

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

Governance and Management Handbook

**Prepared by the A4NH Program Management Unit
December 2019 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 & 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
ToR	Terms of Reference
W1/W2	The CGIAR Fund
WUR	Wageningen University & Research

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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 Branding guidelines](#)

[A4NH Annual Compliance Matrix update for all Managing Partners](#)

[A4NH Annual Update of Evaluation Studies \(A4NH Annual Report to CGIAR\)](#)

[A4NH Capacity Development Strategy](#)

[A4NH Commissioned Equity Review \(2017\)](#)

[A4NH Communication Strategy](#)

[A4NH Country Coordination and Engagement Unit \(CCE\)](#)

[A4NH Criteria, Process and Decision making for W1/W2 Allocations](#)

[A4NH CRP Commissioned External Evaluation \(CCEE\), \(2015/16\)](#)

[A4NH Gender Equity and Empowerment Unit \(GEE\)](#)

[A4NH Financial Planning and Reporting Guidance with Yearly Calendar](#)

[A4NH Financial Planning and Reporting Template](#)

[A4NH Flagship \(Research\) Leaders,](#)

[A4NH Flagship Management Team](#)

[A4NH Flagship Program Leaders and Affiliations](#)

[A4NH Flagships](#)

[A4NH Food systems consultation report](#)

[A4NH Food systems work with other CRPs](#)

[A4NH Full Proposal for Phase II](#)

[A4NH Gender Strategy](#)

[A4NH Grant Mapping Criteria and Process for Justification for Fit Decision Making](#)

[A4NH Impact page](#)

[A4NH Independent Steering Committee \(ISC\) Member Handbook](#)

[A4NH Independent Steering Committee \(ISC\) members and affiliations](#)

[A4NH Managing Partners and Affiliations](#)

[A4NH Managing Partners Budget and Financial Reports](#)

[A4NH MELIA Strategy](#)

[A4NH Memorandum of Understandings \(MoUs\)](#)

[A4NH Monitoring, Evaluation, Learning and Impact Assessment \(MELIA\) strategy](#)

[A4NH Outcome Impact Case Report Template](#)

[A4NH Partnership Strategy](#)

[A4NH Phase II Proposal Budget and Narratives](#)

[A4NH Planning and Management Committee \(PMC\) members and affiliations](#)

[A4NH Principles for Allocating Phase I carryover](#)

[A4NH Process for formal review of allocations post-2019](#)

[A4NH Program Management Unit Members](#)

[A4NH Program Structure](#)

[A4NH Proposal mapping process for IFPRI led flagships](#)

[A4NH Results Framework and Flagship Impact Pathways](#)

[A4NH Results-Based Management – Phase II Proposal](#)

[A4NH Role and Key Result Areas of PMU](#)
[A4NH Sample PPA Review Memo](#)
[A4NH Semi-Annual Reporting Template \(same as budgeting template\)](#)
[A4NH Strategic PPA template](#)
[A4NH Summary from equity consultation](#)
[A4NH Summary of Compliance Review of Research Management and Quality Procedures by Managing Partners \(2016\)](#)
[A4NH Systems Council approved Phase II Budget](#)
[A4NH Technical Planning and Reporting Cycle in MARLO](#)
[A4NH Terms of Reference for Flagship Leaders](#)
[A4NH Terms of Reference for Managing Partners](#)
[A4NH Terms of Reference for PMC Members](#)
[A4NH Terms of Reference for the ISC](#)
[A4NH Theories of Change](#)
[A4NH Youth Strategy](#)
[A4NH's QR4D Reference document](#)
[CGIAR](#)
[CGIAR 2018 Annual Report \(AR\) Template](#)
[CGIAR 2019 Plan of Work and Budget \(POWB\) Template](#)
[CGIAR Decisions Letter](#)
[CGIAR Financial Frame Work Agreement](#)
[CGIAR FINPLAN](#)
[CGIAR Performance Management Standards](#)
[CGIAR principles of Governance Arrangement](#)
[CGIAR Program Participant Agreements \(PPA\) Templates](#)
[CGIAR Research Ethics Policies and Procedures \(Centers report to CGIAR on Intellectual Assets\) \(2017\)](#)
[CGIAR Quality of Research for Development \(QR4D\) framework](#)
[CGIAR's New Strategy and Results Framework \(SRF\)](#)
[CGIAR's Requirements of an ISC for Phase II](#)
[IFPRI Board of Trustees,](#)
[IFPRI's Conflict of Interest Policy](#)
[International Food Policy Research Institute \(IFPRI\)](#)

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 \(IFPRI\)](#), A4NH is a global, multilateral collaboration of CGIAR Centers, other research institutions, 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 in a second six-year [phase \(2017-2022\)](#)¹, 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 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 facilitate robust decision making, improving 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 (2017-2022). **This handbook does not replace any existing requirements or mechanisms that CGIAR and A4NH's lead center, IFPRI, have put in place for conducting day-to-day business.**

This document will be updated yearly to reflect updates and changes in policies and or new requirements of the CRP and CGIAR.

¹ The A4NH Full Proposal for Phase II was written for a six-year period, which CGIAR has reduced to five years. Although Phase II will end in 2021, the dates for Phase II referenced throughout this handbook have not been adjusted.

1. A4NH'S VALUE ADDITION

A4NH is one multi-institutional research program of 12 CGIAR Research Programs (CRPs) in the CGIAR Research Portfolio for 2017-2022. [The A4NH Full Proposal for Phase II](#) describes the approved research plans and budget for this portfolio period. A4NH has seven Managing Partners, including IFPRI as the Lead Center, plus Bioversity International, the International Center for Tropical Agriculture (CIAT), the International Institute of Tropical Agriculture (IITA), the International Livestock Research Institute (ILRI), the London School of Hygiene & Tropical Medicine (LSHTM), and Wageningen University & Research (WUR).

The A4NH budget is made up the three CGIAR windows, as well as bilateral grants. Through Window 1 (W1), funders contribute untied support to the CGIAR Fund, which is then allocated by the System Management Office to CRPs. Through Window 2 (W2), funders provide support to the Lead Center of specific CRPs through the CGIAR Fund. Through Window 3 (W3), funders provide support for specific CGIAR Center projects through the CGIAR Fund. Funders provide support directly to Centers/institutes through bilateral agreements and arrangements. These Managing Partners (MPs) and funds support A4NH's 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. The Country Coordination and Engagement (CCE), Gender, Equity and Empowerment (GEE) and Monitoring, Evaluation and Learning (MEL) units, housed in the Program Management Unit (PMU), provide cross-cutting research support to all A4NH FPs and help A4NH fulfill its role as an integrating (versus agri-food system) CRP. A4NH's contribution to the SRF is reflected in the [A4NH results framework](#).

1.1 Impact Orientation

A4NH formally plans, monitors, and evaluates its contribution to outcomes and impacts through impact pathways and theories of change (ToCs). Each FP has an overarching impact pathway, and nested within these are the 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 ToCs 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 monitoring, learning, and evaluation in Phase II. ToCs are expected to play a role in designing and managing research in FPs and to be the basis for systematic reflection and learning (see below in Performance Management). Flagship management teams play key roles in this process, supported by the MEL unit.





Key documents:

- ✦ [A4NH results framework and flagship impact pathways](#)
- ✦ [A4NH Impact](#)
- ✦ [A4NH Theories of Change](#)

1.2 Gender and Equity in Research

Gender and youth are cross-cutting research priorities for CGIAR (see [CGIAR website](#)). CGIAR has a strategy and has had several reviews of gender research at the system level and in CRPs. 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 CGIAR. In its 2015 CRP-Commissioned External Evaluation (CCEE), A4NH was encouraged to more carefully integrate equity issues into its research. [An equity review was commissioned in 2017](#) and follow-up consultations with stakeholders are shaping new equity research across A4NH FPs.

Key Documents:

-  [Gender page of A4NH website](#)
-  [Gender Strategy](#)
-  [Youth Strategy](#)
-  [Summary from equity consultation](#)

1.3 Strengthening Partnerships 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](#)

1.4 Communications 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 CGIAR's SRF. A4NH recognizes that its diverse audiences receive information in an equally diverse way, and therefore disseminates research, strategy, results, and plans 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 CRPs have adopted branding guidelines for partner institutions and research teams.

Key documents:

-  [Communication Strategy](#)
-  [Website and communication products](#)
-  [Branding guidelines](#)



1.5 A4NH Collaboration in the CGIAR Research Portfolio

A4NH is one of four Integrating CRPs. It works with other with the other Integrating CRPs and with the eight major Agri-food System CRPs to contribute to the CGIAR SLOs and the United Nations' Sustainable Development Goals (SDGs). While A4NH has its own set of research questions, impact pathways, and outcome targets against which we must report progress, in most cases we plan and implement research in close collaboration with other CRPs. In addition to joint research, A4NH has coordination and support functions for CGIAR for nutrition and health outcomes, including context setting, synthesis, engagement in specific policy processes (convening), and supporting networking and mutual learning through communities of practice (CoP) and other learning platforms. A4NH also works with other CGIAR entities in focus countries.

As outlined in the proposal, a key effort of A4NH in the CGIAR integration is to coordinate the food systems approach through the Food Systems for Healthier Diets FP. As an example, of this role, A4NH convened CGIAR Centers and CRPs to map CGIAR research in a food systems framework and proposed collaboration to develop a food system narrative and activities.

A4NH has a special role in connecting CGIAR centers, CRPs, and researchers to the global, regional, and national nutrition and health communities it partners with.

Key documents:

-  [Food systems work with other CRPs](#)
-  [Food systems consultation report](#)

2. 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. CGIAR confirms the annual budget allocation and continuation of the program by a [Decisions Letter](#). The following organizational chart (**Figure 1**) and descriptions of each governance and management body explain the principles, practices, and expectations of the CRP to accomplish its goals as described in the Phase II proposal.

2.1 Role and Function of IFPRI's Board of Trustees

As A4NH's 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 annually submitted Plan of Work and Budget (POWB) and conforms to both CGIAR and IFPRI policies. IFPRI is governed by the [IFPRI Board of Trustees](#), and the management is led by the Director General (DG). 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 has one member on the ISC and receives 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 current ISC with inputs from the A4NH Planning and Management Committee (PMC) as per the terms and conditions below.

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

While the governance responsibility for A4NH rests with the IFPRI Board of Trustees, the ISC has been established to provide independent and systematic recommendations to the IFPRI Board of Trustees on the scientific and technical issues in A4NH, such as strategic direction and priorities, annual performance, future plans, and budgets. Detailed responsibilities, including the terms of reference (TOR) of the ISC and its members can be found in the [A4NH ISC Member Handbook](#).

The member composition of A4NH's ISC fits [CGIAR's requirements of an ISC for Phase II](#). Members serve for a three-year term, beginning in 2017 and renewable once at the recommendation of the current members of the ISC. The ISC Chair is selected by the ISC members. The ISC has one formal in-person meeting each year, usually held in October or November. This meeting focuses on the ISC's formal review of A4NH's progress in the current year and plans for the next year. A second in-person meeting of the ISC may be held each year in an A4NH focus country linked to the bi-annual A4NH PMC meeting, usually held in March. This second meeting is mainly to give the ISC an opportunity to see how A4NH works in its focus countries and interacts with its partners and stakeholders in these countries.

Key documents:




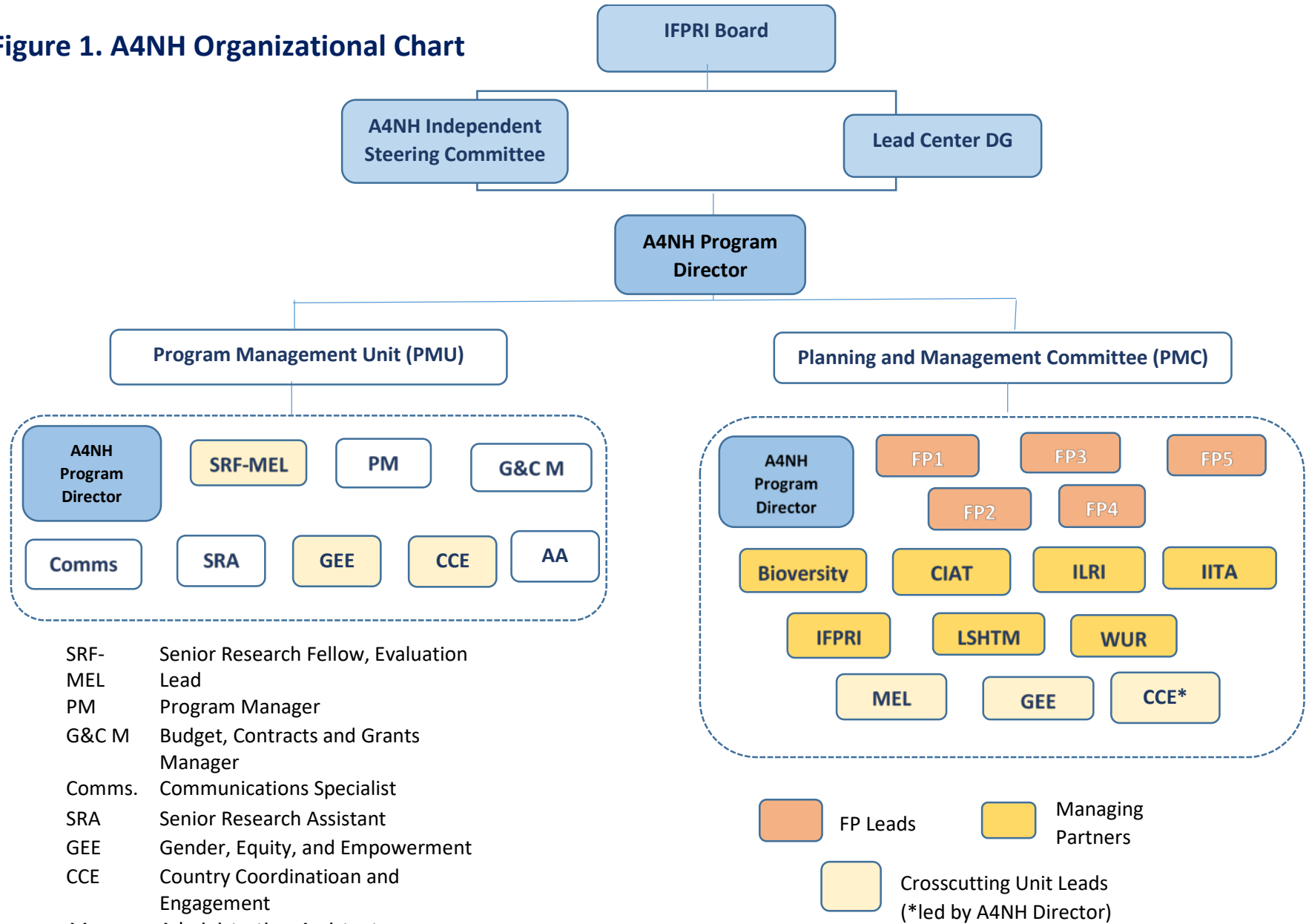
-  [ISC members and affiliations](#)
-  [Terms of Reference for the ISC](#)
-  [Conflict of Interest Policy](#)

Figure 1. A4NH Organizational Chart



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

For Phase II, A4NH proposed a larger [PMC](#) and an enhanced role of the A4NH MPs. The MPs on the PMC include the [Lead Center \(IFPRI\)](#) and four other CGIAR Centers ([Bioversity International](#), [CIAT](#), [IITA](#), and [ILR](#)), represented at the Deputy Director General (DDG) or Program Director level, and two non-CGIAR institutions, [WUR](#) and [LSHTM](#), represented by high-level institutional representatives. The seven institutional representatives, plus five [FP \(Research\) Leaders](#), the A4NH Director, and the heads of the GEE and MEL units, make up the PMC. The CCE unit 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.

Key documents:

- ✚ [PMC members and affiliations](#)
- ✚ [Terms of Reference for PMC Members](#)

2.4 Role and Function of the A4NH Flagship Leaders and the Flagship Management Teams

[A4NH has five FPs](#): 1) Food Systems for Healthier Diets, 2) Biofortification, 3) Food Safety, 4) 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 A4NH introduced new expectations for how FP Leaders manage the FPs. Each FP has a management group or team, led by the FP Leader and comprising of leader(s) of each Cluster of Activity (CoA) and research leaders from MPs participating in the FP. The [FP management team](#) ensures the execution of a high-quality research program as outlined in the approved A4NH Phase II proposal. The A4NH MP employing the FP Leader ensures administrative, or programmatic, support to the FP management team. Research that is included, or mapped, to the FP by the MP must be agreed upon with the FP Leader. More specifically, the **FP Leader must approve all the grants, or funding sources, that are mapped to his/her FP.**

- Progress is monitored and evaluated through agreed-upon deliverables and milestones, according to the outcomes and ToC of the FP. Progress and plans are reviewed annually and necessary adjustments are made to the research direction and outputs.
- MP 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.

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 operational issues, the teams:

- provide input to the annual POWB (submitted by the FP Leader);
- provide input to the Annual Report to CGIAR (submitted by the FP Leader);
- provide and update information in Managing Agricultural Research for Learning and Outcomes (MARLO), the online platform used for planning and reporting;
- engage strategic partners;
- coordinate efforts to ensure research funding from grants and 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 Leader).

Key documents:

- ✚ [Flagship Program Leaders and Affiliations](#)
- ✚ [Terms of Reference for Flagship Leaders](#)

2.5 Role and Function of the A4NH Managing Partners (MPs)

MPs 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. MPs appoint a senior member, such as the DDG for Research, to represent their institution and liaise with the A4NH management and governance bodies as a member of the A4NH PMC.

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

Key documents:

- ✚ [Managing Partners and Affiliations](#)
- ✚ [Terms of Reference for Managing Partners](#)
- ✚ [Annual compliance matrix update for all Managing Partners](#)

2.6 Role and Function of the Program Management Unit (PMU)

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

2.6.1 Role and Function of the A4NH Director

The A4NH Director leads the CRP. The Director, supported by members of the PMU, is responsible for the 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 the 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 DG. The Director's performance is assessed by IFPRI DG with inputs from the ISC.

2.6.2 Role and Function of the Program Management Unit (PMU)

The PMU members are employees of IFPRI, and include the Director; Program Manager; Budget, Contracts, and Budget, Contracts and Grants Manager; Research Analyst; Communications Specialist; Administrative Assistant; and the leaders of the three cross-cutting units. 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 MPs;
- Ensuring the CGIAR Fund (W1/W2) 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 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 MPs in achieving their stated work plans, summarizing the accomplishments of each FP, and preparing annual reports as required by CGIAR and other donors;

- 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.);
- Ensuring compliance with A4NH agreement and donor funding requirements; and
- Reviewing MPs’ written policies and procedures to ensure they comply with CGIAR and A4NH standards.

Key documents:

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

2.6.3 Role and Function of the Cross-Cutting Research Support Units

2.6.3.1 **Country Coordination and Engagement Unit (CCE)**: This unit supports A4NH efforts to support countries and align with CGIAR country coordination processes. A4NH has country coordination teams in the five A4NH focus countries, each led by a MP (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 (a) a research coordinator approximately 10 percent Full Time Equivalent (FTE) supported by a research analyst (100 percent FTE) or (b) 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 work plan and a small budget and serves as a link to the CGIAR initiative on country coordination and support to national partners.

Key document:

- ✚ [Country Coordination Units ToRs and Team Members](#)

2.6.3.2 **Gender Equity and Empowerment Unit (GEE)**: This unit supports gender, youth, and equity research in FPs, conducts and coordinates strategic research, and supports a CGIAR and partner community of practice on gender and nutrition research. The GEE Coordinator of A4NH is the leader of the GEE unit and leads the development and supports and oversees the implementation of the strategy. The unit has a small team of research analysts, post-docs, and time from senior researchers.

Key document:

- ✚ [A4NH Gender Strategy](#)

2.6.3.3 **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, Learning and Impact Assessment (MELIA)** strategy. The MEL unit supports FPs in results-based management (RBM) and learning, driven by ToCs. The MEL unit works closely with the other integrating 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 document:

- ✚ [MELIA Strategy](#)



3. A4NH'S RESEARCH POLICIES AND PROCEDURES

3.1 A4NH Research Portfolio Management processes

The A4NH research portfolio is proposed on the basis of CGIAR guidelines. The A4NH Director, supported by the FP Leaders, MPs, and the PMU, led and coordinated the proposal development. Each MP agreed to take on roles and responsibilities in the A4NH research portfolio and to bring in key researchers, other management contributions, appropriate grant funding, and different partnerships. The A4NH ISC, PMC, and Lead Center reviewed and agreed on the proposed plan that was then submitted to the CGIAR System Office by the Lead Center. After a review by the CGIAR System Office, the System Council approved the plan and recommended funding.

For the current research period, the A4NH portfolio is organized administratively into five FPs; three CoAs per FP; projects; and funding sources. In A4NH language, *projects* represent a collection of grants and W1/W2 funding organized around a key output. In A4NH language, *funding sources* represent W1/W2 allocations to individual MPs for specific projects as well as W3 and bilateral grants that the MPs, in agreement with the FP Leader and the A4NH Director, map or include programmatically and financially in the A4NH portfolio. The decision-making process and criteria for the allocation of funding from the CGIAR Fund (so called W1/W2) and the mapping of W3 and bilateral grants is described in more detail in Section 4 on Financial and Administrative Policies, Procedures, and Agreements. For the current research period, the FPs, CoAs, and projects are fixed. The funding sources themselves and their amounts allocated to those units may change annually, as described in more detail in Section 4.

Key Documents:

-  [A4NH Program Structure](#)
-  [Flagship information](#)

3.2 Planning, Monitoring, and Reporting

A4NH planning, monitoring, and reporting is aligned to multi-year and annual cycles as decided by the CGIAR System Board and Office. In the A4NH Phase II proposal (2017-2022), overall six-year plans with monitoring and reporting were proposed based on CGIAR proposal guidelines. Within the multi-year cycle, annual planning, monitoring, and reporting takes place.

There are three components of A4NH planning, monitoring, and reporting: A4NH's annual POWB, the Program Participant's annual work plan, and A4NH's Annual Report to CGIAR. A4NH uses an online platform called MARLO to support the development of these three components. MARLO is a password-protected online tool containing the details of the A4NH portfolio and is used by the CRP and the CGIAR System to support planning, monitoring, reporting, and evaluation. The Managing Partners provide information in MARLO, largely through their FP Leader(s), in accordance with information required by the CGIAR System as described in their official planning and reporting templates for the CRPs.

A4NH develops the POWB and the Annual Report to the CGIAR System following the latest CGIAR templates. New annual reporting elements in the CGIAR template that were introduced in Phase II include contributions to CGIAR SRF targets, status and evidence of achievement of annual milestones, and progress on policies and innovations that are accompanied at later stages by outcome-impact case reports. These A4NH annual results, plus peer-reviewed publications and other results reporting indicators, are combined with results from other CRPs

and CGIAR platforms to a dashboard of standard performance indicators reported annually by CGIAR in their annual performance report.

Neither the POWB nor the Annual Report contain details about A4NH's deliverables. *Deliverables* are individual, specific products which result from research in a given year and are relevant to the achievement of outcomes. They are tangible and time-bound. Deliverables are mapped to funding sources (and vice versa) so the PMU can see what parts of the MP's annual work plan is using W1/W2 funding sources, W3/bilateral funding sources, Center's own funds, or any combination thereof. The MP's list of deliverables make up their work plan in their relevant FP and/or cross-cutting unit. The A4NH work plan is not designed to comprehensively capture all the work planned to be completed in a year but focuses on significant research products that clearly contribute to A4NH's key outputs and outcomes.

In addition, all FPs and cross-cutting units present a summary of the current year performance and plans for the next year to the ISC in its October/November meeting. The ISC provides recommendations that are integrated into the POWB submitted to the CGIAR in January of the following year.

Key documents:

- ✦ [A4NH Technical Planning and Reporting Cycle in MARLO](#)
- ✦ [CGIAR 2018 Annual Report \(AR\) Template](#)
- ✦ [CGIAR 2019 Plan of Work and Budget \(POWB\) Template](#)
- ✦ [Outcome Impact Case Report Template](#)

3.3 Research Quality and Performance Assessment

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 MPs. The coordination and cooperation between FP management teams and MPs 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 MPs. 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 the PPA for each Phase II MP. In Phase II, it will continue to monitor MPs' policies and procedures through the annual updating of a compliance matrix and also monitor how these are implemented in A4NH research.

The CGIAR Independent Science and Partnership (now Development) Council (ISPC) developed a Quality of Research for Development (QR4D) [framework](#). The QR4D framework was adopted by the CGIAR System Council in November 2018 and will be implemented in 2019. A4NH has developed a document that includes a matrix of QR4D roles and responsibilities for the four main QR4D categories (relevance, effectiveness, legitimacy, and credibility). Beyond results reporting, in 2019, the CGIAR introduced Performance Management Standards, a set of management principles and practices to be monitored (officially) in 2020. The responsibilities of key A4NH actors – Flagship Leaders, Managing Partners, Planning and Management Committee, Program

Management Unit/Director – in regard to QR4D and performance are described in the key documents below and also included in their TORs.

Key Documents:

- ✦ [A4NH's QR4D Reference document](#)
- ✦ [CGIAR Quality of Research for Development \(QR4D\) framework](#)
- ✦ [CGIAR PPA Templates](#)
- ✦ [Compliance Matrix of Policies and Procedures of the PPA](#)
- ✦ [Research Ethics Policies and Procedures \(Centers report to CGIAR on Intellectual Assets\) \(2017\)](#)
- ✦ [Summary of Compliance Review of Research Management and Quality Procedures by Managing Partners \(2016\)](#)
- ✦ [CGIAR Performance Management Standards](#)

3.4 Evaluation and Learning

As part of its medium- and longer-term learning process, A4NH develops a plan for research and research management evaluations. Evaluations are coordinated by the MEL unit of A4NH. The ISC reviews and comments on the evaluation plan annually, if there have been changes. Evaluations are of different types, ranging from ex-ante assessment, through process evaluations, evaluation studies of FPs or other components of A4NH, adoption studies, and ex-post impact assessments. Background information and a list of planned evaluations for Phase II can be found in Annex 3.5 of the A4NH Phase II proposal. On-going and planned evaluation studies are updated annually in the A4NH Annual Report to CGIAR.

Learning combines information on impact pathways and theories of change; planning, monitoring, and reporting; research quality and performance assessments; and evaluations. At the FP level, the FP management team reviews lessons at least annually during the FP management team planning meeting. For cross-cutting units managed by the PMU, both the annual PMU retreat and the PMC semi-annual meeting in March or April reflect on annual lessons. Prior to Phase II, cumulative lessons were assessed in the A4NH CCEE and incorporated into the A4NH Phase II proposal development process. For subsequent phases, the A4NH PMC and ISC will consider summary evaluations that can aid learning in developing subsequent proposals.

Key Documents:

- ✦ [Results-Based Management – Phase II Proposal](#)
- ✦ [Annual Update of Evaluation Studies \(A4NH Annual Report to CGIAR\)](#)
- ✦ [A4NH CRP Commissioned External Evaluation \(CCEE\), \(2015/16\)](#)

3. FINANCIAL AND ADMINISTRATIVE POLICIES, PROCEDURES, AND ARRANGEMENTS

A4NH financial policies, procedures, and agreements relate to the three CGIAR windows and bilateral grants. Through W1, funders contribute untied support to the CGIAR Fund, which is then allocated by the System Management Office to CRPs and to Consortium activities. Through W2, funders provide support to the Lead Center of specific CRPs through the CGIAR Fund. Through W3, funders provide support for specific CGIAR Center projects through the CGIAR Fund. Through bilateral grants, funders provide support directly to Centers/institutes through bilateral agreements and arrangements.

The main administrative mechanisms for CGIAR and the CRPs are the [Financial Framework Agreement](#), the annual [Decision Letters](#), the Financing Plan of CGIAR (FINPLAN), the [PPA](#), and annual PPA amendments. The Financial Framework Agreement is signed between the CGIAR System Organization and the CRP Lead Center. The CGIAR System Management Office confirms the continuation of the program and an estimated annual budget allocation (W1/W2) in a decision letter followed by the FINPLAN. The CRP concurrently develops an annual PPA with all its MPs, reflecting the expectations and the requirements of the Financial Framework Agreement and the Program. The PPA is issued only by the CRP and signed by the DG of the Lead Center and the equivalent position in the MP institutions. The CRP Lead Center and its MPs can use other arrangements with partners and collaborators to establish relationships with a wider group of institutions, strategic partners, and stakeholders.

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

4.1 Agreements

4.1.1 Program Participant Agreement (PPA)

As in any agreement, the PPA establishes the roles and expectations of the parties. A4NH followed the CGIAR PPA template and requirement for CGIAR Centers. A modified version of the template and requirements was developed for non-CGIAR partners, recognizing differences in operational and legal arrangements. In 2017 (beginning of Phase II), a multi-year PPA (2017-2022) was signed with each MP. This multi-year PPA then notes that annual amendments will be made, as work plans and funding allocations are developed.

The PPA has three main purposes:

1. To support compliance with CGIAR policies and procedures which cascade down from the Financial Framework Agreement and other CGIAR and A4NH policies, and include issues such as:
 - Research quality;
 - Research ethics - following internationally-accepted norms and policies for research with human subjects, animal care, research ethics, and biosafety;
 - Data sharing;
 - Intellectual assets;
 - Communications; and
 - Finances - implementing generally-accepted accounting principles for budgeting and reporting.
2. To formally agree on the annual budget and workplan (or list of deliverables) to be delivered by MPs, within different FPs and cross-cutting units.

3. To disburse funding from the Lead Center to the MPs. Once the PPA is signed by both parties, the CRP can transfer funds from the Lead Center to the MPs. In general, funds are transferred in two to three tranches per annum. The Lead Center does not assess overhead on the PPA payment. PPA payments are made following the receipt of funding from CGIAR.

In addition, the PPA formally executes the planning and helps monitor the deliverables. It is also used to review the annual performance of partners as part of the process to finalize and formally close out the annual contract cycle. As part of this annual review, the PMU prepares a memo for each MP, which includes a review of performance (based on commitments in the PPA) and compliance with the requirements of CGIAR and the CRP. The PMU asks the MP to complete and/or update the [compliance checklist](#) for the major requirements mentioned in the PPA. This helps partners review their policies and procedures and adjust and take actions as needed. Main issues in the memo are discussed with representatives from the MP institution. The memo plus notes from this discussion are documented by the PMU and archived on the A4NH TeamSpace.

4.1.2 Other Agreement Types in Support of the PPA

Strategic partner agreements

In an effort to bring in more CGIAR Centers to participate in A4NH at project (versus program) level, the CRP uses a strategic partner agreement which has the same structure as the PPA, except the A4NH PMU does not directly coordinate or monitor annual workplans. Instead, a MP coordinates with the strategic partner and assumes responsibility for planning and reporting the relevant deliverables in its annual workplan for the relevant flagship or cross-cutting unit.

Collaborator Contracts

Collaborator contracts are issued to non-MPs and consultants by the A4NH PMU, MPs, or FP Leaders through their respective institution. 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, or graphic design). Collaborator contracts mainly reflect the requirements and general provisions of the issuing institute, have clear TORs 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, MPs, or FP Leaders, through their respective institution, can 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 can provide the basis for more detailed collaborator agreements or other joint arrangements.

Amendments

Any of these contracts or agreements shall be amended to capture any major shifts or changes. In addition to the annual PPA amendment that renews the agreement with the MPs, any major deviation must be discussed and approved by the FP Leader and the A4NH Director and should be documented by an amendment.

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

Key Documents

-  [A4NH MoUs](#)
-  [Financial Frame Work Agreement](#)
-  [PPA template](#)
-  [Sample PPA Review Memo](#)
-  [Compliance Matrix template](#)
-  [Strategic PPA template](#)

4.2 W1/W2 Budget Allocation

Background

As part of the Phase II proposal process, the A4NH Director, in consultation with FP Leaders and MPs, developed a budget (2017-2022) for two scenarios: a base budget and an uplift budget. The FP's CGIAR Fund budget (W1/W2) was guided by feedback from ISPC on an initial budget submitted in a pre-proposal. The ISPC provided advice on FP budgets and what activities within FPs were suitable for W1/W2 funding. Based on the proposed allocation to the FP, each MP developed a detailed budget for each FP to which they would contribute in consultation with the PMU. A total of 14 budgets, by MP and FP, were submitted with the Phase II proposal (Table 1). Summary tables are found [here](#). Due to issues of confidentiality, detailed budget files can only be provided by the PMU upon request.

In addition, A4NH developed a budget for management and support costs for the PMU and the three cross-cutting units. Approximately US\$300,000 was allocated to the PMU to respond to emerging opportunities and cross-cutting FP collaborations with other CGIAR Centers or local and international partners. Some initiatives supported by this fund to date can be found [here](#).

The Phase II proposal and associated [budgets were approved by the CGIAR System Council](#), with slight reductions recommended to three FPs (FP1, FP4, and FP5); the MP budgets in those FPs were adjusted accordingly. CGIAR did not require a resubmission of the adjusted budget; these changes were reflected in the yearly allocation table provided below.

Key Documents:





-  [Phase II Proposal Budget and Narratives](#)
-  [Systems Council approved Phase II Budget](#)
-  [CGIAR FINPLAN](#)
-  PMU-supported collaborations [here](#)

Table 1. W1/W2 Budgets Submitted with the Phase II Proposal, by Flagship and Managing Partner

Flagships	Bioversity	CIAT	IFPRI	IITA	ILRI	LSTHM	WUR
FP1: Food Systems for Healthier Diets	X	X	X	X			X
FP2: Biofortification			X				
FP3: Food Safety			X	X	X		
FP4: Supporting Policies, Programs, and Enabling Acton through Research	X		X				
FP5: Improving Human Health				X	X	X	
Management and Support Costs			X				

Decisionmaking, Criteria and Process

The annual allocation of W1/W2 to MPs for their work in FPs and cross-cutting units is decided by the A4NH Director in consultation with other management and governance bodies. Each year, the A4NH Director presents the annual budget to the PMC for review before it is revised and submitted to the ISC for their review and approval. The ISC approves the budget as it is presented in the POWB submitted to the CGIAR System. MPs then decide how to allocate this budget across the MARLO projects within each FP and report that to the PMU as part of the annual detailed budgeting process described below.

In the first three years of Phase II, A4NH kept the allocations to MPs for their work in FPs and cross-cutting units consistent with the base budget (Table 2) despite fluctuations in the FINPLAN. This was made possible with carryover from Phase I. A4NH, to the extent possible, attempts to keep the base budget consistent to assure some planning continuity. A4NH presents a three-year budget planning horizon versus one year, recognizing that MPs commit researchers, research support staff, and grant funding to the FPs and cross-cutting units in which they participate.

Towards the end of the first three-year cycle, A4NH will take a more formal review of allocations at MP and FP levels (and for the management and support costs supporting the PMU and cross-cutting units). Anticipating that major changes in W1/W2 allocations will need to be made, the PMC discussed and agreed on criteria and a process for adjusting the W1/W2 allocations from 2020 onwards, described in more detail [here](#). This new process gives the FP Leader the opportunity to recommend to the A4NH Director how to adjust allocations of the budget to the MPs (for their MARLO projects) within his/her FP. From there, the approval process for the annual budget remains exactly as described above.



The PMU documents all deviations and shares them with the PMC and ISC. The A4NH Director approves minor changes, which are defined as changes within a MP/FP budget line or for additional allocations less than \$100K.

Table 2. Budget Allocations (2017-2019) by Flagship and Managing Partner

Flagship budget allocations

Flagships and Partners	Budget Allocation by Partner and Flagships			
	2017	2018	2019	Total
FP1: Food Systems for Healthier Diets	\$ 3,760,000	\$ 3,760,000	\$ 4,140,000	\$ 11,660,000
Bioversity	\$ 564,000	\$ 564,000	\$ 564,000	\$ 1,692,000
CIAT	\$ 564,000	\$ 564,000	\$ 639,000	\$ 1,767,000
CIMMYT			\$ 50,000	\$ 50,000
IFPRI	\$ 564,000	\$ 564,000	\$ 564,000	\$ 1,692,000
IITA	\$ 188,000	\$ 188,000	\$ 218,000	\$ 594,000
WUR	\$ 1,880,000	\$ 1,880,000	\$ 2,105,000	\$ 5,865,000
FP2: Biofortification	\$ 3,500,000	\$ 3,500,000	\$ 3,800,000	\$ 10,800,000
IFPRI	\$ 3,500,000	\$ 3,500,000	\$ 3,695,000	\$ 10,695,000
CIP			\$ 105,000	\$ 105,000
FP3: Food Systems	\$ 3,465,000	\$ 3,550,000	\$ 3,800,000	\$ 10,815,000
IFPRI	\$ 465,000	\$ 500,000	\$ 500,000	\$ 1,465,000
IITA	\$ 1,200,000	\$ 1,250,000	\$ 1,200,000	\$ 3,650,000
ILRI	\$ 1,800,000	\$ 1,800,000	\$ 2,100,000	\$ 5,700,000
FP4: Supporting Policies Programs and Enabling Acton through Research	\$ 3,765,875	\$ 3,765,875	\$ 4,355,875	\$ 11,887,625
Bioversity	\$ 188,000	\$ 188,000	\$ 188,000	\$ 564,000
IFPRI	\$ 3,577,875	\$ 3,577,875	\$ 4,167,875	\$ 11,323,625
FP5: Improving Human Health	\$ 1,915,000	\$ 1,880,000	\$ 3,030,000	\$ 6,825,000
IFPRI	\$ 35,000			\$ 35,000
IITA	\$ 169,200	\$ 169,200	\$ 169,200	\$ 507,600
ILRI	\$ 1,052,800	\$ 1,052,800	\$ 1,922,800	\$ 4,028,400
IWMI	\$ 658,000	\$ 658,000	\$ 150,000	\$ 1,466,000
LSHTM	\$ -		\$ 738,000	\$ 738,000
WorldFish			\$ 50,000	\$ 50,000
Total FP allocation	\$ 16,405,875	\$ 16,455,875	\$ 19,125,875	\$ 51,987,625
Management and Support Cost including Cross Cutting Units (CCE,GEE, MEL)	\$ 2,999,201	\$ 2,999,201	\$ 3,000,001	\$ 8,998,403
GRAND TOTAL Allocations	\$ 19,405,076	\$ 19,455,076	\$ 22,125,876	\$ 60,986,028

Key Documents:

-  [Criteria, Process and Decision making for W1/W2 Allocations](#)
-  [Process for formal review of allocations post-2019](#)

Carryover

In cases where there is W1/W2 carryover, the A4NH Director seeks advice and agreement from the PMC on criteria and a process for allocating the carryover. The allocations, as agreed with the PMC, are presented to the ISC as part of their approval of the annual budget.

As an example, in 2018, the A4NH Director notified the PMC of W1/W2 carryover and proposed a process and criteria for allocating this funding. All five flagship management teams submitted expressions of interest for new or expanded research, which were reviewed and ranked by PMC members and then reviewed and ranked by ISC

members based on a set of criteria. Results were discussed and the A4NH Director proposed 2019 allocations of the carryover to MPs to carry out work in all five flagships. These allocations, as proposed, were approved by both the PMC and the ISC.

Key Documents:

 [Principles for Allocating Phase I carryover](#)

4.3 Financial Planning (Budgeting), Reporting, and Resource Mobilization

Budget

Each MP prepares an annual budget from all sources –W1, W2, W3 and bilateral grants described below. These budgets combine to form annual budgets for the five FPs and the cross-cutting units. In A4NH, these are referred to as funding sources. The A4NH Budget, Contracts and Grants Manager manages the inclusion and exclusion of funding source information in MARLO.

Partners are expected to follow the CGIAR principles of [cost allocation](#) and [reporting policies](#) or agreed international accepted standards and principles as per the PPA requirement.

Financial Planning and Reporting process

MPs are required to provide the PMU with updates on new W3/bilateral funding sources twice a year, described below. All new W3/bilateral funding sources must be approved for inclusion in the portfolio before they can be included in the budget. MPs provide a set of basic information about the W3/bilateral funding source along with a justification for why it belongs in A4NH and where (FP and MARLO project). The FP Leader and/or A4NH Director review and decide to include or exclude it from the portfolio. The justification and decisions are tracked by the A4NH Budget, Contracts and Grants Manager in an offline Excel file that is shared on the [A4NH TeamSpace](#). The decisionmaking criteria and process were approved by the PMC and are described in one of the key documents below.

After the W3/bilateral funding source is approved to be mapped to A4NH, the A4NH Budget, Contracts and Grants Manager creates a new funding source entry in MARLO and maps the funding source to the appropriate MARLO project(s). If it hasn't already been provided, the MP sends the basic information required to complete the funding source entry in MARLO, including but not limited to: description, duration, donor, PI, and geographical scope. If the funding source involves research with human subjects, proof of ethical review must be provided.

Financial Planning Steps

Step 1 – September to October of the current year: Program participants provide initial budgetary information on new W3/bilateral grants and updates on continuing W3/bilateral grants for the coming year. The PMU coordinates the MP's justification for fit and mapping approval process, updates MARLO, and prepares summaries by FP and MP for the annual ISC/PMC meeting. These figures combined with the W1/W2 budget form the basis for the POWB, the initial financial planning process of the new year.

Step 2 – March to May of the following year: Program participants confirm their full list of funding sources identified during Step 1, including the amount, mapping to MARLO projects, and other required information for

the MARLO entry to the PMU. The PMU returns the final list to MPs to prepare detailed budgeting information. For the W1/W2 budget, MPs, in consultation with the FP management team, allocate this to MARLO Projects and expense categories. Once all the information required in the budget, including collaborators and personnel with FTE is complete, it is returned to the PMU. The budget summary by source and expense category is incorporated in the annual PPA amendment and used by the PMU to monitor expenditures against budget and deliverables.

Financial Reporting Steps

Step 1 - Quarterly Financial Report -Fifteen days after the close of each quarter:

Program participants are required to submit quarterly expenditures reports by all sources of funding, due 15 days after the close of each quarter, directly to CGIAR. CGIAR then compiles and shares the report with the Lead Center of each CRP. The PMU received a copy from the lead centers, reviews and clarifies any questions and concerns directly with the Program participant. While CGIAR no longer provides these reports, earlier samples can be found [here](#).

Step 2 - 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. 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 as much as possible.

Step 3 - Annual Financial Report -February 28 of the new year

Program participants submit preliminary financial results to the PMU. The PMU consolidates and submits this information to the Lead Center.

Step 4 - 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 statements each year as available but no later than June 30.

Step 5 - Annual Financial Report - March 24 of the new year:

Program participants are required to submit final financial results of the prior year using the same format that they used to budget. The PMU compiles, reviews and summarizes the report for inclusion in the A4NH Annual Report to the CGIAR System, the financial report to the SMO, A4NH's other donor reports, and the annual PPA review with each MP.

The PMU monitors expenditures and carryovers against the planned deliverables and provides an annual summary for each MP of technical and programmatic execution, including the overall contribution of W3/bilateral grants, which is discussed by the PMU and MP representative during the annual performance review meeting.

The PMU archives all the CRP required annual budget and financial reports from each MP on the A4NH TeamSpace.

Key documents:

- ✦ [A4NH Financial Planning and Reporting Guidance with and Yearly Calendar](#)
- ✦ [A4NH Financial Planning and Reporting Template](#)
- ✦ [Grant Mapping Criteria and Process for Justification for Fit Decision Making](#)
- ✦ [Managing Partners Budget and Financial Reports](#)
- ✦ [Quarterly Reporting \(sample\)](#)
- ✦ [Semi-Annual Reporting Template](#) (same as budgeting template)

Resource mobilization

The FP management team, supported by the PMU, continuously look for funding opportunities to raise bilateral and W3 grants and ensure the financial sustainability and success of the program. MPs are expected to communicate resource mobilization efforts to their FP Leader and/or A4NH Director. The PMU keeps track of the status of known proposals from the lead centers and other managing partners (if shared) in an offline Excel file that could be provided upon request. All proposals that request CRP co-financing (W1/W2) are listed, along with the MP's justification for how it fits in A4NH and the decision made by the FP Leader and/or A4NH Director (starting in 2019). This information is used by PMU to discuss and support resource mobilization efforts by individual and multiple MPs. As part of the annual performance review discussion, the A4NH Director and MP discuss issues related to resource mobilization or any adjustment for future year(s). This is documented in the memo. At present, there are no formal criteria for linking grant funding to proposed or adjusted W1/W2 allocations.

Proposals being submitted by IFPRI that intend to be mapped to A4NH and/or require co-financing follow an IFPRI-specific proposal mapping procedure.

Key documents:

- ✦ [Grant mapping criteria and process for justification for fit decision making](#)
- ✦ [Proposal mapping process for IFPRI led flagships](#)

5. RISK MANAGEMENT

Based on Phase I and Phase II experiences and 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 has been more emphasis on country-level engagement, which complements the broader CGIAR Site Integration effort. A key factor in country coordination success is the presence of in-country A4NH team members who can work effectively with national partners and within the overall CGIAR Site Integration effort. This has required 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 A4NH's five focus countries were developed with partners, in the context of the finalizing the CGIAR Site Implementation plans during 2016 and early 2017. A4NH allocated funding to hire a program manager/research analyst for each of the program's focus countries to help coordinate and better align the efforts.

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

2. **Funding.** A major risk in 2015 and 2016, at the end of Phase I, was the volatility of funding. Funding from W3/bilateral sources was consistently obtained for more mature research areas, but this came from considerable effort and organization. However, funds for newer research areas were much more difficult to obtain and thus planning was 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 W1 funding, was extremely volatile, particularly in 2016. Despite consistently effective resource mobilization from W3 and bilateral grants and relatively consistent support from W2 donors in Phase I, A4NH funding was 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.
3. **Operational practices and procedures.** In Phase I, the importance of aligning participating Centers to agreed objectives, outcomes, and operations was a critical challenge. Since then, A4NH has made a 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, A4NH now engages a smaller group of partners, Phase II's MPs, to be actively engaged in program management.

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

This document will be updated annually to reflect updates and changes in policies and/or new requirements of the CRP and CGIAR.