CGIAR Research Program on Agriculture for Nutrition and Health (A4NH)

Governance and Management Handbook

Prepared by the A4NH Program Management Unit
February 2018 version

Acronyms

A4NH	Agriculture for Nutrition and Health
Bioversity	Bioversity International
CIAT	International Center for Tropical Agriculture
CoA	Cluster of Activities
CCE	Country Coordination and Engagement
CRP	CGIAR Research Program
DDG	Deputy Director General
DG	Director General
FP	Flagship Program
GEE	Gender, Equity and Empowerment
FFA	Financial Framework Agreement
IAC	Independent Advisory Committee
IFPRI	International Food Policy Research Institute
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
ISC	Independent Steering Committee
IDO	Intermediate Development Outcome
LSHTM	London School of Hygiene and Tropical Medicine
MARLO	Managing Agricultural Research for Learning and Outcomes
MELIA	Monitoring, Evaluation and Impact Assessment
MEL	Monitoring, Evaluation and Learning
MoU	Memorandum of Understanding
PIA	Program Implementation Agreement
PMC	Planning and Management Committee
PMU	Program Management Unit
POWB	Plan of Work and Budget
PPA	Program Participant Agreement
RBM	Results-based Management
SLO	System Level Outcome
SRF	Strategy and Results Framework (SRF)
ToC	Theory of Change
W1/W2	The CGIAR Fund
WUR	Wageningen University and Research Center

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Links to Key Documents

These links to key documents are included all over the document and listed here for ease of reference.

A4NH Annual Budgeting/Reporting template

A4NH Annual Compliance Report for CGIAR Center Managing Partners (2016 as an example)

A4NH Branding Guidelines

A4NH Capacity Development Strategy

A4NH Communication Strategy

A4NH Country Coordination Units Terms of Reference (ToR) and Team Members

A4NH Financial Planning and Reporting Cycle

A4NH Flagship Leaders Terms of Reference (ToR) for Flagship Leaders

A4NH Flagships Management Team

A4NH Flagship Program Leaders and Affiliations

A4NH Gender Strategy

A4NH Grant Mapping Process for IFPRI led flagships (FINAL)

A4NH Grant Mapping Process for non-IFPRI led flagships (DRAFT)

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A4NH Independent Steering Committee (ISC) Member Handbook,

A4NH Managing Partners and Affiliations

A4NH Monitoring, Evaluation, and Impact Assessment (MELIA)

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A4NH Results Framework and Flagship impact pathways

A4NH Role and Key Result Areas of Planning and Management Unit (PMU)

A4NH Semi-Annual reporting template (same as budgeting template)

A4NH Summary from Equity consultation

A4NH Summary of Review of Research Management and Quality Procedures by Managing Partners

A4NH Technical Planning and Reporting Cycle in MARLO

A4NH Terms of Reference for Managing Partners

A4NH Terms of Reference for Planning and Management Committee (PMC) Members

A4NH Independent Steering Committee (ISC)

A4NH Youth Strategy

CGIAR 2018 Annual Report (AR) template – for 2017

CGIAR Decision Letter

CGIAR Plan of Work and Budget (POWB) template – for 2018

CGIAR Principles for Phase II

CGIAR Quarterly Financial Reporting (sample)

CGIAR Research Ethics Policies and Procedures (centers report to the CGIAR on intellectual assets) (2016)

CGIAR's new Strategy and Results Framework (SRF)

CGIAR's Requirements of an Independent Steering Committee for Phase II.

System Level Outcome (SLO2) on improved food and nutrition security for health

Governance and Management Handbook

Introduction

The [CGIAR Research Program (CRP) on Agriculture for Nutrition and Health (A4NH)](#) is built on the notion that agriculture can do more for improving nutrition and health. Led by the [International Food Policy Research Institute](#), A4NH is a global, multilateral collaboration of CGIAR Centers, other research institutes, and implementing agencies that work together to improve nutrition and health through agricultural research. In 2012, [CGIAR](#) launched A4NH, along with 15 other CRPs, for an initial three-year phase, followed by a two-year extension phase from 2015 to 2016. A4NH and a smaller group of CRPs are now continuing into a second six-year phase (2017-2022), guided by [CGIAR's new Strategy and Results Framework (SRF)](#).

A4NH conducts innovative research on the relationships between agriculture, nutrition, and health, and has already made significant contributions to CGIAR's knowledge, technologies, and evidence for improving nutrition and health outcomes through agriculture. A4NH has an important integrating role, as CGIAR's lens on nutrition and health, through the second [System Level Outcome (SLO2) on improved food and nutrition security for health](#). A4NH's research activities are designed to directly contribute to all aspects of SLO2, and to contribute to the other SLOs on poverty and natural resource management, as well as all priority cross-cutting issues (climate change, gender and youth, policy and institutions, and capacity development).
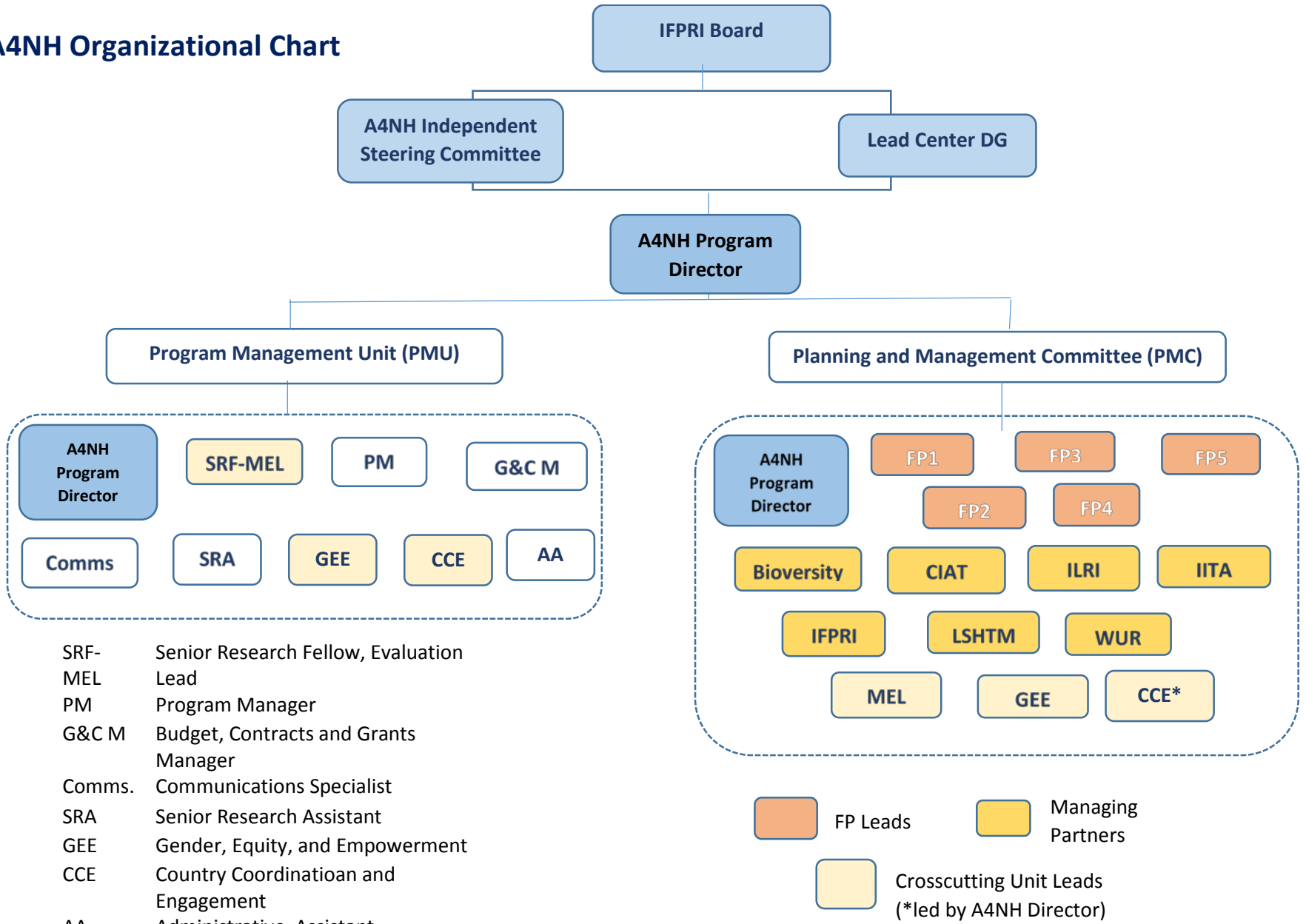
In order to accomplish its goals, A4NH believes implementation and maintenance of good governance facilitates robust decision making; improves - strategy, performance, compliance, and accountability.

The primary purpose of this handbook is to provide a reference guide for the overall A4NH governance and management arrangements for Phase II (2016-2022). **This handbook does not replace any existing requirements or mechanisms that the CGIAR and A4NH's lead center, IFPRI, have put in place for conducting day-to-day business.**

1.   Governance and Management Structure of A4NH

A4NH's governance arrangement follows the [CGIAR principles](#) for Phase II. IFPRI entered into a [Financial Framework Agreement](#) with the CGIAR System Organization to lead the second phase of the program. [The A4NH Full Proposal for Phase II](#) describes plans for the second phase, including extending program management roles to non-CGIAR partners, the CGIAR confirms the annual budget allocation and continuation of the program by a [Decision Letter](#). The following organizational chart and descriptions of each governance and management body explain the principles, practices, and expectations of the program to accomplish its goals as described in the Phase II proposal.

A4NH Organizational Chart

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                          │   IFPRI Board   │
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┌─────────────────────┐                              ┌─────────────────┐
│ A4NH Independent     │                              │  Lead Center DG │
│ Steering Committee   │                              └─────────────────┘
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                          │  A4NH Program   │
                          │    Director     │
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│ Program Management Unit (PMU)  │          │ Planning and Management Committee (PMC)     │
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PMU:
- A4NH Program Director
- SRF-MEL
- PM
- G&C M
- Comms
- SRA
- GEE
- CCE
- AA

PMC:
- A4NH Program Director
- FP1
- FP2
- FP3
- FP4
- FP5
- Bioversity
- CIAT
- ILRI
- IITA
- IFPRI
- LSHTM
- WUR
- MEL
- GEE
- CCE*

SRF-MEL	Senior Research Fellow, Evaluation Lead
PM	Program Manager
G&C M	Budget, Contracts and Grants Manager
Comms.	Communications Specialist
SRA	Senior Research Assistant
GEE	Gender, Equity, and Empowerment
CCE	Country Coordinatioan and Engagement
AA	Administrative Assistant

Legend:
- FP Leads
- Managing Partners
- Crosscutting Unit Leads (*led by A4NH Director)

1.1 Role and Function of IFPRI's Board of Trustees

IFPRI is governed by the IFPRI Board of Trustees and the management is led by the Director General. As the Lead Center, IFPRI is responsible to the CGIAR System Organization for ensuring the program is governed and managed as per the commitments made in the approved proposal and the Plan of Work and Budget (POWB) submitted annually, and conforms to both CGIAR and IFPRI policies. The IFPRI Board of Trustees reviews the plans and progress of A4NH annually. To support these oversight functions, the IFPRI Board of Trustees has delegated responsibility to the Independent Steering Committee (ISC) to undertake their mandate to review the plans and progress of A4NH. The IFPRI Board of Trustees have one member on the ISC and will receive an annual report on recommendations of the ISC and management responses from the A4NH Director.

ISC members are appointed by the IFPRI Board of Trustees from nominations by the ISC and IFPRI management as per the terms and conditions below.

1.2 Role and Function of the A4NH Independent Steering Committee (ISC)

The member composition of A4NH's ISC fits CGIAR's requirements of an Independent Steering Committee for Phase II. The ISC Chair is selected by the ISC members. The standard term for ISC members is three years, and is renewable.

The ISC meets twice in person in October/November and March. The October/November meeting focus on the ISC's formal review of A4NH's progress in the current year and plan for the next year. The March meeting is mainly to give ISC an opportunity to see how A4NH works in its focus countries interacts with partners and stakeholder in these countries.

The A4NH ISC Member Handbook, contains key information including:

Key documents:
- ISC members and affiliations
- Terms of Reference for the ISC
- Conflict of Interest Policy

1.3 Role and Function of the A4NH Planning and Management Committee (PMC)

For Phase II, A4NH proposed a larger Planning and Management Committee (PMC) and enhanced role of the A4NH Managing Partners. The Managing Partners on the PMC include the Lead Center (IFPRI) and four other CGIAR Centers [Bioversity International, International Center for Tropical Agriculture (CIAT), International Institute of Tropical Agriculture (IITA), and International Livestock Research Institute (ILRI)] represented at the Deputy Director General (DDG) or Program Director level, and two non-CGIAR institutions, Wageningen University and Research Centre (WUR) and the London School of Hygiene and Tropical Medicine (LSHTM), represented by high-level institutional representatives. The seven institutional representatives, plus five Flagship (Research) Program Leaders, the A4NH Director, and the heads of the Gender, Equity, and Empowerment (GEE) and Monitoring, Evaluation, and Learning (MEL) units, make up the PMC. The CEE is represented by the A4NH Director.

The main function of the PMC is to oversee the planning, management, implementation, monitoring, and evaluation of A4NH. These functions are then undertaken by the different members of the PMC.

The 15 members of the PMC meet in person twice per year and virtually approximately six times per year. The PMC is chaired by the A4NH Director. Detailed responsibilities, including terms of reference of the PMC and its members, can be found at the links below:

Key documents:
- PMC members and affiliations
- Terms of Reference for PMC Members

1.4 The Role and Function of the A4NH Flagship Leaders

A4NH has five Flagship Programs (FPs): 1) Food Systems for Healthier Diets, 2) Biofortification, 3) Food Safety, 4) Supporting Policies, Programs and Enabling Action through Research (SPEAR), and 5) Improving Human Health. Each FP has a leader who is accountable to the A4NH Director for developing and implementing a high-quality collaborative plan of work according to the agreed budget, as well as for ensuring the scientific quality of the FP's activities and outputs. FP Leaders serve on the A4NH PMC.

Following the recommendation of the external evaluation, in Phase II there are different expectations for FP Leaders. FP Leaders have more control over the FP budget from the CGIAR fund known as (W1/W2), and decide which bilateral grants are mapped to the FP following the process of mapping laid out for IFPRI and non-IFPRI partners given below. In this task, FP Leaders are expected to convene an FP management team, including the leader(s) of each cluster of activities (CoAs) and research leaders from Managing Partners participating in the FP.

Key documents:
- Flagship Program Leaders and Affiliations
- Terms of Reference for Flagship Leaders

1.5 *Flagship Management – Principles and Procedures*
(new section in March 2017)

Each Flagship (FP) has a management group or team, led by the FP Leader and comprising of leader(s) of each CoA and leading researchers from Managing Partners participating in the FP. The A4NH Managing Partner leading the FP ensures administrative, or programmatic, support to the FP management team. Research that is included, or mapped, to the FP by the Managing Partners must be agreed upon with the FP Leader. More specifically, the **FP Leader must approve all the grants or funding sources that make up his/her FP.**

The [Flagship Management team](#) ensures a high-quality research program as outlined in the approved A4NH Phase II proposal.
- Progress is monitored and evaluated through agreed-upon deliverables and milestones, according to the outcomes and theory of change (ToC) of the FP.
- Managing Partners contribute to FPs based on their areas of expertise and commit to working collectively, under the leadership of the FP Leader, to ensure that elements of FP research are met or exceeded. These elements include research quality, ethics, open data access, and resource mobilization.
- The FP management team coordinates research and strengthens links with the three cross-cutting units of the PMU (see below).

The FP management team meets in person at least once per year, supplemented by virtual meetings held at least quarterly. Practices may vary between FPs regarding delegation to CoA leads, frequency of meetings, and other operational practices. Among other management and operations issue, the teams:
- agree upon their annual POWB (submitted by the FP Leader);
- provide and update information in the platform designed for planning and reporting, Managing Agricultural Research for Learning and Outcome (MARLO);
- engage strategic partners;
- coordinate efforts to ensure research funding from grants and the CGIAR;
- contribute to evaluations;
- synthesize FP results; and
- report to the ISC annually on progress over the past year and plans for the subsequent year through the FP leaders.

FP management teams annually review progress and plans and make adjustment to research directions and outputs.

1.6   Role and Function of the A4NH Managing Partners

Managing Partners (listed in Section 1.3) have a critical role in A4NH, as they have the managerial and institutional capacity to coordinate research grants within the FPs and to ensure that research conforms with CGIAR policies on research quality, ethics, and intellectual property. Managing Partners appoint a senior member, such as the DDG for Research at a CGIAR Center, to represent their institution and liaise with the A4NH management and governance bodies as a member of the A4NH PMC.

The contributions of Managing Partners to A4NH are reviewed annually, including through compliance with terms and conditions of the Program Partnership Agreement (or equivalent).

Key documents:
- Managing Partners and Affiliations
- Terms of Reference for Managing Partners
- Annual compliance report for CGIAR Center Managing Partners (2016 as an example)

1.7   Program Management Unit

The A4NH Program Management Unit (PMU) consists of the Director, individual members across a range of job functions, and the leaders of the three cross-cutting units.

1.7.1   Role and Function of the A4NH Director

The A4NH Director is the leader of the CRP. The Director, supported by members of the PMU, is responsible for development and implementation of the CRP results framework, in compliance with CGIAR processes. The Director will:

- Lead the development of program and research, monitoring and evaluation, and communication strategy;
- Initiate, foster, and manage relationships with implementing organizations along the impact pathways and ensure their links with research teams;
- Identify capacity needs of and support implementing partners along the impact pathways;
- Lead and coordinate resource mobilization across the CRP;
- Engage in evidence-based advocacy on the role of agriculture in nutrition and health targeted at external audiences (partners and enablers);
- Provide a platform for coordination, integration, and synthesis of research and research results among Centers and with key partners;
- Understand and support research capacity (actual and potential) of different partners to contribute to overall research plans;
- Ensure compliance with CGIAR and A4NH policy and compliance standards as well as A4NH and donor funding and agreement requirements
- Support research leaders to coordinate FP research and improve its quality; and
- Monitor and manage PMU performance.

The Director has final authority over management decisions that do not require approval from the ISC and decides what issues require consultation with the ISC Chair or Vice-Chair, or the IFPRI Director General (DG). The A4NH Director's performance is assessed by IFPRI DG with inputs from the ISC.

1.7.2 Roles and Functions of the Program Management Unit (PMU)

The PMU members are employees of IFPRI, and include the Director, Program Manager, Budget, Contracts, and Grants Manager, Senior Research Assistant, Communications Specialist, Administrative Assistant, and the leaders of the three cross-cutting units: Country Coordination and Engagement (CCE), Gender Equity and Empowerment (GEE), and Monitoring, Evaluation and Learning (MEL). The roles and functions for these units are described in subsequent sections.

The main functions of the PMU in supporting the development of strategic directions and research oversight are as follows:

- Developing the strategic direction of A4NH through interacting with and monitoring the external environment, identifying and analyzing issues and opportunities, and summarizing and sharing this information with the ISC and PMC as appropriate;
- Ensuring the approved strategic direction is translated effectively and efficiently into A4NH strategies required by CGIAR (e.g., Gender, Capacity Development, Partnerships) and into A4NH's annual POWB;
- Overseeing the process of developing, modifying, and approving annual work plans and budgets for the Managing Partners;
- Ensuring the CGIAR Fund (W1/W2) fund is used as intended per the POWB and the planning and budgeting details of the annual contracts;
- Monitoring the implementation of A4NH's work plan and intervening proactively as needed, responding to requests for assistance in solving problems, and facilitating the exchange of information between FPs, the cross-cutting units, and other CRPs and CGIAR Centers;
- Providing annual evaluations of progress made by Managing Partners in achieving their stated work plans, summarizing the accomplishments of each FP, and preparing annual reports as required by CGIAR and other donors; and
- Requiring and ensuring that internationally recognized research standards or methods, when available and appropriate in terms of quality and cost, are applied across the program. Scientific rigor is central to the success of A4NH, and when standards do not exist, the PMU will seek advice from external experts.
- Ensure compliance with A4NH Agreement and donor funding requirements
- Review Partner written policies and procedures to ensure that they comply with CGIAR and A4NH standards

    Key documents:
    - [Program Management Unit Members](#)
    - [Role and Key Result Areas of PMU](#)

1.7.3   Cross-Cutting Research Support Units

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To improve research in A4NH, Country Coordination and Engagement (CCE), the Gender, Equity and Empowerment (GEE) and the Monitoring, Evaluation and Learning (MEL) Units, housed in the PMU (see Figure 1), provide cross-cutting research support to all A4NH FPs and help A4NH fulfill its role as an integrating CRP.

> 1.7.3.1 **Country Coordination and Engagement Unit (CCE)**: This unit supports A4NH efforts to support countries and to align with CGIAR country coordination processes. A4NH has country coordination teams in the five A4NH focus countries, each led by a Managing Partner (Bangladesh - IFPRI, Ethiopia - ILRI, India - IFPRI, Nigeria - IITA and Vietnam - CIAT). In focus countries, all or most FPs are conducting research. Each country team comprises A4NH researchers based in the country, led by either (1) a research coordinator (approximately 10 percent FTE) supported by a research analyst (100 percent FTE) or (2) a program manager (100 percent FTE). The team supports FPs and links to other cross-cutting units in A4NH. Each country team has an annual workplan and small budget, and serve as a link to the CGIAR initiative to country coordination and support to national partners
>
> Key document:
> - o [Country Coordination Units ToRs and Team Members](#)

- 1.7.3.2 **The Gender Equity and Empowerment Unit (GEE)**: This unit supports gender, youth, and equity research in flagships as well as conducting strategic research and supporting a CGIAR and partner community of practice on gender and nutrition. The Gender and Equity Coordinator of A4NH is the leader of the GEE unit, and leads the development and supports and oversees the implementation of the strategy. The GEE unit may coordinate research projects in addition to its research support functions. The unit has a small team of research analysts, post-docs, and time from senior researchers.
  Key documents:

  - o [A4NH Gender Strategy](#)

> 1.7.3.3 **The Monitoring, Evaluation and Learning Unit (MEL)**: This unit is led by a Senior Research Fellow in the PMU and is responsible for development and implementation of the [A4NH Monitoring, Evaluation, and Impact Assessment (MELIA)](#) strategy. The MEL unit supports FPs in results-based management (RBM) and learning, driven by theories of change (ToCs). The MEL unit works closely with the other integrative CRPs and the CGIAR MEL Community of Practice. In addition to the Senior Research Fellow, the unit has a research analyst, engages independent evaluators as needed, and works closely with the A4NH Program Manager.
>
> Key documents:
> - ▪ [MELIA strategy](#)

2.   Key Functions of A4NH

The formation of CRPs, as part of the CGIAR reform, is expected to add value to CGIAR research in the following ways[1]:
- ↓ enhance impact orientation,
- ↓ improve gender and equity in research,
- ↓ strengthen partnership and capacity development,
- ↓ monitor and enhance research quality, and
- ↓ improve performance management (monitoring, evaluation, and learning).

These functions are coordinated at the CRP level by the PMU and its coordinating units and supported by strategic communications and knowledge management.

2.1   Impact Orientation

One of the major objectives of the CGIAR reform was to link the research more clearly to impact. The CGIAR has a strategy and results framework (SRF 2016-30) to guide its research for the development impacts agenda. The CGIAR results framework has three System Level Outcomes (SLOs) and within these a number of Intermediate Development Outcomes (IDOs) and sub IDOs. Within the CGIAR, A4NH integrates work on SLO2 – Improved food and nutrition security for health. A4NH's contribution to the SRF is reflected in the A4NH results framework.

A4NH formally plans, monitors, and evaluates its contribution to outcomes and impacts through impact pathways and theories of change. Each Flagship has an overarching impact pathway, and nested within these are the theories of change (ToCs) that have been developed around major areas of work. The A4NH approach to ToCs (Mayne and Johnson 2015) and examples of individual ToCs can be found on the Impact page of the A4NH website. The theories of change include not only the expected outcomes and assumptions but also the status of the evidence supporting them. Assessing and building the evidence base, including through impact studies, is a central part of the research agenda. It is important to note that impact orientation includes not only a focus on intended impacts but also anticipation of potential unintended negative impacts on non-target outcomes (such as the environment or women's empowerment) or non-target populations (such as low-income consumers who could see increased exposure to unsafe food if food safety standards are inappropriately enforced.)

Theories of change are living documents expected to guide research and MEL in Phase II. ToCs are expected to play a role in designing and managing research in Flagships and to be the basis for systematic reflection and learning (see below in performance management). Flagship and CoA leaders play key roles in this process, supported by the MEL unit.

Key documents:
- ↓ A4NH results framework and Flagship impact pathways
- ↓ A4NH impact

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[1] Session Document 3a: A4NH Progress and Plans. Presented to IAC meeting, November 2013 (Note the date - only 1.5 years before this evaluation).

2.2   Improve Gender and Equity in Research

Gender and youth are cross-cutting research priorities for the CGIAR (see CGIAR website). The CGIAR has a strategy and has had several reviews of gender research at the system level and in CRPs. Beginning in 2017, a Gender Platform will be hosted by the Policies, Institutions and Markets CRP.

A4NH published a gender strategy in 2012, which was updated in 2016. The GEE unit supports the implementation of the strategy by building capacity for gender research in A4NH and across the CGIAR.

In its 2015 CRP-Commissioned External Evaluation (CCEE), A4NH was encouraged to more carefully integrate equity issues into its research. A consultation was held in November 2016 to capture external advice on priorities. A follow-up action is to systematically review current and potential equity research across A4NH and its FPs.

Key Documents:
- Gender page of A4NH website
- Gender Strategy
- Youth Strategy
- Summary from Equity consultation

2.3   Strengthen Partnership and Capacity Development

As A4NH focuses on research for development outcomes and impacts, and seeks to support the ownership and leadership of country partners in these efforts, partnership and capacity development are critical roles. In 2012, A4NH developed an initial partnership strategy which considers partnership and capacity development within the A4NH results framework and FP ToCs. A4NH has four main types of partners: research, implementing, enabling, and value chain/food system actors. This strategy also includes implementation principles and procedures for partnerships. In 2016, the partnership strategy was updated and a capacity development strategy was developed in alignment with the A4NH partnership strategy and CGIAR capacity development framework.

Key Documents:
- Partnership strategy
- Capacity Development Strategy

2.4   Monitor and Enhance Research Quality

A4NH and its FPs bring together researchers from different CGIAR centers and non-CGIAR institutions. A4NH research is organized into FPs but recognizes that research management, quality, and partnerships are primarily managed by the A4NH Managing Partners. The coordination and cooperation between FP management teams and Managing Partners is critical.

Research quality is critical to the achievement of research outputs, outcomes, and impacts within A4NH. While A4NH can support good quality standards, these processes are planned, implemented, and reported upon by the Managing Partners. For example, CGIAR Centers report annually on their management of intellectual assets, including how they make inventions, data, publications, and other intellectual assets more freely available.

In 2016, A4NH reviewed the policies and procedures for key research management, research quality, and intellectual asset provisions of its Program Partnership Agreements for each Phase II Managing Partner. In Phase II, it will continue to monitor Center policies and procedures and how they are implemented in A4NH research. Of particular importance are ethical procedures for research with human subjects, animal subjects, and for biosafety.

Key Documents:
- Summary of review of research management and quality procedures by managing partners
- Research ethics policies and procedures (centers report to the CGIAR on intellectual assets) (2016)

2.5   Improve Performance Management -Planning, Monitoring, Evaluation, and Learning

MARLO. To support results-based management (RBM) and to comply with the requirements of the CGIAR for "Interoperable Tools to Support RBM Implementation," A4NH joined with the other Integrative CRPS (ICRPs) in 2015 to develop an online tool for planning, monitoring, and reporting. These CRPs agreed on the fundamental conditions of a single, integrated online platform over the course of 2016. The system, called Managing Agricultural Research for Learning and Outcomes (MARLO), provides data and information for planning monitoring (reporting to the System Management Office of the CGIAR, the Independent Steering Committee and donors, And, with time, on progress towards the IDOs and SLOs in the CGIAR SRF. MARLO is consistent with CGIAR requirements regarding common indicators for assessing performance in research quality and relevance, and research use and effectiveness. The system is interoperable, enabling data to be accessible and usable by other CRPs and the SMO.

A4NH launched MARLO in 2017 for its first planning cycle. Administratively, MARLO organizes the A4NH portfolio into Flagship Programs, clusters of activities, projects, and funding sources. In MARLO, projects represent a collection of grants and CGIAR Fund (W1/W2) funding organized around a key output, and funding sources represent grants, including W1/W2 allocations to individual Managing Partners for specific projects. The project is a critical unit for planning, monitoring, and reporting. MARLO also collects information along the results chain from

deliverables, key outputs, outcomes, milestones, and sub-IDOs. These relationships are mapped in MARLO for each Flagship Program. FP Leaders and Managing Partners have responsibilities in MARLO for planning, monitoring, and reporting.

Key document:
- [A4NH Technical Planning and Reporting Cycle in MARLO](#)
- [CGIAR Plan of Work and Budget (POWB) template – for 2018](#)
- [CGIAR 2018 Annual Report (AR) template – for 2017](#)

2.6   Communication and Knowledge Management

Strategic communication is central to the impact of A4NH and to CGIAR. Rigorous, high-quality research and evidence must first be accessible, and then shared, discussed, adapted, and used in order to achieve the CRP's outcomes and those outlined in the CGIAR's SRF. A4NH recognizes that its diverse audiences receive information in an equally diverse way, and therefore plans to disseminate research, strategy, results, and plans need to carry across numerous forms of media.

The A4NH Communications Strategy plays a key role in meeting these needs. This strategy outlines A4NH's communications objectives, identifies target audiences and their main needs, and presents how various communications tools and elements can be used to reach those target audiences. It also provides an overview of how A4NH organizes, manages, and prioritizes its communications work.

To ensure that A4NH has strong visibility to donors, partners and clients, it and other CGIAR research programs have adopted branding guidelines for partner institutions and research teams.

Key documents:
- [Communication Strategy](#)
- [Branding Guidelines](#)

3. Financial and Administrative Policies, Procedures, and Agreements

This section addresses the administrative and financial arrangements of the CRP, in terms of contracts, policies, procedures, financial planning and reporting, risk management plans and other requirements.

The main administrative mechanisms for CGIAR and the CRPs are the Financial Framework Agreement, the Decision Letter and the Program Participant Agreement (PPA). The Financial Framework Agreement is signed between the CGIAR System Organization and the CRP Lead Center. The CGIAR System Management Office confirms continuation of the program and an estimated annual budget allocation each year by a decision letter. The CRP concurrently develops an annual PPA with all its managing partners, reflecting the expectations and the requirements of the Financial Framework Agreement and the CRP. The PPA is issued only by the CRP and signed by the Director General of the Lead Center and the equivalent position in the Managing Partners' institutions. The CRP Lead Center and its Managing Partners can use other arrangements with collaborators to establish relationships with a wider group of institutions and stakeholders. The PPA and other types of agreements are discussed below.

3.1 Agreements

3.1.1 Program Participant Agreement (PPA)

As in any agreement, the PPA establishes the roles and expectations of the parties. A4NH used the CGIAR PPA template and requirement for the CGIAR centers and a modified version of the template and requirements for non-CGIAR partners, recognizing the difference due to operational and legal arrangements of non-CGIAR partners.

The PPA has three main purposes:
1. To support compliance with the CGIAR policies and procedures which trickle down form the Financial Agreement as it relates to;
   ▪ Research quality - designed with clear objectives, methodology, reporting, and monitoring plans;
   ▪ Research ethics - following internationally-accepted norms and policies for research with human subjects, animal care, research ethics, and biosafety;
   ▪ Implementing the open access and data management, data sharing policy;
   ▪ Implementing the intellectual property, publications, communications, open access, and open data policies and procedures; and
   ▪ Implementing generally-accepted accounting principles for budgeting and reporting.

These requirements are elaborated in the PPA with links to the main CGIAR policy documents as it applies.

In addition, in the interest of establishing a process to ensure careful monitoring of compliance, A4NH has developed a compliance checklist for the major requirements mentioned in the Program Participant Agreement and summarized above. This list will help partners review their policies and procedures and adjust and take actions as needed. A4NH plans to use this checklist as a partner monitoring tool required by donors as part of the annual performance reviews.

2. To formally agree on the annual budget and results to be delivered by Managing Partners, including the final and agreed-upon annual work plan, deliverables, and budget. This process is described in Section 2 of this handbook. Any major deviation from the agreed-upon work plan must be discussed and approved by the flagship leader and the A4NH Director, and documented by an amendment.
3. To disburse funding from the Lead Center to the Managing Partners. Once the PPA is signed by both parties, the CRP will be able to transfer funds from the Lead Center to the Partners. The Lead Center does not assess overhead on the PPA payment. PPA payments are made following the receipt of funding from the CGIAR and/or other performance criteria that the CRP will develop as needed.

3.1.2   Other Agreements Types in Support of the PPA

Collaborator Contracts
Collaborator contracts are issued to non-managing partners and consultants by the CRP or Flagship Leaders/Managing Partners, through their respective institutions. Such contracts formalize partnerships with a wider group of partners and stakeholders of A4NH in the areas of research or other non-research related work (such as editing, facilitation, graphic design). Collaborator contracts mainly reflect the requirements and general provisions of the issuing institute, have clear Terms of Reference (TOR) or a Statement of Work (SOW), budget, and outputs with a timeline. The payment is disbursed by the issuing institute. This type of contract pays full overhead of the issuing institute unless there is a special arrangement.

Memorandum of Understanding (MoU)
The A4NH PMU and /or the Flagship Leaders/Managing Partners could sign a Memorandum of Understanding (MoU) with partners to strengthen relationships and initiate a joint plan of work in an area of mutual interest pertaining to the A4NH agenda. MoUs will not have financial commitments, but could be turned into collaborator agreements or other joint activities.

All the above agreements shall be in compliance with the CGIAR and A4NH contracting and partnering requirements and contain all appropriate flow-down provisions from higher level agreements.

Amendments
Any of these contracts or agreements shall be amended to capture a major shift or change in the POWB.

3.2   *Financial Planning (Budgeting) and Financial Reporting*

Budget: The CGIAR Fund known as (W1/W2) budget allocation process is intended to be transparent. A4NH uses its governance and management structures described in this handbook to allocate and monitor budgets.

Partners are expected to follow the CGIAR principles of cost allocation and reporting policies or agreed international accepted standards and principles.

The A4NH Phase II Proposal allocated notional budgets to all Flagship Programs and clusters in consultation with the Flagship Leaders and Managing Partners. These figures will be adjusted annually based on the expected/pledged income, work plan, and deliverables of the Flagship Programs. Each FP will prepare an annual portfolio budget from all sources – the three CGIAR windows W1/W2 (or W3) and bilateral grants described below.

Window 1 (W1) - funders contribute untied support to the CGIAR Fund which is then allocated by the System management office to CRPs and to Consortium activities. Final allocation comes usually at the end of the year.

Window 2 (W2) - funders provide support for specific CRPs to the lead Center through the CGIAR Fund. Fund is released as soon as received.

Window 3 (W3) - funders provide support for specific CGIAR Center projects through the CGIAR Fund. Neither the Consortium nor the System Council makes decisions about the use of Window 3 funds.

Bilateral- Funders provide support directly to centers/institutes through bilateral agreements and arrangements.

The A4NH PMC reviews, comments, and proposes a budget for the ISC's approval on a yearly basis.

Subsequent years' allocation criteria will follow the same procedure but consider performance in terms of research progress and resource mobilization. The CGIAR guidelines for the Phase II proposal suggests CRPs use progress as a trigger for allocation and payments.

Any significant deviation, defined as ten percent or more from the approved budget, or additional allocation or adjustment to the budget requires approval from the PMC/ISC and an amendment to the PPA.

3.2.1 Resource mobilization and financial planning

Flagship program team members supported by the A4NH continuously look for funding opportunities to raise bilateral and W3 grants and ensure the financial sustainability and success of the program.

Program participants are responsible for communicating funding information to the FP leaders and the A4NH Director, which then ensures proper mapping of grants to Flagships, Clusters of Activities and MARLO Projects, following the procedure laid out for IFPRI and non-IFPRI partners given below;

Throughout the year, the PMU in collaboration with the Flagship leads collects information on proposal and funded projects, compiles this information and shares with each Flagship Leader to confirm approval of mapping, once confirmed this information will also be shared with Planning

and Management Committee not less than every quarter. This would help the program to forecast budgets for subsequent years and initiate the work planning process in a timely manner.

The PMU will also share information on funding opportunities to all flagships and help in fund rising as much as possible.

Planning and Reporting process;
September/October of the current year: Program participants are required to confirm secured grants and funding amounts and any other missing information collected earlier to be entered into MARLO to be used for initial planning process of the POWB.

Key documents:
- Grant mapping process for IFPRI led flagships (FINAL)
- Grant mapping process for non-IFPRI led flagships (DRAFT)
- Budgeting/Reporting template

March of the new year: Program participants will review the earlier provide detailed budgetary information by source expense categories and MARLO project arrangement using the financial planning and reporting template of the program.

3.2.2   Financial Reporting
Quarterly Financial Report -Fifteen days after the close of each the quarter:
Program participants are required to submit a quarterly expenditures report by source of funding, due 15 days after the close of each quarter, directly to the CGIAR. The CGIAR then compiles and shares the report with each CRP. The PMU reviews and clarifies any questions and concerns directly with the Program Participant. Sample reports can be found here. Non-CGIAR Program participants need to submit this report directly to the CRP.

Semi-Annual Financial Report -August 15 of the current year
The PMU requires all Program participants to provide semi-annual financial reports showing progress towards expenditure and assessing delivery as planned. This report helps the PMU address any budgetary issues in a timely manner and forecast expenditures at year's end. The Program participants use the same template used for annual budgeting.

The Program participants adhere to the principle of capturing costs along the budget lines using the same template used for budgeting.

Annual Financial Report -February 14 of the new year
Program participants submit preliminary financial results to the CRP. The CRP consolidates and submits this information to the Lead Center.

Audited confirmation of total W1/2 expenses by CRP - March 15 of the new year:
Program participants are expected to submit audited confirmation of the W1/W2 expenses.

They are also required to share their institutes' full **audited financial statement** each year as available but not later than June 30.

Annual Financial Report - March 24 of the new year:
Program participants are required to submit final financial information for the L Series CRP report of the CGIAR by March 24 of the new year. The CRP prepares the L Series report and submit to the SMO by mid-April.

Key documents:
- Quarterly reporting (sample)
- Semi-Annual reporting template (same as budgeting template)
- Annual reporting template (same as budgeting and Semi-Annual reporting template)
- Financial planning and reporting cycle and calendar (to be updated following the CGIAR guidance)

4. Risk Management

Based on Phase I experience and Phase II expectations, three main risk classes are expected in A4NH;

1. **Partnerships;** Partnerships are both a great opportunity and a large source of risk. In Phase II, there will be more emphasis on country-level engagement, which will complement the broader CGIAR Site Integration effort. A key factor in country coordination success will be the presence of in-country A4NH team members who can work effectively with national partners and within the overall CGIAR Site Integration effort. This will require A4NH to align better with CGIAR Centers in specific countries and to manage partnership expectations through a clear plan that appropriately manages expectations and provides sufficient human and financial resources. Engagement plans for our five focus countries will be developed with partners, in the context of the finalizing the CGIAR Site Implementation plans during 2016 and early 2017. A4NH will allocate funding to hire a program manager/Research Analyst for each of the program's focus countries to help coordinate and align the efforts better.

   Several important new research partnerships have been proposed for Phase II. Wageningen UR will lead a new area of research on food systems. For agriculture and human health, there will be a new partnership with public health research institutes, coordinated by LSHTM. The new partners are high performing and create comparative advantage for A4NH in newer research areas. Beyond their research quality, Wageningen UR and LSHTM have excellent experience leading and participating in research consortia, but, as with any new partnership, considerable care will be required to clarify roles, responsibilities, and joint working relations.

2. **Funding;** From Phase I, a major risk in 2015 and 2016 was the volatility of funding. Funding from Window 3/bilateral sources was consistently obtained for more mature research areas, but this comes from considerable effort and organization. However, funds for newer research areas have been much more difficult to obtain and thus planning is more difficult. A number of actions have been put in place to increase fundraising success, most importantly improving A4NH's comparative advantage with new external partners. CGIAR funding, particularly Window 1 (W1) funding, has been extremely volatile, particularly in 2016. Despite consistently effective resource mobilization from W3 and bilateral grants and relatively consistent support from Window 2 donors in Phase I, A4NH funding has been volatile, particularly for new research areas in 2016, due to much greater cuts in W1 funding. The practice of blending W1 and W2 funding is a disincentive for donors and researchers and a major constraint to more predictable funding. We can expect this will be resolved in

3. **Operational practices and procedures**; In Phase I, the importance of aligning participating Centers to agreed objectives, outcomes, and operations was a critical challenge. More recently, A4NH has made considerable investment in documenting Center performance and key facets of participation in A4NH for such alignment discussions. Given the importance of effectively mobilizing partners to manage for results, we will engage a smaller group of partners to be actively engaged in A4NH management (managing partners).

This arrangement should strengthen partners' commitment to plan, effectively manage human and financial resources, enhance research quality and monitor, evaluate and learn more effectively together.

A4NH will develop a risk register in these areas of risk classes and monitor identified risks closely to make programmatic and financial adjustment as needed. Annually, the PMU and PMC will review risks to A4NH and update the risk register accordingly.

This document will be updated on an as-needed basis to reflect updates and changes in polices and/or new requirements of the CRP and CGIAR