Sonat Natee	ICRAF
Thomas Oberthur	CIAT - Project Manager
Ablassé Ouedraogo	Board Member Designate - Conseiller du Président pur l'Afrique
Douglas Pachico	CIAT- Deputy Director General,
Helena Pachon	CIAT - Human Nutritionist
Jorge Peña	CIAT - Buget Office
Gustavo Peralta	CIAT - Human Resources Manager
Michael Peters	CIAT - Tropical Forage Germplasm Specialist
Ounkeo Phathamavong	CIAT - Asia
Phonespaseuth Phensgsavanh	CIAT - Asia

Roberto Porro	CIAT - Senior Scientist and Executive Secretary – Amazon Initiative Consortium
Rafael Posada	No longer CIAT employee
Mario Rengifo	CIAT - Financial Project Manager
Maria José Sampaio	Researcher, Special Advisor for Policy Affairs
Nteranya Sanginga	CIAT - TSBF - Tropical Soil Biology and Fertility Institute
Luis Roberto Sanint	CIAT- Deputy Director
Yves Savidan	Chairman of the Board of Trustees
Axel Schmidt	CIAT - Regional Research LAC
Mary Scholes	Vice-Chair - Professor, Dept of Animal, Plant & Environmental Sciences
Werner Stur	CIAT - Asia
Joseph Tohme	CIAT - Research leader of the Agrobiodiversity RDC
Jorge Uribe	CIAT - Head of Procurement and Maintenance Units
Gavin Varney	CIAT - Asia
Gloria Vasquez	CIAT - Head Food and Housing Unit
Arturo Vega	Appointed in September 2005 – Executive Director (CORPOICA)
Joachim Voss	CIAT - Director General
Tiago Wandschneider	CIAT - Vietnam
Claudio Wernli	Executive Director - Millennium Science Initiative
Douglas White	CIAT - Economist - Senior Research Fellow
Gonzalo Zorrilla	CIAT - FLAR Executive Director
Álvaro Uribe	Sub-director de Innovación y Desarrollo Territorial – CORPOICA
Carlos Fernando Ortiz	Director in charge of CORPOICA
Juan Lucas Restrepo	Sub-director MIDAS Project
Lose Ignacio Sanz	Executive Director of CENIPLAMA
Juan David Ortega	General Secretariat of Ministry of Agriculture
Fernando Arbelaez	Vice minister of Ministry of Agriculture
Roger Kirkby	CIAT - Leader of PA, Uganda
Reuben Otsyula	Breeder KARI-Kakamega, Kenya
Gideon Rachier	Agronomist, Director KARI-Kakamega
Paul Kimani	Regional breeder ECABREN, Uganda
Pascal Sanginga	CIAT-Kawanda, Social Scientist
Rachel Muthoni	CIAT-PABRA, PM&E
Martha Nyagaya	CIAT-PABRA, Nutritionist
Sarah Nassози	CIAT-PABRA, Research Assistant
Claire Mukankusi	PHD Student, University of Natal, Research Assistant
Stephen Bua	CIAT-PABRA, MSc Student, Makerere University, Research Assistant
Allan Male	CIAT-PABRA, Research Assistant
Suleiman Sebuliba	Kawanda
Francoise Murorunkwere	MSc Student, University of Rwanda
Pheonah Nabukalu	CIAT-PABRA, MSc Student, Makerere University
Virginia Gichuru	CIAT-PABRA, MSc Student, Makerere University
Pheonah Nabukalu	CIAT-PABRA, MSc Student, Makerere University
Moses Onim	Breeder and Managing Director Coordinator bean, Lagrotech seed Company
Setegn Gebeyehu	Program Coordinator Bean, EIAR
Michael Ugen	Program NARO, Namulonge

Isaac Mugaga	Research Assistant, Coordinator, Bean, NARO, Namulonge
Mbikayi Nkoko	Program INERA
Denis Kyetere	General Director NARO
Seyfu Ketema	Executive Secretary, ASARECA
Mackson Banda	Director DARS – Malawi
Wilkson Makumba	DARS – Malawi
Eric Mazuma	DARS – Malawi
Hilda Kabuli	DARS – Malawi
Kenneth Chaula	DAETS – Malawi
Linda Mphande	DAETS – Malawi
Amos Banda – PM Kasungu ADD	DAETS – Malawi
Grace Malindi	DAETS – Malawi
Kennedy Kanenga	ZARI – Zambia
Catherine Madata	ARI-Uyole, Tanzania
Susan Kaaria	CIAT – ERI, Uganda
Jemimah Njuki	CIAT – ERI, Zimbabwe
JeanClaude Rubyogo	CIAT – PABRA, Malawi
Shamie Zingore	CIAT – TSBF, Malawi
Mariam Mapila	CIAT – ERI, Malawi
Lizzie Kalolokesya	CIAT – ERI, Malawi
Ruth Magareta	CIAT – ERI, Malawi
Tennyson Magombo	CIAT – ERI, Malawi
R Okalebo	Soil Scientist, Moi University, Kenya
D Mugendi	Soil Scientist, Kenyatta University, Kenya
A Esilaba	Soil Scientist, Kenya Agricultural Research Institute (KARI), Kenya
N Mungai	Soil Scientist, Egerton University, Kenya
J Ndufa	Agroforestry Specialist, Kenya Forestry Research Institute (KEFRI), Kenya
J Huising	TSBF-CIAT, Coordinator Belowground Biodiversity (BGBD) network, Kenya
J Chianu	CIAT-TSBF, Economist, Nairobi, Kenya
P Okoth	CIAT-TSBF, Information manager BGBD project, GIS specialist, Nairobi, Kenya
O Ohiokpehai	CIAT-TSBF, Nutritionist, Nairobi, Kenya
P Pypers	CIAT – TSBF, Soil Scientist, Nairobi, Kenya
J Jefwa	CIAT-TSBF, Soil Microbiologist, Nairobi, Kenya
D Lesueur	CIAT-TSBF, Soil Microbiologist, Nairobi, Kenya +CIRAD
K Roing	CIAT-TSBF, Soil Scientist, Nairobi + SLU (Sweden)
R Meyo	CIAT-TSBF, Administrator, Maseno, Kenya
J Mukalama	CIAT-TSBF, Research Assistant, Maseno, Kenya
L Nyambega	CIAT-TSBF, Research Assistant, Maseno, Kenya
J Kihara	CIAT-TSBF, PhD student, Nairobi, Kenya
R Buruchara	CIAT Africa Coordinator, CIAT, Kampala, Uganda
M Musambi	Ministry of Agriculture, Mumias District, Kenya
Helen Nyamai	Ministry of Agriculture, Butere District, Kenya
NGO's Africa	Various representatives of farmer groups and NGOs.
B Vanlauwe	CIAT-TSBF, Soil Fertility Specialist
Luis Arango	Consultant
Henry Shands	

Ronnie Coffman	
Anthony Cavaliere	
Jennifer Nelson	
Carmen De Vicente	
Farmers Somoto	Beans/Agrosalud, Nicaragua
Farmers Totogalpa	Sorghum, Nicaragua
Farmers El Tule	Forages, Nicaragua
Aracelly Castro	PhD candidate, UNAL, Honduras
Oscar Ferreira	MSc candidate, UNAL, Honduras
Javier Gamez	Local government Candelaria, Ex Mayor, Honduras
Juan Carlos Rosas	Bean breeder, Zamorano, Honduras
Amando Lopez	Teacher, ITC-Guarita, Honduras
Cesar Alvarado	Director Tatascan Journal, ESNACIFOR, Honduras
Carlos Zelaya	Admin Director, FAO, Honduras
Luis Alvarez	Technical Director , FAO, Honduras
Elisabeth Huber-Sanwald	Soil specialist-degradation, IPICYT, Mexico
Steve Fonte	Candidato PhD UNAL, University of Davis, California, USA
Irma Sequiera	Part. Plant breeding Sorghum, CIPRES, Nicaragua
Silvio Aguirre	Part. Plant breeding Sorghum, CIPRES, Nicaragua
Oscar Poveda	Field technician SAQ, INTA, Nicaragua
Jellin Pavon	PhD candidate, soils, INTA, Nicaragua
Jose Alberto Paredes	Field coordinator SAQ Nicaragua, INTA, Nicaragua
Octavio Menocal	National Research director, INTA, Nicaragua
Raul Laguna	Field technician PESA-Agrosalud, INTA, Nicaragua
Armando Hernandez	Office director Somoto, INTA, Nicaragua
Fatima Rodriguez	In vitro cultivation specialist, INTA, Nicaragua
Rene Jarquin	Director Zone las Segovias, INTA, Nicaragua
Lesbia Rizo	Economist, INTA, Nicaragua
Lazaro Narvaez	Rice breeder, INTA, Nicaragua
Martin	Forage specialist, INTA, Nicaragua
Alexander Mena Benavides	Forage specialist, INTA, Nicaragua
Julio Molina	Beans/Agrosalud, INTA, Nicaragua
Juan Alberto Molina	Agroenterprise Development, CRS, Nicaragua
Santos Palma	Agroenterprise Development, CRS, Nicaragua
Jorge Castellon	Agrosalud, CRS, Nicaragua
Felix Miranda	Agrosalud, CARITAS, Nicaragua
Alexis Herrera	Agrosalud, CARITAS, Nicaragua
Alejandro Arevalo	Agrosalud, FIDER, Nicaragua
Danilo Rivera	Agrosalud, IMPRHU, Nicaragua
Glenda Bonilla	University Professor, UNA, Nicaragua
Matilde Somarriba	University Professor, UNA, Nicaragua
Jairo Morales	University Professor, UNA, Nicaragua
Bismark Mendoza	University Professor, UNA, Nicaragua
Ursina Galbusera	MSc candidate, Swiss College of Agriculture,
Switzerland	
Geo Galbusera	MSc candidate, Swiss College of Agriculture,
Switzerland	
Edgar Amezcuita	CIAT, Colombia, Consultor TSBF
Idupulapati Rao	CIAT, Colombia, Consultor TSBF, Plant physiologist
Mariela Rivera	CIAT, Colombia, PhD candidate SAQ

Filander Rodriguez	CIAT, Honduras, Administration Assit.
Vilia Escobar	CIAT, Honduras, Administrator
Marco Trejo	CIAT, Honduras, Consultor TSBF
Miguel Ayarza	CIAT, Honduras, Consultor TSBF
Edwin Garcia	CIAT, Honduras,
Peter Lentes	CIAT, Honduras, Economist/Geographer/Forages
Juan Carlos Mercado	CIAT, Nicaragua, Administration Assit.
Patricia Carillo	CIAT, Nicaragua, Nutriologist Agrosalud
Rein van der Hoek	CIAT, Nicaragua, Forage Agronomist
Zildghean Chow	CIAT, Nicaragua, Agronomist Rice/Sorghum
Maria Eugenia Baltodano	CIAT, Nicaragua, Economist
Roger Urbina	CIAT, Nicaragua, Seed specialist Agrosalud

Annex 4
List of Documents Reviewed by the 6th CIAT EPMR Panel

Readings

1. Science Council of the CGIAR Strategic Issues for the 6th EPMR of CIAT
2. Terms of Reference and Guidelines for External Program And Management Reviews of CGIAR Centers
CIAT Management Team meetings 05
 - CIAT Management Team meetings 06
 - CIAT Management Team meetings 07
 - EPMR Guidelines 2006_final
 - EPMR Terms of Reference
3. Most recent External Program & Management Review of the Center
 - 2. CIAT 5th EPMR 2000
4. Summary of actions taken in response to the last EPMR
Summary Recommendations of Fifth EPMR and CIAT Responses Vs MARCH 30 2007
5. CGIAR Research Priorities 2005 – 2015
 - CGIAR Research Priorities 2005-2015
6. The latest Board Approved Strategic Plan of the Center
 - Summary Strategic Plan 2001-2010
 - Strategic Plan 2001-2010
7. Medium-Term Plan of the Center for the Period of the Review
 - CIAT MTP 2001 - 2003
 - CIAT MTP 2002 – 2004
 - CIAT MTP 2003 - 2005
 - CIAT MTP 2004 - 2006
 - CIAT MTP 2005 - 2007
 - CIAT MTP 2006 - 2008
 - CIAT MTP 2007 – 2009
 - CIAT MTP 2008 - 2010
8. SC Commentaries of the Center's Medium Term Plans
 - CIAT MTPs_SC Commentaries 2006-2001
9. Center-Commissioned External Review Reports plus Center Responses
 - CCER Agrobiodiversity 2006
 - CCER Agrobiodiversity and Agroecosystems Response Summary Apr24
 - CCER Agrobiodiversity Response
 - CCER Agroecosystems 2006
 - CCER Agroecosystems Response
 - CCER Governance Management and Finance 2006 Response
 - CCER Governance Management and Finance 2006
 - CCER Response Summary Apr24 (2)
 - CCER Rural Innovation Institute 2006
 - CCER Rural Innovation Response
 - CCER Spatial Analysis 2003
 - CCER Spatial analysis at CIAT_Center response
10. Donor-Commissioned External Review Reports
 - BP2 – PMP Final 5 Sept 05
 - IP1 – PABRA Response to Jeep Recommendations Jan
 - IP1 – THE PAN-AFRICA BEAN RESEARCH ALLIANCE (P
 - IP5 – ekomment-ciat-forage-response-final
 - IP5 - ekomment-final-ciat-forage

- IP5 – Final Draft Report Mid Term Evaluation of the C
 - IP5 – Mid Term Evaluation of Enhancing Beef Product
 - PE2 – Mid –term eval BGBD
 - SB1 – Interim GPG Rehabilitation Project Phase I-Gen
 - SB1 – Interim GPG Rehabilitation Project Phase I-Gen
 - SB1 – Report on an Audit of the Genebank Rehabilitat
 - SW3 - PRGA external review 2000
11. List of achievements outputs publications peer review and other, research breakthroughs as recognized by peers, germplasm
 - List of achievements – Outputs by program
 - List of Non-Thomson peer review publications 2006
 - List of peer review publications with NARS 2006
 - List of Thomson peer review publications 2006
 12. A paper by Center management and Board (1)
 - VisionStrategy for EPMR
 13. The current organization chart, with brief description of the Center’s internal management structure, including the composition and terms of reference of each major committee (3)
 - CIAT Committees 2006
 - CIAT Committees ToRs 2006
 - CIAT06 Business Plan-BOT11
 - Organigram product lines for EPMR 07
 14. Other Recent EPMR Reports of CGIAR Centers
 15. Most recent CGIAR stripe studies involving the Center (to all or relevant Panel members)
 16. Most recent Annual Report of the Center and comparable research reports of the Programs if available
 - CIAT 2006 Project Reports
 - Ciat annual Report 2005-2006
 17. The latest Annual Funding Request.
 - CIAT MTP 2007 - 2009
 - CIAT tables MTP 2007-2009 TABLE 7 ANNUAL FUNDING REQUEST
 18. List of Professional staff with short CVs including standard set of information as instructed the SC Secretariat (Publica)
 - CIAT Staff LIST
 - List of professional staff short CVs
 19. List of reports of major planning conferences, internal reviews, expert meeting, which have had a major influence on t
 - List of reports of major conference
 20. List of agreements for cooperative activities with other Centers and institutions
 - List of Agreements
 21. List of ongoing and recently completed contracted projects
 - Ongoing and Recently completed contracted projects
 22. SWEP - Systemwide Farmer Participatory Research and Gender Analysis (PRGA)
 - CIAT BOT meeting brief ed1
 - External Review Summary d4
 - PRGA External Review Report
 - SC commentary on PRGA external evaluation

Governance and Management

1. Most recent CGIAR financial guidelines and manuals
 - Financial Guidelines Series no. 4 Guidelines for preparing the 2007-2009 MTPs and 2007 Financing Plans

- Financial Guidelines Series no. 1 Financial Management
 - Financial Guidelines Series no. 2 CGIAR Accounting Policies and Reporting Practices Manual
 - Financial Guidelines Series no. 3 Audit Policies
 - Financial Guidelines Series no. 5 CGIAR Indirect Cost Allocation Guidelines
 - Financial Guidelines Series no. 6 Procurement of Goods Works and Services
 - SC and CGIAR Secretariat Cover Memo on 2007-2009 MTPs
2. Reference Guides for CGIAR International Agricultural Research Centers and their Boards of Trustees
 - CGIAR Guide for BOT_Board Self-Assessment
 - CGIAR Guide for BOT-Building Effective Board Committees
 - CGIAR Guide for BOT_choosing a Director General
 - CGIAR Guide for BOT_Creating a wellbalanced Board
 - CGIAR Guide for BOT_Evaluating the Director General
 - CGIAR Guide for BOT_Role of the Board Chair
 - CGIAR Guide for BOT_Role responsib and accountabil
 3. Charters and other basic documents establishing the Center along with subsequent amendments
 - By – Laws
 - HostCountry Agreement
 - IBRD - UNDP Agreement
 4. Table showing composition of the Board over the last five years, along with an indication of the term of office for current
 - EPMR Table on Board Composition
 5. Board handbook of rules of procedure
 - Board Policies Procedures Manual Number 8 December 2006
 6. Table showing allowances, benefits and salary ranges for each category of staff
 7. Table showing personal data on professional staff by Program including job title-incumbent's location-IRS NSR LSR status
 - Table showing personnel data
 8. Table Summarizing turnover of staff over the last five years by staff category
 - Turnover
 - Turnover2000-2007
 9. List of international vacancies and how long positions have been vacant
 - Vacancies
 10. Set of minutes covering Board and Board Committee meeting since the last External Review (and reports of Board committees t
 - BOT 47 - 2001
 - BOT 48 - 2002
 - BOT 49 – 2003
 - BOT 50 – 2004
 - BOT 51 – 2005
 - BOT 52 - 2005
 - BOT 53 - 2006
 - BOT 54 - 2006
 - BOT 55 - 2007
 11. Staff manual or a description of current personnel procedures for international an locally recruited staff
 - Link to staff policy Manual
 12. Local compensation survey used by the Center
 - CGIAR compensation phase3 report 2005 11

- Compens.1
 - Compens.2
 - Explanatory note
 - Final Report
13. Reports of external auditors, including management letters, and financial officer's reports to the Board since the last Exte
- CIAT-1120 Presentación Comité Nov06-V3 Ingles 2006
 - CIAT-Resumen ejecutivo-Comité-final-Mayo-05-T-2005
 - KPGM – Informe dic 2001-r
 - KPGM – Informe mayo 2001-r
 - KPMG – Informe Mayo 2003-r
 - kpmg presentación may 2002
 - Kpmg2 May 2004
 - Presentación kpmg 2003 dec
 - presentación kpmg dic 2002
 - presentation audit committee 2005
 - presentation audit committee 2006
 - presentation audit committee-deloitte December 2004
14. Most recent internal audit reports
- CIAT GPG1 Project Report (Final) 2006
 - FW Audit of Processing of Candidate Evaluations
 - I-19-06 Laos Report General June 2006
 - I-20-06 TSBF informe de viaje junio 2006
 - I-21-06 Revision usuarios SGH 2006
 - I-22-06 Revisión perfiles As 400 – sep 06
 - I-23-06 Revisión usuarios OF – sep06
 - I-24-06 Revisión Conc Bancarias-2006 Sept
 - I-25-06 Report on an Audit of the HarvestPlus Challenge Program – CIAT Component
 - I-26-06 IPGRI Draft Report Aug 2006
 - I-28-06 Risk Management – reunion CRMC 4 ago 06
 - I-29-06 risk management status report to the Board oct. 2006
 - I-31-06 Seguimiento a recomendaciones de Auditoria externa 2005
 - I-31-06 Seguimiento recomendaciones AE -activos fijos 2005
 - I-32-06 Observaciones lote 64
 - I-33-06 Uganda seguim puntos visita July 06
 - I-34-06 Revision de los sistemas de pagos electrónicos
 - I-36-06 Inventario físico Almacén
 - Propuesta reducción 06
 - Provisiones 2006
 - Revisión inventario Activos Fijos-2006

Surveys conducted by the 6th EPMP

1. CIAT Staff Survey

- CIAT EPMP Staff Survey English
- CIAT EPMP Staff Survey Spanish
- Link Survey - Link Encuesta
- Results of the Staff Survey
- Staff Survey Commentaries

2. CIAT Stakeholders Survey

- English CIAT 6th External Program and Management Review Stakeholder survey

- Español CIAT 6ta Revisión Externa y Programas de Administración Encuesta a Stakeholder
- Stakeholders Survey Open Questions
- Results of the Stakeholders Survey

CIAT Reports to 6th EPMR Panel

1. Presentations

- Board Presentations
 - Climate Change by Andy Jarvis
 - High Value Crops Fand V by Alonso Gonzalez
 - Integration in Africa by Robin Buruchara
 - Pachico
 - PPPs by Luis Roberto Sanint
 - Presentation-Dr Tohme
 - PRGA to PC by Janice Jiggins
 - Reg Integration by RL
 - TSBF-CIAT Report by NS
- May CIAT Administrative Presentations
 - Administrative Director - Jesus Cuellar
 - Food And Housing Gloria Vasquez
 - Human Resources Gustavo Peralta
 - Institutional Protection Sibel Gonzalez
 - Legal Office German Arias
 - Maintenance And Procurement Jorge Uribe
 - Miami Office Julian Montoya
- May Presentations to EPMR
 - Amazon Initiative. Porro
 - Bean Improvement. Beebe
 - Cassava Improvement. Ceballos
 - Central America. Schmidt
 - CIAT in Context. Evolution and Innovation. SC Issues 1 and 3 and 6. Voss
 - Financial Overview. Sanint
 - Genetic Resources. Debouck
 - Opportunities for Research on High Value Commodities. SC Issues 4 and 5. Oberthur EPMR_07-05
 - Opportunities for Research on High Value Commodities. SC Issues 4 and 5. Kirkby
 - Regional Research Strategy. partnership in Latin America. Sanint
 - Regional Strategy Asia. Lefroy
 - Regional Strategy. Africa. Buruchara
 - Research Program. Recent Development and Further Directions. Pachico
 - Rice in Latin America. SC Issue 8. Correa
 - Sharing the Benefits of Agrobiodiversity. Tohme
 - Tropical Forages. SC Issue 8. Peters
 - Tropical Soils Biology Fertility in Africa. SC Issue 7. Sanginga

2. Documents

- CIAT 06 Business Plan-BOT11
- CIAT DG REPORT TO BOT11
- CIAT strategic vision jan 30- 07 final draft
- TEAM REPORT 4
- Agreements

- Acta de conformacion del FLAR 1995
- Acuerdo CIAT-FLAR nov 04
- Clayuca
- FLAR
- Heads of agreement FLAR 1995
- Jircas
- Papalotla
- Reglamento FLAR 1995
- CIAT Annual Report 2005-2006
 - CIAT annual report 2005 - 2006 text only
 - CIAT anual report 2005 - 2006
- Funacion Instituto de Innovacion Rural
 - Acta De Constitucion Iir Version Final
 - Estatutos Fundación Iir Version Final
 - IIR - Convenio de sede FINAL
 - Reunión Aclaratoria Sobre FIIR y sus implicaciones
 - The Rural Innovation Institute
- Impact Studies
 - 13_pres_farhney
 - 3A and 3B PM Indicators for 2005 and 2006
 - Asia-- Contribution to IP-5 Annual Report (2006)
 - Assessing the Impact of IPDM-Draft- W Kenya
 - CIAT 2005 Impact Submission (3A3B)
 - CIAT 2006 Impact Submission (3A3B)
 - CIAT Impacts 2005
 - CIAT-WB Indicators 2006
 - CIAT-WB Indicators 2006 IA 6 (2)
 - Honduras LBS adoption
 - Impact Study 1
 - Impact Study 2
 - Presentación ALPA
 - Regional Impact Highlight - Dissemination and Adoption of Improved Bean Varieties - Lessons for PABRAs Wider Impact Strategy
 - The Impact Of Improved Bean Production Technologies In Rwanda
 - The Impact Of Improved Bush Bean Varieties And Management Technologies In Uganda
- Human Resources
 - CIAT Performance Indicators Publications 2004-2005-2006
 - CIAT Staff Turnover
 - Disciplinary Breakdown Table 9.2
 - HR office - salary and benefits analysis vs market
 - IRS - December 2006
 - IRS -Termination-Resignation 2005 – 2007
 - NRS Resignation 2005-2007abr
 - Table 9.1 CIAT Staffing 2000-2006
 - Professionals trained at HQ 2002-2006
 - Turnover1999-2007 No.31 -NRS
- MTP's
 - CIAT tables MTP 2008-2010 PL
 - MTP 2008-2010 CIAT June 15 2007
 - MTP Output target 2006-2008 2007-2009 y 2008-2010

- SC comments in brief CIAT MTP 2007 - 2009
- Table 5 MTP
- TSBF
 - CIAT TSBF Achievements 2002-2005
 - CIAT TSBF Strategy 2005-2010
 - Excerpt TSBF-SAC Revised TORS
 - SAC-07 Report - final
 - TSBF agreement

For a comprehensive list of all CIAT publications during the period covered by this EP MR (2000-2007) see: <http://www.ciat.cgiar.org/biblioteca/index.htm>

Some citations link to full texts, whenever the library has obtained the authorization by publishers or authors, or because they are open access. All items listed including those published prior to 2006, are accessible via http://ciat.catalog.cgiar.org/ciat_catalog.htm

Annex 5
Center Response to 5th EPMR and 6th EPMR Panel Commentary

Recommendation 1

*Because of the global responsibility assumed by CIAT for its germplasm collections held in trust, and the urgent need to upgrade the genebank and its operation, the Panel **recommends** that CIAT give urgent priority to obtaining necessary funds to comply fully with the Systemwide Genetic Resources Program on upgrading CGIAR genebanks; that a timetable of 5 years be set to complete the upgrade effort; and that Board and Management examine needs - staffing, special equipment, etc. - to ensure that upgrading is carried out successfully.*

Center Response

CIAT agrees with the need to accelerate the upgrading of the germplasm collections it holds. A timetable for the upgrading of the genebank and the in-trust collections was presented to CIAT BOT and Senior Management as early as 1996. CIAT provided capital funds to upgrade GRU facilities (such as the seed viability and the in-vitro laboratories, a drying room, and an additional cold store). CIAT houses an average size germplasm collection and allocates the second highest amount of unrestricted resources among the 11 genebanks held in the CGIAR. Within this very high allocation of unrestricted resources, CIAT will update the 1996 up-grading plan to comply with the EPMR recommendation. This plan will contain three elements: First, greatly increase the number of accessions renewed and stored yearly. Secondly, since 1998, as part of the systemwide activities of SGRP (and following the recommendations of the 1995 and 1998 reviews), CIAT has participated actively in the preparation of the Upgrading Plan for the 10 genebanks of the CGIAR. The final version of this plan was submitted to TAC in Mar'00 for its endorsement and funding. And thirdly, CIAT will also prioritize additional fund raising activities to support the upgrading plan.

6th EPMR comment - Satisfactory progress, ongoing

Progress was made during the phase 1 of the CGIAR Genebank Upgrading (2003-2006) against three major indicators: i) regeneration against seed aging, ii) long-term conservation at CIAT, and iii) security back-ups at CIMMYT (for the seed collections of beans and forages) and CIP (for the cassava collection). As indicated last May (echoing the reviews of November 2005 and October 2006), the effort should be continued during Phase 2 (2007-2009).

Recommendation 2

*Because CIAT holds in trust the largest global collection of cassava among its total collections of over 50,000 accessions; because the storage and management of this vegetatively propagated crop is costly due to high labor inputs, and because storage in tissue culture, even with slow-growth methods, poses some risks to the genetic stability and safety of the germplasm, the Panel **recommends** that CIAT direct major effort to develop a reliable cryopreservation method to cut costs and to guarantee the long-term safety of these collections.*

Center Response

CIAT agrees that cryopreservation is an economic alternative, and once operational permits secure germplasm storage, including safety duplications. The Projects SB-01 (GRU) and SB-02 have invested in cryoconservation research in liquid nitrogen (LN) of cassava shoot tips for the long-term conservation of the cassava collections. Protocols are currently working for about 45% of the clones of a sub-set of the core collection. Thus, in the short term, the introduction of about 45% of the cassava collection into LN storage is feasible with the consequent benefits regarding safety and savings in maintenance cost. Because cryoconservation methods are also of interest to

IITA, INIBAP, and CIP, CIAT has presented a project to SGRP in order to have a systemwide research project for the cryoconservation of vegetatively propagated crops. SGRP has so far only approved funds for meetings, one in Tsukuba (October 1998) and another one in Leuven (May 2000). A concept note was submitted for joint research in 2000 to the University of Leuven. Cryoconservation research is also included in the Upgrading Plan. Fundraising efforts for research on cryopreservation continue, but have been without success so far. While this takes place, as an intermediate safety measure, CIAT is considering duplicating the entire collection in vitro (under slow growth conditions) as a “black box” in another location.

6th EPMR Comment – Satisfactory progress

Recommendation 3

Because biotechnology research at CIAT generates a new class of genetic resources; e.g. clones, sequences, probes, transgenic organisms, and associated information; because these new genetic resources are as valuable as “traditional” genetic resources; and because they will become increasingly more important for research and technology development, the Panel recommends that CIAT adopts the broader concept of agrobiodiversity to include the new class of genetic resources, and develop appropriate policies and protocols to manage their conservation, exchange and use.

Center Response

The broader concept of agrobiodiversity in CIAT is managed mainly in Project SB-02. It manages the “new class” of genetic resources, such as probes, gene constructs, plasmids and DNA clones. SB-2 has initiated a database for these materials, including proprietary restrictions on their use. The goal is to implement a system for assembling, characterization and storage, including facilities and procedures. CIAT has developed a policy for the handling of and experimentation with transgenic organisms. Specific clauses will be added to CIAT’s IPR Policy to expedite the management of these resources. Implications for the in-trust germplasm collection need to be examined. Moreover, relevant outcomes of the Center’s IP Audit (in progress) will be useful in this regard. In addition, efforts are underway in the genomics area, especially to generate cassava EST’s involved in starch biosynthesis/quality, in collaboration with the Montpellier Genomics Platform, and in developing cassava lines with high levels of carotene.

6th EPMR Comment - Completed

Recommendation 4

Because agrobiodiversity conservation, enhancement and use is central to the mission and international research responsibilities of the CGIAR and CIAT; and because the emergence of the private sector as a major technology provider within the new global regimes of intellectual property and biosafety has profound and pervasive implications on the generation of international public goods, the Panel recommends that CIAT, within the framework of the CGIAR, develop at the earliest possible time a comprehensive policy, operational strategy and capacity to manage its research and development efforts on agrobiodiversity to ensure maximum access to and freedom-to-operate in the use of genetic resources, biotechnology applications and information, and the safe deployment and use of products derived from them.

Center Response

The approval by the BOT of the CIAT policy on IPR in December 1998 is one step in that direction. Access to genetic resources and elite materials is regulated through Protocols 1 and 2, respectively, of that policy. The ongoing IPR audit will assist CIAT to build a framework on the improvements of its current IPR policy, to develop internal mechanisms for facilitating effective access to other IPs, and to develop procedures aimed at exercising and benefiting from its own IPs; all the way from employment policies through laboratory protocols. In addition, CIAT will

seek the collaboration of the Central Advisory Service housed in ISNAR for across-center issues, as well as the assistance of law firms, which have offered valuable services free of charge.

6th EPMR Comment – Incomplete

Inadequate CIAT capacity to deal with complicate IPR issues. Inconsistencies observed in compliance with IPR obligations

Recommendation 5

Because of the strategic importance of CIAT's mandate commodities to the wellbeing of the world's poor; because CIAT is a major if not the only nucleus of international research on these commodities; and because research and development on commodity improvement requires consistent, long-term and adequate efforts, the Panel recommends that the Center Board and Management commit, secure and provide sustained and adequate support to the Center's global and regional commodity research responsibilities.

Center Response

CIAT remains fully committed to its traditional commodities; beans, cassava, rice and tropical forages. The ever scarcer unrestricted resources will be optimally allocated to the CIAT research areas, taking into account possibilities of raising complementary restricted funding.

6th EPMR Comment – Completed

Given current CGIAR (unrestricted vs. restricted funding) and CIAT funding situation

Recommendation 6

Because of advances in technology that allow the modification of the nutritional characteristics of staple food crops, such as the production of vitamin A precursors in rice, and because improved human nutrition would be a major contribution to the welfare of poor consumers in LAC; the Panel recommends that CIAT monitor closely the advances in this technology as well as the surrounding intellectual property issues, and take all appropriate steps to utilize these technologies in appropriate germplasm improvement programs

Center Response

CIAT has been in contact with the authors and institutions of new technological developments in the area of crop product quality (human nutrition and health). CIAT has requested 'golden rice' and iron-rich rice lines for testing in LAC conditions. But no significant research expenditures will be made unless the property issues have been made clear so that this new technology can be applied without legal disputes.

6th EPMR Comment – Ongoing Activity

CIAT has significantly increased its activity in deploying biofortified crops using special project funds (AgroSalud, Harvest Plus Challenge Program).

Recommendation 7

Because of the vulnerability of the highly successful African Bean Project to changes in donor funding and the impression of African NARS partners that CIAT has no long term commitment to the continent, the Panel recommends that CIAT assure the project of long term sustained funding to safeguard continuity and the ability to expand into promising areas such as forages.

Center Response

Unrestricted resources to CIAT have declined every year since 1989. Despite these continuing reductions, CIAT has created for 2000 and onwards one senior scientist position in Africa out of unrestricted resources (to become the Africa-wide coordinator, as was done also for Asia). Three other positions have been added through System-wide Programs funded by CGIAR member

contributions. Additional positions, and research on forages, will have to be realized through prioritized restricted fund raising efforts.

6th EPMR Comment – Partially implemented

Extremely small level of core funds allocated to the African Program, but unclear precisely how much core is allocated to Africa. Some evidence of implementing Forage research in Africa in partnership with ILRI.

Recommendation 8

Because the approach of CIAT's Natural Resource Management research at the farm, community, watershed, and ecoregion levels, is not always clear, the Panel recommends that CIAT develop a rigorous overall research approach with greater integration among projects, define their specific objectives (including the role of reference sites and related activities) more clearly, and establish a clear framework of their hierarchical and functional relations and responsibilities.

Center Response

CIAT plans to pursue vigorously greater integration among projects through the development of the new strategic plan. CIAT will continue to focus on producing strategic research outputs of global relevance based on the integration of improved germplasm, IPM, crop-livestock systems, decision support systems and improved land management. CIAT will organize a high-level expert consultation (or "think tank") for this purpose as part of the planning process to further develop its integrated research strategy, specific objectives and the role of comparative analysis across reference sites.

6th EPMR Comment - Not completed

Comprehensive strategy is not demonstrated despite numerous changes in organization. CIAT has re-organized into Research for Development Challenges, and CIAT's strategy for natural resource management research is now expressed through the strategy of the People and Agroecosystems RDC (P&A RDC) and the associated Tropical Soil Biology Fertility Institute (TSBF), which have the broad role of addressing agroecosystem management challenges. While this reorganization clusters many of the relevant skills, and was partly intended to achieve improved integration, an overall research approach with greater integration is really only evident in CIAT's regional operations in Asia, Africa (including at TSBF), and Central America where on the ground projects cluster the disciplinary mix required from across the organization. These projects tend to focus on livelihood improvement of the rural poor, with resource sustainability improvement as a desirable, but secondary, component. Hence, the clear strategy and framework requested remains elusive.

Recommendation 9

Because the Hillsides Project work developed in Colombia has not yet lived up to its promise in Central America, the Panel recommends that CIAT develop a rigorous and coherent research plan for the Hillsides Project including clear and consistent definitions.

Center Response

CIAT recognizes that there have been challenges in integrating agronomy research in Central America with headquarters decision-support research in the past. A new project manager and coordinator in Central America were put in place to improve this integration. CIAT management has complete confidence in the Project manager and the Central America coordinator who in the space of one year, and in the face of the Mitch hurricane after-effects have already begun to make significant progress. Clear research plans have been developed and are being implemented effectively. CIAT will continue to monitor progress on this research plan.

6th EPMR Comment – Action taken, no longer relevant

Hillside work terminated for a lack of consistent results. As part of its re-organization and management of funding shortfalls, CIAT has phased out this project and the staff members formerly involved have left the Center. Field research carried out under this project has been largely discontinued. Nevertheless, as part of its participation in the Water & Food Challenge Program, CIAT remains engaged in some of the themes of research related to this project.

Recommendation 10

Because the integration of research on germplasm, natural resources and social science lies at the heart of CIAT's strategy and because CIAT has had a lengthy experience in bringing about such integration, the Panel recommends that CIAT document its experience by assessing the impact of its past integration efforts on its target areas and populations.

Center Response

CIAT agrees with the Panel on the importance of documenting the impact of past integration efforts on its target areas. A major inter-project effort has been launched to assess impact in the ecoregional reference sites where genetic and natural resource research has been integrated.

6th EPMR Comment – Not completed

No evidence of systematic impact analysis. No core capacity to do impact analysis.

Recommendation 11

Because CIAT has had extensive and varied experiences with different forms of research partnerships (e.g. networks, consortia, joint ventures, collaborative projects), the Panel recommends that CIAT carry out an analytical review of this experience to derive lessons for itself and other CGIAR institutions

Center Response

CIAT agrees with this recommendation. In December, 1998 CIAT's BOT approved a policy on "Institutional Cooperation". It set the overall objectives, principles and mechanisms to establish partnerships. This policy provides the conceptual framework for the proposed analytical review. CIAT will invite a reduced number of key partners to participate in the review exercise. This review is planned for the first semester of 2001.

6th EPMR Comment – Partially implemented

Panel has seen no evidence of analytical review of research partnerships however several studies analyzing partnership experiences were carried out with IFPRI.

Recommendation 12

Because integration of research efforts is a cross-cutting issue for the Center, the Panel recommends that CIAT include in its next strategic planning exercise an in-depth examination of the composition of its project portfolio and the mechanisms used to foster intra-project and inter-project integration.

Center Response

CIAT agrees with this recommendation. The development of the new Strategic Plan is taking into account the arrival of the new DG and the outcome of several reviews, including the EPMR and the system review of the CGIAR strategy and vision. These outcomes will form an important input into the Strategic Plan.

6th EPMR Comment – Ongoing

New strategic plan produced in 2001 CIAT has reorganized a few times since 2000, most recently in 2007. Intra-project integration is effective. Integration across RDCs, and between regions and

headquarters continues to be an issue. Scientists' time is closely tied to project funding, and this makes such collaboration difficult. CIAT lacks mechanisms for cross-project/RDC integration. The move to a product focus as suggested in the CCER on Agrobiodiversity was intended to foster integration in research planning and implementation whereby the different skills sets needed in the research development cycle to go from idea to final product in the hands of the user are all deployed in combination around products. However, a clear research strategy on this integration is lacking and many of the products identified are only components needed in a broad-based integrated approach to achieving outcomes.

Recommendation 13

Because the present information systems do not provide the project leaders with relevant, timely and accurate financial information, the Panel recommends that CIAT elevate the priority assigned to the redesign of its financial information systems, processes and procedures.

Center Response

CIAT was aware of this need. Because of the high estimated costs for a complete overhaul of the financial management system, CIAT decided to first focus on being year-2000 compatible. CIAT will now incrementally introduce improved hardware and software to address crucial bottlenecks. Following the EPMR and the Financial Review CIAT will develop a multi-year plan to continue upgrading individual outdated software. It will do so in close collaboration with the CGIAR Secretariat which is conducting a financial software review of the CGIAR system to ensure compatibility with the Secretariat and among centers.

6th EPMR Comment – In progress

Significant progress has been made in the implementation of this important recommendation, although not at priority speed. While CIAT acquired a financial information system based on Oracle e-business suites, it did not adopt a strategic investment approach or dedicate sufficient funds at the outset for implementation. It has taken over six years to complete implementation, and there are still modules to go live and roll out to out posted offices. Connectivity continues to be problematic in certain regional offices.

Recommendation 14

Because all successful research endeavors at the Center, such as participatory management research, are characterized by the maintenance of core competencies and institutional memory, the Panel recommends that CIAT ensure that its research strategy for NRM be explicitly cumulative in nature.

Center Response

CIAT agrees that research strategy must be both cumulative and innovative so that research builds on institutional memory, incorporates new advances in knowledge, responds to the needs of different stakeholders, and adjusts to comparative advantage as partners' capabilities change. CIAT will maintain and adjust core competencies needed to achieve research progress by deploying research competencies across as well as within projects, as required for CIAT's integrated approach to germplasm and natural resource management research. CIAT will ensure systematization of institutional memory by allocating additional resources to complete and maintain the center-wide Data Warehouse for all strategic databases, ensuring full documentation and an IPR protection over the next five years.

6th EPMR Comment – Not implemented

Strategy for NRM remains a major issue in research management in CIAT.

Recommendation 15

Because CIAT has used effectively the products and processes of its participatory germplasm improvement research as an effective entry point to gain the confidence of farmers and facilitate the more complex but equally essential NRM research, as exemplified by the African Bean Program, and because technology and social process are recognized as potentially effective entry points into communities, the Panel recommends that CIAT further develops its "entry point" model to help identify optimal entry points for its NRM research projects.

Center Response

Further development of CIAT's "entry point" model will be undertaken in close consultation with NARS, by CIAT research projects involving crop choice, varietal selection, pest and disease management, soil management, production systems, land use and decision-support. The choice of optimal entry points for this applied research requires careful analysis of tradeoffs between alternative commodities, alternative land use options such as agrosilvopastoral versus pure grazing systems for example, and between production and conservation uses of land, soil, water or bio-diversity. The priorities of different stakeholders about what is optimal will often conflict, and will vary at farm, community, national and regional scales of analysis. Therefore, CIAT has identified one of the optimal entry points for its strategic research as the development of decision-support tools for NARS. This strategic research will continue to assist NARS to identify entry points among applied research options including crop choice, varietal selection, pest and disease management, soil management, production systems, and land use.

6th EPMR Comment – Ongoing

Strategy for NRM remains a major issue in research management in CIAT. However, CIAT works in close collaboration with NARS and a wide range of partners including advanced research institutes, civil society organizations, and farmer organizations from the onset of research activities. The strategic research outputs include improved germplasm, soil-crop-pest management strategies; integrated decision support tools; and capacity building methodologies all of which serve as entry points to CIAT's to farm level improvement. The use of this "entry point" approach is clearly evident in the integrated regional projects, and is leading towards opportunities to engage on natural resource management issues.

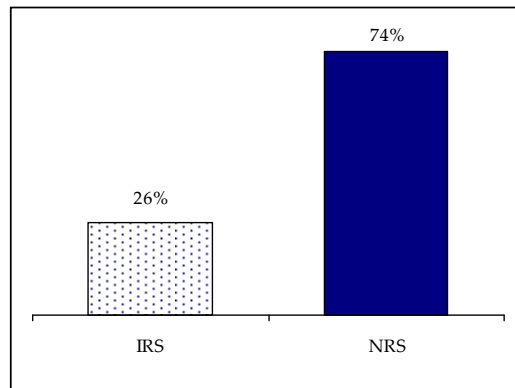
Annex 6 Results of the Staff Survey

CIAT's staff were asked to respond the survey on 8 questions by choosing one of five options:

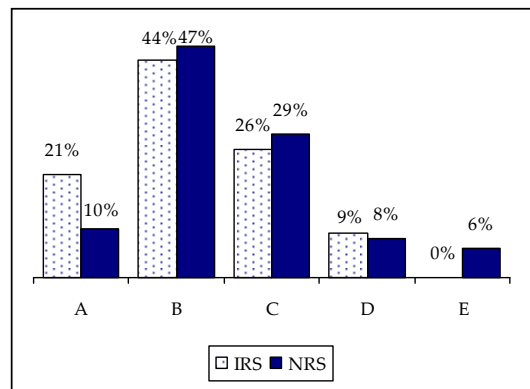
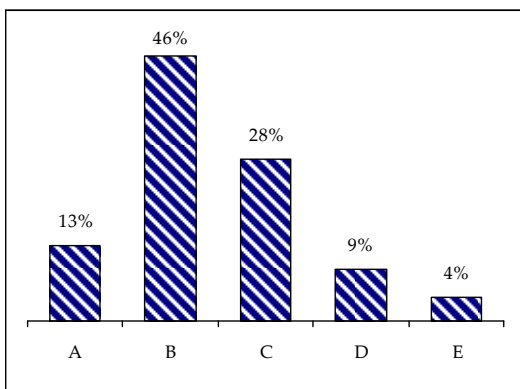
- | | |
|-------------------|----------------------|
| A. Strongly agree | D. Strongly Disagree |
| B. Agree | E. Don't know |
| C. Disagree | |

The portion of different responses to each question is shown in the graphs. The number of respondents is given in brackets.

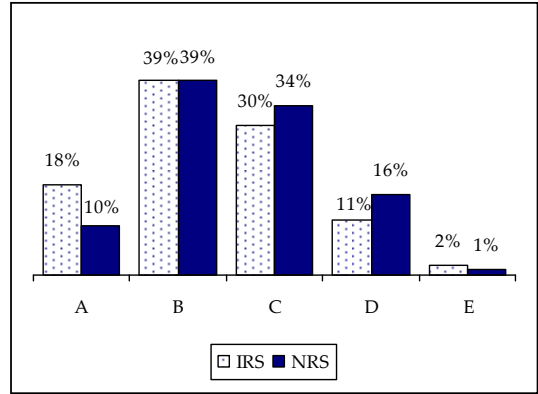
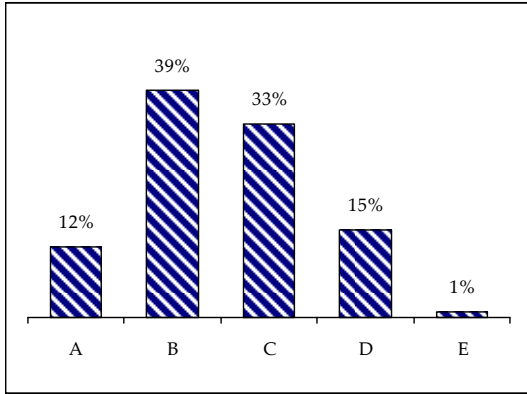
IRS [43] / NRS [123]



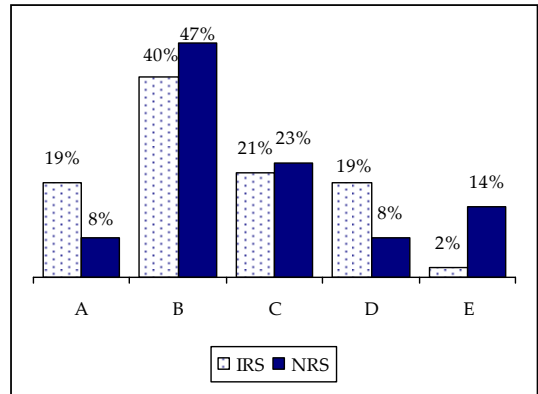
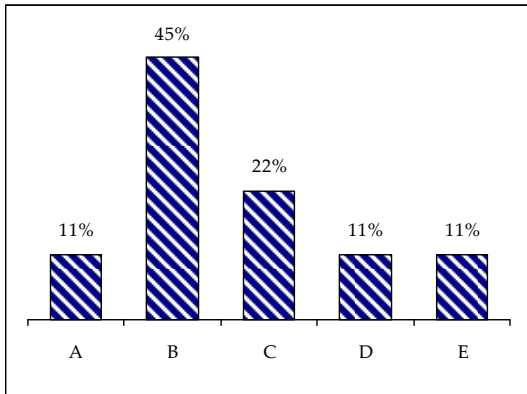
1. CIAT's work environment is conducive to:
(a) Innovative research [161; IRS-43, NRS-118]



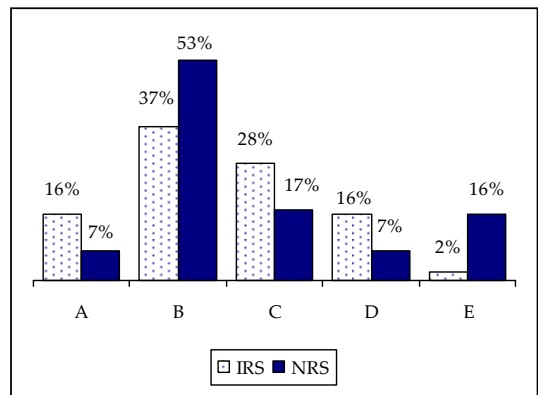
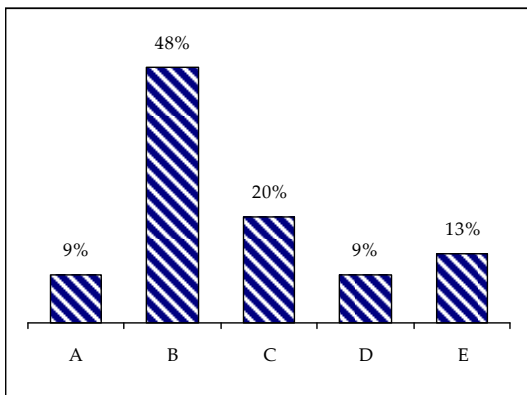
1. CIAT's work environment is conducive to:
 (b) Teamwork [163; IRS-44, NRS-119]



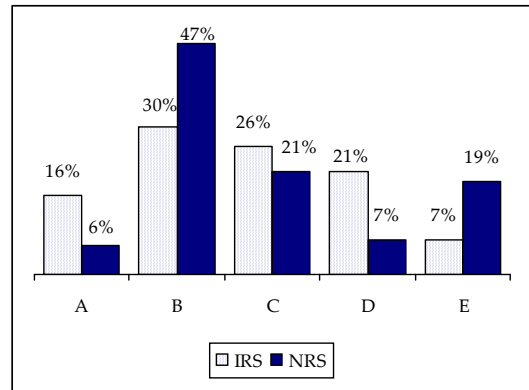
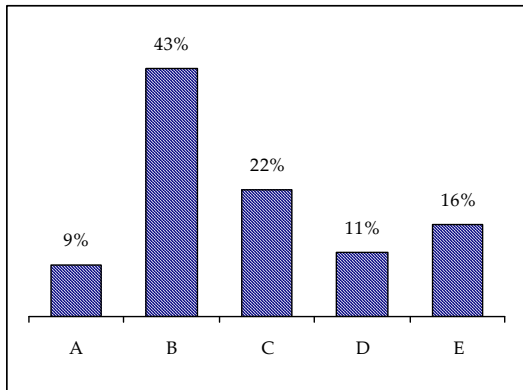
2. I believe that CIAT's reorganization of research will enhance
 (a) Overall research focus [161; IRS-43, NRS-118]



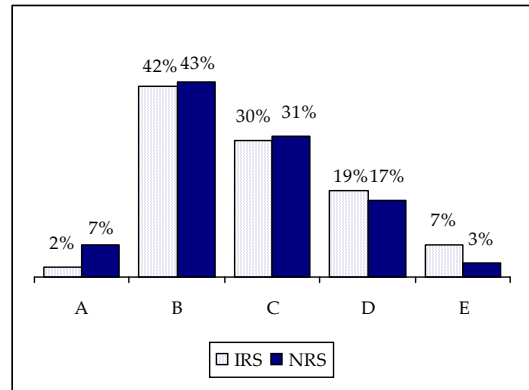
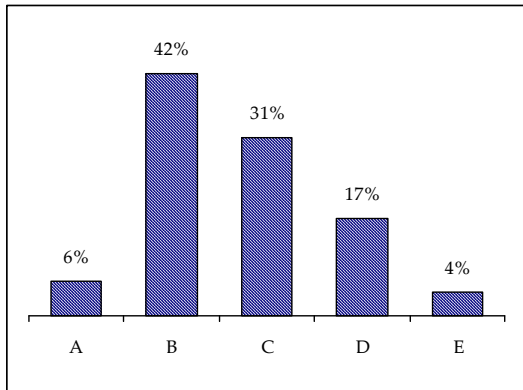
2. I believe that CIAT's reorganization of research will enhance
 (b) Research integration [159; IRS-43, NRS-116]



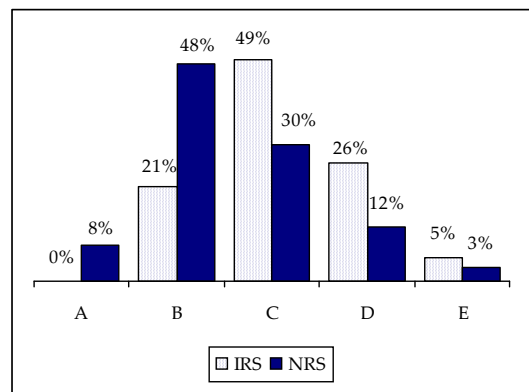
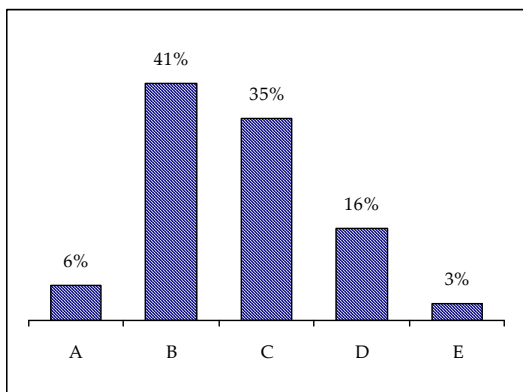
2. I believe that CIAT's reorganization of research will enhance
(c) Research Management [159; IRS-43, NRS-116]



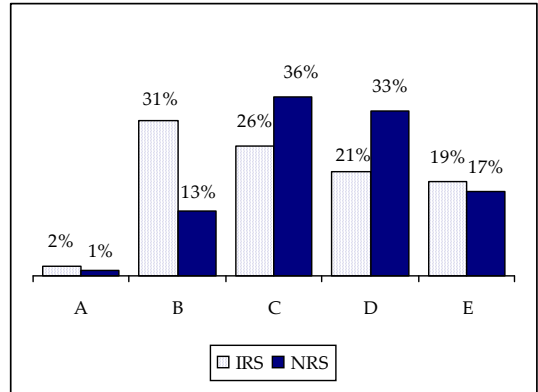
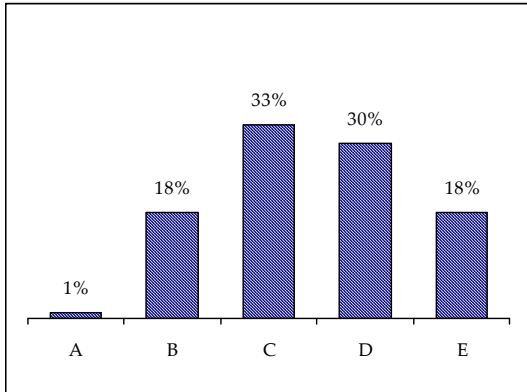
3. CIAT has effective
(a) Administrative services (purchase, food/housing, security, maintenance, ect.) [163; IRS-43, NRS-120]



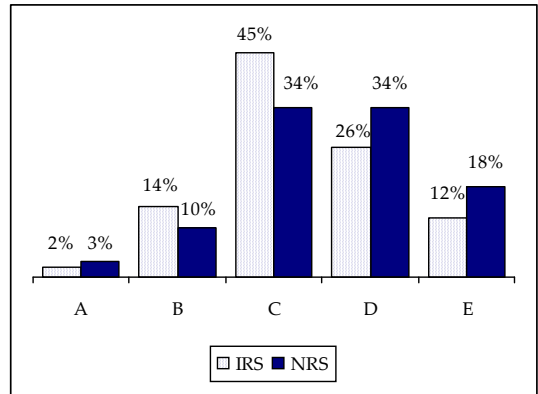
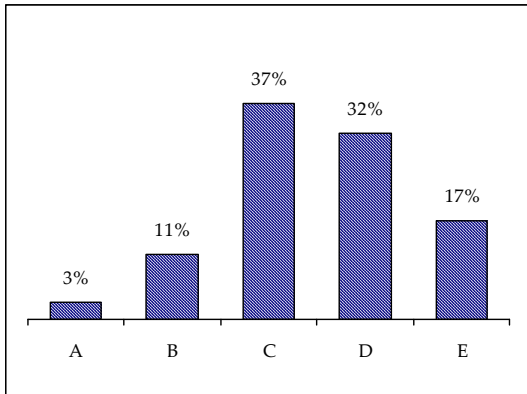
3. CIAT has effective
(b) Management systems and controls [158; IRS-43, NRS-115]



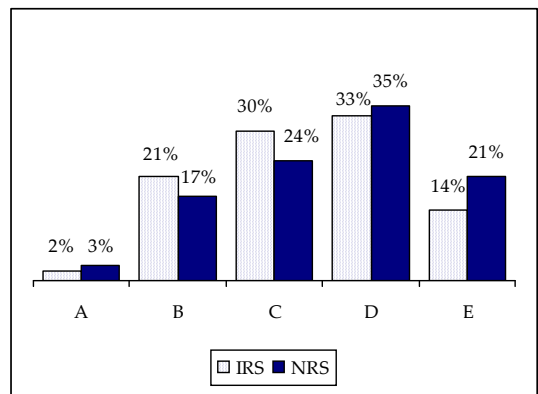
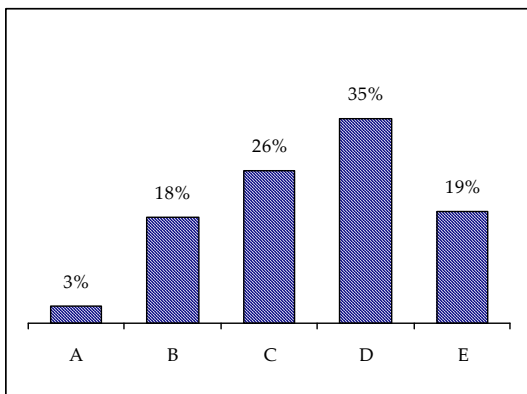
4. Decisions concerning staff downsizing in recent years were
 (a) Fair [157; IRS-42, NRS-115]



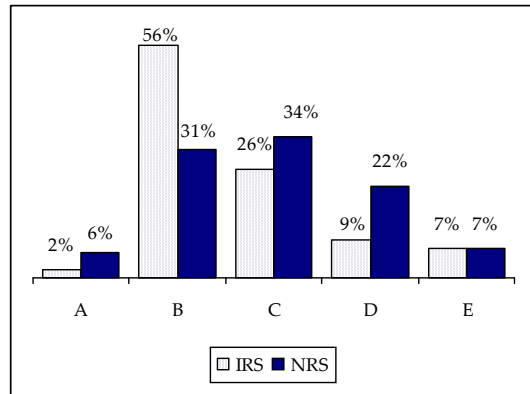
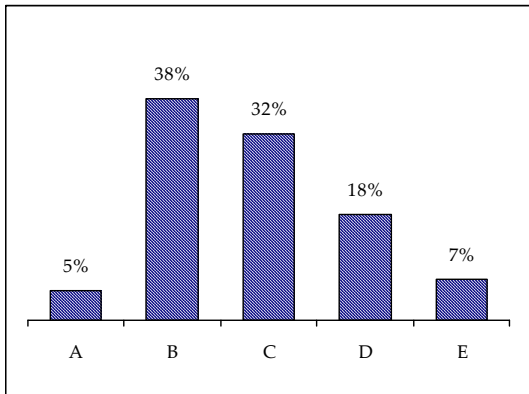
4. Decisions concerning staff downsizing in recent years were
 (b) Transparent [157; IRS-42, NRS-115]



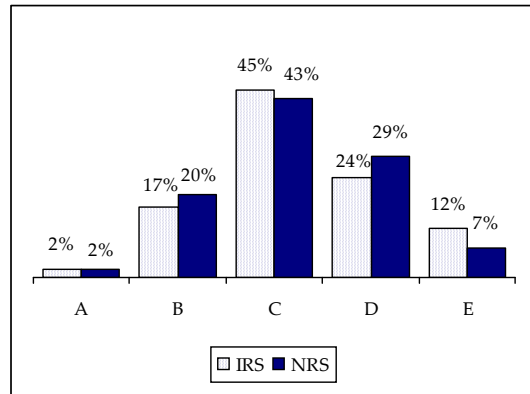
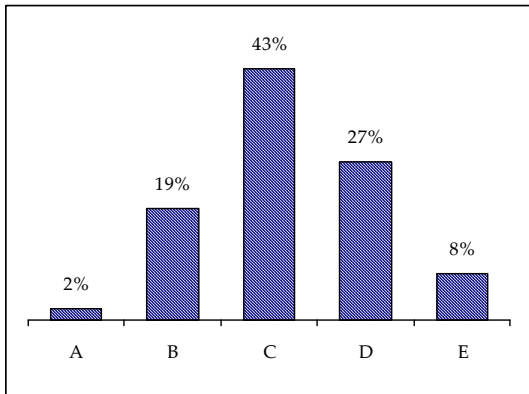
4. Decisions concerning staff downsizing in recent years were
 (c) Strategically oriented [159; IRS-43, NRS-116]



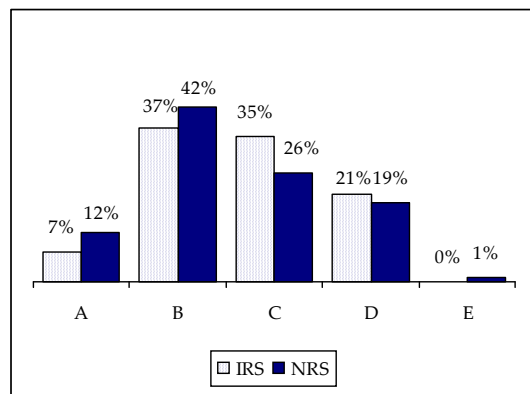
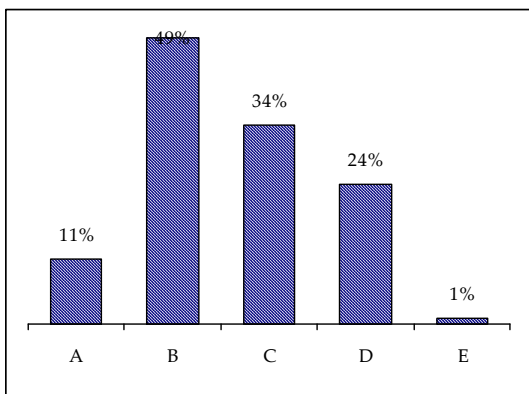
5. Staff performance appraisal at CIAT is
 (a) Systematically and fairly carried out [159; IRS-43, NRS-116]



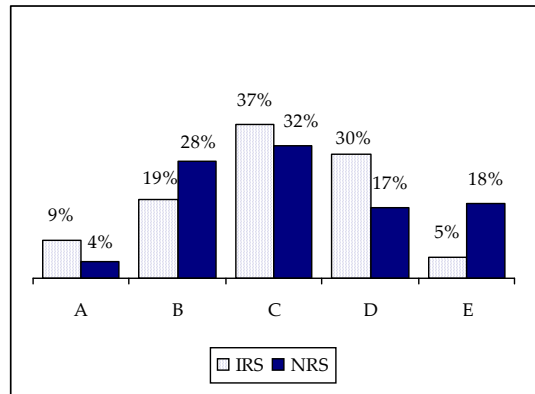
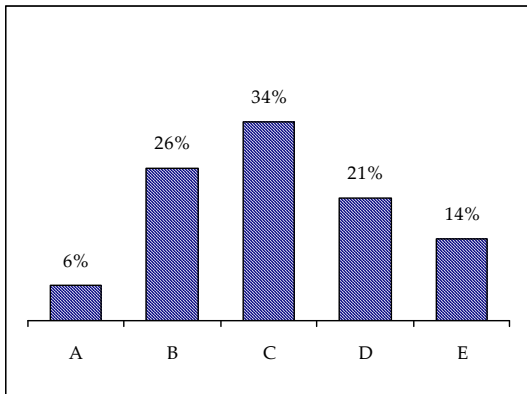
5. Staff performance appraisal at CIAT is
 (b) Linked clearly with rewards [157; IRS-42, NRS-115]



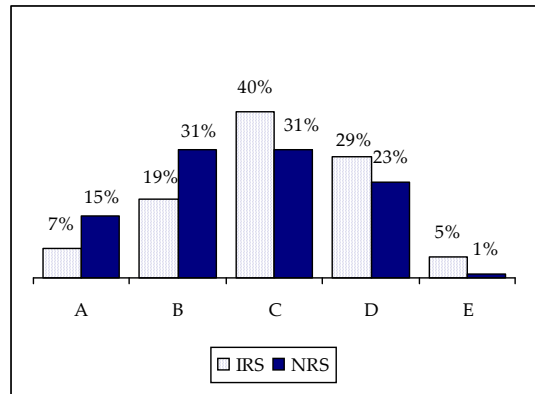
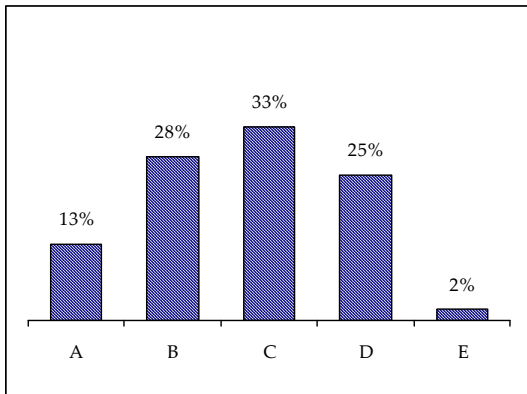
6. CIAT provides good opportunities for professional advancement [161; IRS-43, NRS-118]



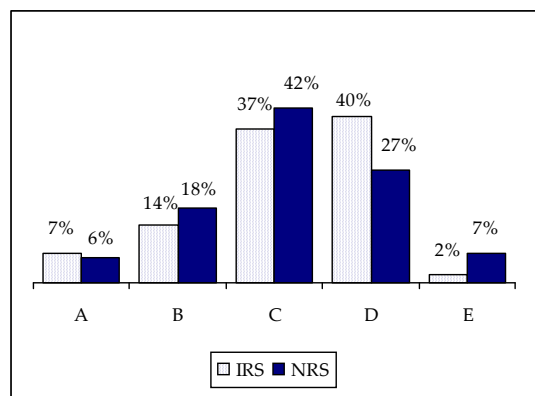
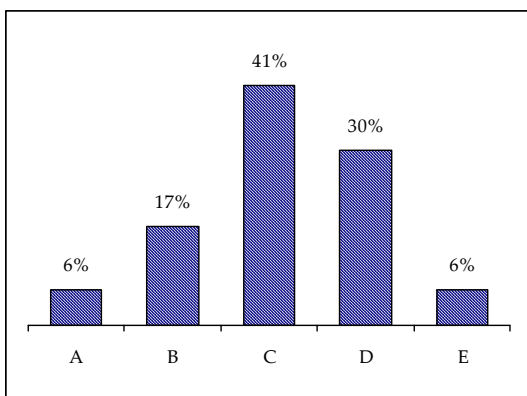
7. Relations between staff and management at CIAT are positive [160; IRS-43, NRS-117]



8. Personally, I have
(a) Good morale as a CIAT employee [159; IRS-42, NRS-117]



8. Personally, I have
(b) Confidence in CIAT leadership (DG&BOT) [162; IRS-43, NRS-119]



Annex 7

Board of Trustees Members and Committees Term 2007-2008

Name (Gender)	Country	Committee	Title (Term)	Affiliation (Expertise)
Andres Felipe Arias (M)	Colombia	-	Member (<i>Ex-officio</i>)	Ministry of Agriculture (Economics)
Emilia Boncodin (F)	Philippines	b, c	Member* (2010)	Professor National College of Public Administration, and Governance; University of Philippines (Financial Management/ Fiscal Planning)
Louise Fortmann (F)	U.S.A.	a, b, d, j	Chair Nominating/ Governance Committee** (2010)	Professor of Natural Resources Sociology Rudy Grah Chair in Forestry and Sustainable Development, UC Berkeley (Rural Sociology)
Kenneth Giller (M)	U. Kingdom	a, h	Chair Program Committee (2009)	Professor - Plant Production Systems; Department of Plant Sciences, Wageningen University (Agronomy/Soil Sciences)
David Miron (M)	U.S.A.	a, b, c, e, f, i	CGIAR Nominee, Chair Audit Committee, Chair Risk Management (2008)	President, TDM Consultants (General Management)
Ablassé Ouedraogo (M)	Burkina Faso	b, d	Member* (2010)	Consriller du Président pur l' Afrique, African Development Bank (Economist)
Oscar Rojas (M)	Colombia	a, b, d, g	Member (2010**)	Executive Director Fundación ALVARALICE (Public Health)
Armando Samper (M)	Colombia	-	CIAT Chairman Emeritus	CIAT
Maria José Sampaio (F)	Brazil	b, c, e	Member (2008)	Research, Special Advisor for Policy Affairs Genetics Resources, IP, Biotechnology and GMO Biosafety Research and Development Dept EMBRAPA (Molecular Biochemistry/ Biotechnology)
Yves Savidan (M)	France	a, b, d, f, g, i	Chairman , Chair Executive and Finance Committee** (2010)	Scientific Advisor and International Relations Officer, Life Science, Agropolis (Genetics)
Mary Scholes (F)	South Africa	a, b, c, e, f	Vice Chair (2009)	Professor, Dept of Animal, Plant & Environmental Science; University of The Witwatersrand (Plant Physiology)
Arturo Vega (M)	Colombia	b, d	Member (<i>Ex-officio</i>)	Corporación Colombiana de Investigación Agropecuaria - CORPOICA (Agronomy)
Joachim Voss (M)	Canada	a, g, h	Member (<i>Ex-officio</i>)	Director General CIAT (Anthropology)
Moisés Wasserman (M)	Colombia	b	Member (<i>Ex-officio</i>)	Rector, National University (Biochemistry)

Name (Gender)	Country	Committee	Title (Term)	Affiliation (Expertise)
Claudio Wernli (M)	Chile	b, c, d	Member** (2010)	Executive Director Millennium Science Initiative; Ministerio de Planificación y Cooperación (Agricultural Engineer)

* Appointed to the Board at the close of the May 2007 Board Session

** Ineligible for extension

Committees

- a: Executive / Finance
- b: Program
- c: Audit
- d: Nominating / Governance
- e: Risk management
- f: ExFin Sub-Committee on Compensation
- g: Ad-hoc Sub-Committee on security matters
- h: TSBF-Scientific Advisory Committee
- i: Harvest Plus
- j: PRGA Board

Annex 8 Acronyms

ACIAR	Australian Center for International Agricultural Research
AfNet	African Network for Soil Biology and Fertility
AHI	African Highland Initiative
ARI	Advanced research institute
ASARECA	Association for Strengthening Agricultural Research in Eastern and Central Africa
BOT	Board of Trustees (of CIAT)
CA	Central America
CC	Climate change
CCER	Center Commissioned External Review
CENIPALMA	Centro de Investigación en Palma de Aceite, Colombia
CGIAR	Consultative Group on International Agricultural Research
CIAT	Centro de Investigación Agrícola Tropical
CIDA	Canadian International Development Agency
CIFOR	Center for International Forestry Research, Indonesia
CIMMYT	Centro Internacional para Mejoramiento de Maiz y Trigo, Mexico
CIP	Centro Internacional de la Papa, Perú
CIRAD	Center de Coopération Internationale en Recherche Agronomique pour le Développement, France
CONDESAN	Consortio para el Desarrollo Sostenible de la Ecorregión Andina, Peru
CORPOICA	Corporación Colombiana de Investigación Agropecuaria
CRSP	Collaborative Research Support Program
DDG	Deputy Director General
DG	Director General
DFID	Department for International Development, UK
ECABREN	Eastern and Central Africa Bean Research Network
EMBRAPA	Empresa Brasileira de Pesquisa Agropecuária
EPMR	External Program and Management Review
ERI	Enabling Rural Innovation
ETSP	Extension and Training Support Project
FAO	Food and Agriculture Organization of the United Nations
FLAR	Fondo Latinoamericano y del Caribe para Arroz de Riego
GA	Gender analysis
GRU	Genetic Resources Unit (of CIAT)
ICA	Instituto Colombiano Agropecuario
ICRAF	International Center for Research in Agroforestry, Kenya
ICRISAT	International Crops Research Inst. for the Semi-Arid Tropics, India
ICTA	Instituto de Ciencia y Tecnología Agrícola, Guatemala
ICWG—CC	Inter-Center Working Group on Climate Change (of the CGIAR)
IFAD	International Fund for Agricultural Development
IFPRI	International Food Policy Research Institute, USA
IITA	International Institute of Tropical Agriculture, Nigeria
ILRI	International Livestock Research Institute, Kenya
INERA	Institut de l'Environnement et de Recherches Agricoles, Burkina Faso
INTA	Instituto Nicaragüense de Tecnología Agropecuaria
IPM	Integrated pest management
IPR	Intellectual property rights
IRD	Institut de Recherche pour le Développement, France

IRRI	International Rice Research Institute, the Philippines
IRS	Internationally Recruited Staff
ISFM	Integrated soil-fertility management
IWMI	International Water Management Institute, Sri Lanka
JEEP	Joint External Evaluation Panel
JIRCAS	Japan International Research Center for Agricultural Sciences
KARI	Kenya Agricultural Research Institute
LAC	Latin America and the Caribbean
MADR	Ministerio de Agricultura y Desarrollo Rural, Colombia
MARD	Ministry of Agriculture and Rural Development
MAS	Marker-assisted selection
M&E	Monitoring and evaluation
MIDAS	Programa Más Inversión para el Desarrollo Sostenible
MIS	Management and Information Systems Research Group
MTP	Medium-Term Plan (CIAT)
NARO	National Agricultural Research Organization, Uganda
NCAR	National Center for Atmospheric Research, USA
NGOs	Nongovernmental organizations
NRM	Natural resource management
NRS	National Recruited Staff
PABRA	Pan-Africa Bean Research Alliance
PL	Product Line
PM&E	Participatory monitoring and evaluation
PPB	Participatory plant breeding
PRGA	Participatory Research and Gender Analysis
PROFRIJOL	Programa Cooperativo Regional de Frijol para Centro América, México y el Caribe
RDC	Research for Development Challenge
R&D	Research and development
RII	Rural Innovation Institute
SADU	Smallholder Agroenterprise Development in the uplands
SDC	Swiss Agency for Development and Cooperation
SEARCA	Southeast Asia Regional Center for Graduate Study and Research in Agriculture
SLM	Sustainable Land Management
SLU	Sveriges Lantbruksuniversitet (Swedish University of Agricultural Sciences)
SP	Systemwide program (of the CGIAR)
SP-IPM	Systemwide Program on Integrated Pest Management
SP-PRGA	Systemwide Program on Participatory Research and Gender Analysis
TAC	Technical Advisory Committee (of the CGIAR)
UCR	Universidad de Costa Rica
UNA	Universidad Nacional Agraria, Nicaragua
UNDP	United Nations Development Program
UNIVALLE	Universidad del Valle, Colombia
WARDA	West Africa Rice Development Association
ZARI	Zambian Agricultural Research Institute



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