



RESEARCH
PROGRAM ON
Dryland Systems

CGIAR Research Program on Dryland Systems Guidelines for mapping Bilateral/W3 Projects

2015

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*Food security and better livelihoods
for rural dryland communities*

The CGIAR Research Program on Dryland Systems aims to improve the lives of 1.6 billion people and mitigate land and resource degradation in 3 billion hectares covering the world's dry areas. Dryland Systems engages in integrated agricultural systems research to address key socioeconomic and biophysical constraints that affect food security, equitable and sustainable land and natural resource management, and the livelihoods of poor and marginalized dryland communities. The program unifies eight CGIAR Centres and uses unique partnership platforms to bind together scientific research results with the skills and capacities of national agricultural research systems (NARS), advanced research institutes (ARIs), non-governmental and civil society organizations, the private sector, and other actors to test and develop practical innovative solutions for rural dryland communities. The program is led by the International Centre for Agricultural Research in the Dry Areas (ICARDA), a member of the CGIAR Consortium. CGIAR is a global agriculture research partnership for a food secure future.

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Guidelines for mapping Bilateral/W3 Projects

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Acronyms

ALS	Agricultural Livelihood System
CA	Central Asia and the Caucasus
CC	Center Coordinator
CGIAR	Consultative Group on International Agricultural Research
CIAT	International Center for Tropical Agriculture
CIP	International Potato Center
CC	Center Coordinator
CO	CGIAR Consortium Office
Col	Conflict of Interest
CoP	Community of Practice
CPC	Communication Program Coordinator
CRP	CGIAR Research Program
DS	CRP Dryland Systems
E&SA	East and Southern Africa
ICARDA	International Center for Agricultural Research in the Dry Areas
ICRAF	World Agroforestry Centre
ICRISAT	International Crops Research Institute for the Semi-Arid Tropics
IEA	independent Evaluation Arrangement
ILRI	International Livestock Research Institute
IP	Intellectual Property
IPG	International Public Good
IWMI	International Water Management Institute
LC	Lead Center
M&E	Monitoring and Evaluation
NAWA	North Africa and West Asia
ODA	Official Development Assistance
PC	Partner Center
PIA	Program Implementation Agreement
PMU	Project Management Unit
POWB	Plan of Work and Budget
PPA	Program Participant Agreement
RMC	Research Management Committee
SA	South Asia
SC	Steering Committee
SRF	Strategic Result Framework
SRT	Strategic Research Theme
SSA-CP	Sub-Saharan Africa Challenge Program
WAS&DS	West African Sahel and Dry Savannas
Window 1	W1
Window 2	W2
Window 3	W3

Executive Summary

Purpose: this document is prepared for the partners in the CGIAR Research Program (CRP) on Dryland Systems (DS) in order to create a common understanding on the process of mapping Window 3 (W3) and bilateral projects onto the CRP and the implications of such decisions.

Goal: to achieve clarity on the contribution of project-based activities and their scientific aspects brought by Partner Centers (PC) to the DS program and to improve communication and transparency of results other than the budget allocation.

Note: this guideline is developed in absence of any document prepared by the Consortium Office (CO) and may be adapted once a common CRPs approach is finalized. DS have 8 PCs (International Center for Agricultural Research in the Dry Areas (ICARDA, the Lead Center LC)); International Crops Research Institute for the Semi-Arid Tropics (ICRISAT); Bioversity International; International Center for Tropical Agriculture (CIAT); International Potato Center (CIP); World Agroforestry Centre (ICRAF); International Livestock Research Institute (ILRI); International Water Management Institute (IWMI); and Sub-Saharan Africa Challenge Program (SSA CP) who need to agree on this approach. Hence this is a first attempt to achieve a better investment of Window 1 (W1) and Window 2 (W2) funds and clear communication of the international public goods developed by the 8 Centers under DS.

The independent Evaluation Arrangement (IEA) Governance and Management Review 2014 states that *“Funding for the CRPs as a whole is almost equally divided between resources allocated by the Fund (W1, 2, 3) and bilateral resources raised by the centers (45% and 55%, respectively). As a result, the 16 CRPs and 15 centers are interlocked and interdependent for access to and control of resources and results, with functions that overlap, co-exist, complement and compete.”*

IEA underline the potential risk in having a high share of bilateral funds for CRPs causing center scientific agendas to drive the CRP framework and impact pathways. However we note the lack of recommendations to develop clear guidelines and procedures for the mapping process.

A. Governance & Management

The bilateral projects and W3 funds addressing specific Strategic Result Framework (SRF) goals have their own governing structure both with their Steering Committee (SC) and Project Management Unit (PMU). Each project is then divided into a series of activities managed by activity leaders. In the best case only one project manager is managing the bilateral project. The procedure of mapping a project is based on the scientific relevance to DS but currently this does not involve any process to communicate results to the CRP-PMU other than the financial allocation and the financial summary due twice a year. The financial reporting is mostly done by the PC finance department directly to the Lead Center finance department. In some mapped projects, the leader is not involved in any DS decision and it is not informed about the outcome of the DS governing bodies that are the Research Management Committee (RMC) and the SC.

The present document details the actions that each PC should consider for ongoing/approved projects and for new projects. The PC should:

1. For ongoing/approved projects:

- a. The project manager with the support of the Center Coordinator (CC) prepare an impact pathway for each mapped project together with a project summary/logical framework (annex 1) identifying the science intended to contribute to DS (expectation) and specifying the gaps expected to be filled by DS from a systems perspective. The summary includes the financial plan

for the project and timelines. This document should be submitted to the Center DDG-R and the CC for approval.

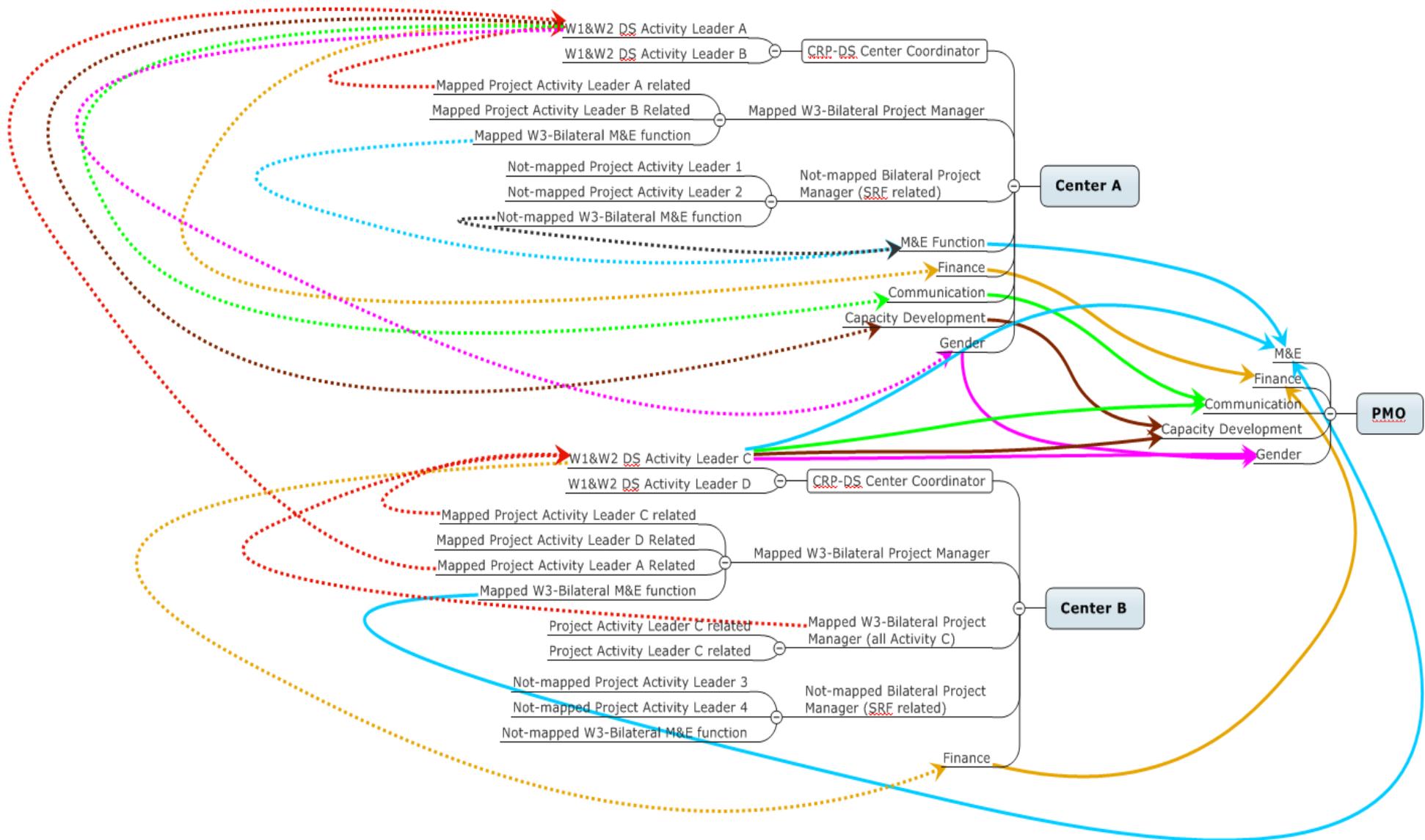
- b. The CC will then prepare a synthesis of the reasons for mapping to DS and specifying if there are any risks of overlapping and opportunities of collaboration with other CRPs in which the center is involved or not involved. The synthesis includes also the confirmation that the project will comply with the Program Participant Agreement (PPA), Conflict of Interest (Col) regulation, communication guidelines and Monitoring and Evaluation (M&E) procedures¹. This documentation should be submitted by the CC to the Program Management Unit (PMU) which will present to the RMC for approval. Once approved the RMC will submit to the DS SC for final approval. The CC will inform his Center Management Committee on the decision of DS SC.
- c. In the rare event that the proposed mapped project has rules and regulations that are incompatible with the CRP-DS the project cannot be mapped in DS and its results/budget will not be presented in DS documentation for accountability. The project will remain in the SRF related projects but the DS will not guarantee funds to sustain and enhance its results. The project will be recorded as side research/development project active in the area/field of DS. The DS will not be responsible for duplication of results even if it will act in the best interest of the CGIAR to avoid inefficiency of public funds allocated to achieve International Public Goods (IPG).
- d. After the mapped project is approved the bilateral project manager is informed on: DS Program Document, Program Implementation Agreement (PIA), Program Participant Agreement (PPA), communication guidelines, M&E procedures, Risk Management Plan, Col policy, minutes from SC and RMC and organization chart with contacts of key positions at global, regional and center level. She/he will interact with the DS activity leader to whom its project/activity has been mapped.
- e. The DS activity leader, in collaboration with CC, should organize regular meetings (in person or teleconference) with her/his mapped project managers when appropriate in order to share progress, constrains and DS official communication. She/he should evaluate the use of the W1/W2 funds allocated by DS in order to enhance the bilateral project activities and promote the objectives of the DS program within a system perspective. She/he together with the CC is responsible for the timely achievement of results committed by the bilateral project managers.
- f. The bilateral project managers are informed in advance on the upcoming DS SC and RMC meetings in order to provide progress reports to the DS activity leader who will transmit to the PMU in collaboration with their CC. Project Managers are requested to provide an annual report by 15th December of each year for their project to the DS activity leader in collaboration with their CC. Any change in the bilateral project workplan that may affect the next year plan of work and budget should be notified not later than 30 September of each year to the PMU with copy to the CC.
- g. The bilateral project managers are informed by the DS activity leader on the regional meetings organized by the flagship coordinator and are invited during the IRT meetings.

2. For new projects:

¹ All agreements for bilateral projects have an Intellectual Property (IP) clause that makes the agreement subject to the CGIAR Principles on the Management of Intellectual Assets (“CGIAR IA Principles”).

- a. If the intention of one DS PC is to map a project to DS the PC should involve the PMU during the project proposal writing phase, before finalizing the agreement with the Donor(s). The final agreements with the Donor (s) are transmitted to the PMU for recording and follow up. The donor(s) will then take advantage from a centralized process to monitor its funded project and received the assurance that DS will guarantee the sustainability of results in the long term. The donor(s) will take advantage from evaluations and impact studies that the DS will conduct after the closure of the bilateral project. The donor(s) will have access to all documentation needed for its Official Development Assistance (ODA) peer-review.
- b. Once a project is officially mapped (DS SC approval) the DS will strive to ensure that the work aims to strengthen the program's system approach and objectives through the use of W1&W2 funds. The long term sustainability and the impact evaluation will be also ensured by the DS. The CC will inform his Center Management Committee on the decision of DS SC.
- c. A mapped project will contribute to the DS logical framework avoiding duplication of results and promoting relevance, efficiency, effectiveness, impact, sustainability, and quality of science in order to achieve IPGs.
- d. In the event that the new project will have rules and regulations that are incompatible with the CRP-DS the project cannot be mapped in DS and its results/budget will not be presented in DS documentation for accountability. The project will remain in the SRF related projects but the DS will not guarantee funds to sustain and enhance its results. The project will be recorded as side research/development project active in the area/field of DS. The DS will not be responsible for duplication of results even if it will act in the best interest of the CGIAR to avoid inefficiency of public funds allocated to achieve International Public Goods (IPG).

Fig1: W1/W2 & W3/Bilateral reporting structures for results, financial processes and communication.



B. Financial Management

In the absence of guidelines from the Consortium Office regarding the procedures of mapping W3 & bilateral Projects to CRPs, DS CRP is drafting the following guidelines which are intended to facilitate this procedures, DS CRP will follow and take into consideration any guidelines provided by CO in this regard.

Financial procedures for bilateral projects are those of the PCs which being members of the CGIAR guarantee that those processes are standardized and audited regularly.

W1&W2 funds are distributed to each PC in accordance with PPA thus complying with PIA rules and regulations. The use of W1&W2 funds is exclusively to promote DS objectives in a system perspective.

The DS Plan of Work and Budget (POWB) includes each year the aggregated bilateral funds as provided by PC when submitting their POWB. Separate annexes are prepared from each PC to detail the projected bilateral funds and corresponding projects that will be mapped to DS CRP. The spending of these projects is reported to PMU office for compliance twice a year (June and December) in the Semi-annual financial reports reported by each PC. The PMU cannot modify the budget for bilateral projects, but it may draft a note for achieved results, risk and failures to the RMC and advise to re-map a specific project that is incompatible with the program objectives or affecting its reputation.

W1&W2 cannot be utilized to fill unplanned gaps from bilateral projects unless approved by the RMC and the DS SC.

It is recommended that the mapping of W3 and bilateral projects to DS CRP is reviewed and approved by the PC Center Coordinator (CC) in order to make sure that they will contribute to the outputs and outcomes of DS CRP PC activities.

C. Partner and Subcontractor Management

Partners of bilateral projects become partners to ICARDA within DS thus full information² must be provided to PMU and will be published on the DS website.

Partners and subcontractors should comply with the terms of the Standard PPA used within DS. They should comply with CoI regulation and regulations approved by the DS SC. The PMU IP & Legal Manager will monitor any conflict of interest that may arise during the implementation and submit a progress report. The conflict of interest report will be consolidated annually and published on the DS website. The IP & Legal Manager may rely on the corresponding functions of ICARDA's partner CGIAR Centers to monitor this aspect. All partners shall provide information as requested to enable the IP & Legal Manager to draft and submit the progress report.

D. Monitoring and Evaluation

Mapped projects follow their agreed M&E plan, framework and procedures. Each mapped project has their own officer or in case this function is absent they rely on the M&E function within the PC. The M&E function in each PC should standardize the M&E processes among all projects and comply with the DS M&E plan, framework and regulations. The web-based DS M&E tool (drylandsystems.cgiar.org/mel) is the base to record project activities, monitor progresses and report at the end of each year.

Each PC M&E function should liaise with the DS M&E function within the PMU in order to create a program Community of Practice (CoP).

² Project document and agreement, progress reports and annual reports.

E. Strategic Communication, Management of Resulting Intellectual Assets, knowledge and information, and Data management

PMU has a Communication Program Coordinator (CPC) who will interact with the PC communication units. Mapped project program manager should report communication information to the DS activity leader who will inform both the PMU CPC and their Center Communication unit as well as DS IP Manager who will advise on legal aspects that ensure the use and dissemination of resulting intellectual assets, information, knowledge and data as international public goods. The DS communication strategy is adopted by all PC even if tailored communication interventions may be foreseen within each project. The branding guidelines should be followed by all mapped projects. Information and data collected following the principles of CGIAR open access policy are collected through the M&E system and repositories built by the program. They are IPGs following the CGIAR-IP guidelines and DS will guarantee the broader dissemination in line with DS objectives.

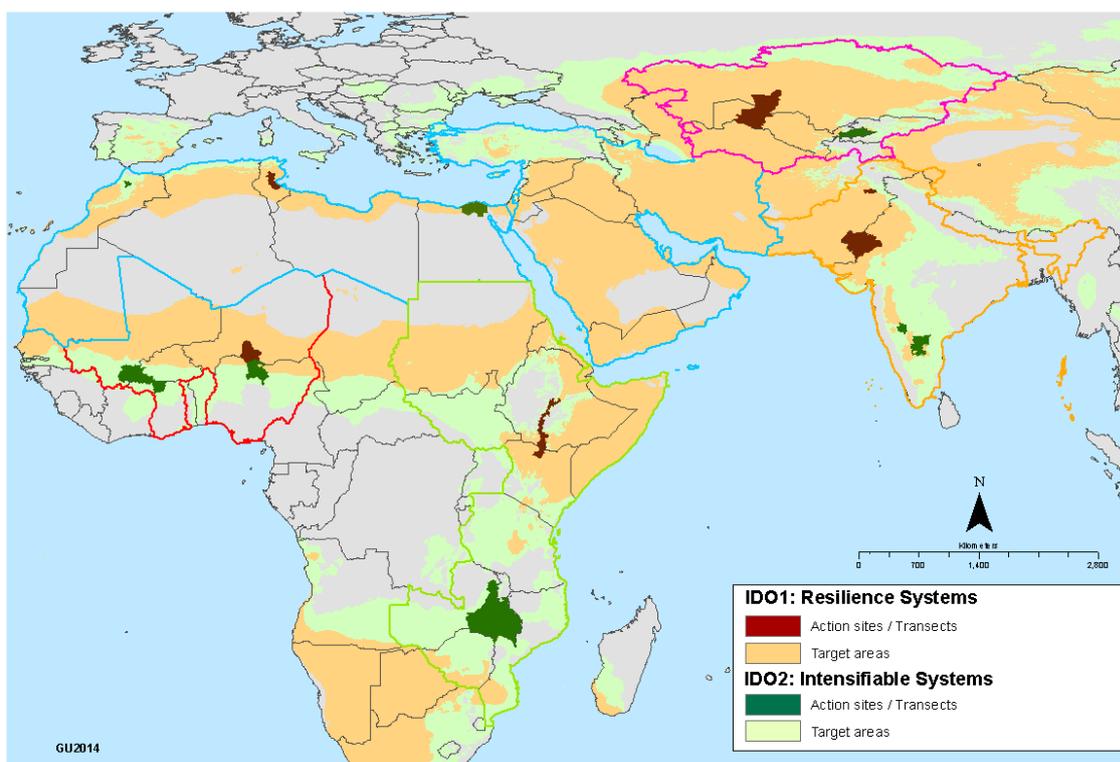
F. Technical criteria for mapping

This section details which criteria are used by PCs to determine the mapping to DS.

The goal of DS is to identify and develop resilient, diversified and more productive combinations of crop, livestock, rangeland, aquatic and agroforestry systems that increase productivity, reduce hunger and malnutrition, and improve quality of life for the rural poor.

Five **target regions** were identified: West African Sahel and Dry Savannas (WAS&DS), East and Southern Africa (E&SA), North Africa and West Asia (NAWA), Central Asia and the Caucasus (CA), and South Asia (SA).

Figure 1: DS-CRP target areas



Source: ICARDA GU 2015

Within each target region, **target areas** were selected that represent a diverse and rich resource of knowledge on contrasting dryland agroecosystems, farming systems, and livelihood vulnerabilities. The activities are then implemented within **action sites** and specifically at **field site** level. The purpose of the program is to **design and test** suitable technological, institutional and policy interventions to be **up scaled** at the level of action sites and **out scaled** at the level of target areas. Interventions will be a mix of socio-economic and technical approaches that address the **agricultural livelihood system** (ALS) from different perspective. A bilateral project may not have a system approach but the PC may identify one or more results of the bilateral project that provide an important contribution to the system approach thereby reducing the time to achieve impact at program level.

With this approach the program considers that a bilateral project implemented by a partner center can be mapped into the DS if its activities are included in the target areas and can thus benefit from, or contribute to, the DS research & development results. The bilateral project integrates its results for intervention development or for up scaling, out scaling or both components.

The second criteria that is considered to map a project is that its results are contributing to or benefit from the four strategic research themes (SRTs):

SRT1: Approaches to strengthening innovation systems, building stakeholder innovation capacity, and linking knowledge to policy action.

SRT2: Reducing vulnerability and managing risk, leading to resilient dryland agroecosystems with less vulnerable and improved livelihoods of rural communities.

SRT3: Sustainable intensification for more productive, profitable, and diversified dryland agriculture with well-established linkages to markets.

SRT4: Measuring impact and cross-regional synthesis.

Detail information related to the SRTs hypothesis and expected results are mentioned in [the DS proposal](#).

Each PC is responsible for identifying the interaction and integration with bilateral projects, in relation to the SRTs and proposes a coherent budget allocation of W1 and W2 with clear justification to be submitted to the RMC and to be shared with the bilateral donor.

The results of the bilateral project should be mapped not only to the target region and area but also it should clearly identify the action site and field site with which the result will have the highest rate of success to produce out scalable results. Starting from 2015 the results should be mapped to the CRP-DS Agricultural Livelihood Systems (ALSs).

Cross-Cutting Themes

Gender

Projects which are mapped to DS have **innovative approaches, methods, insights and outcomes** with respect:

1. to gender equity or equality in agricultural livelihood systems in drylands,
2. to women empowerment in the ALS DS context,
3. to development conducive interrelations between men and women in the ALS DS context, and
4. to a gender-responsive systems approach in the ALS DS context.

Annexes

1- Summary format for DS mapped projects

Project Name:	<i>Specify the main agreement with the Donor</i>
Sub-Project Title	
Objective	<i>Specify the objective(s) of this project in max 500 characters.</i>
Agricultural Livelihood Systems:	<i>Agropastoral: xx% rainfed: xx% Irrigated crop: xx%</i>
Constraints identified (issues)	<i>Specify the constraints this project is addressing</i>
Themes (options)	<i>Specify the themes you are working on to address the constraints above (chose your own wording for the themes)</i>
Phases	<i>Specify the research phase with the related percentage among:</i> <ol style="list-style-type: none"> 1. <i>Discovery³ (xx %)</i> 2. <i>Proof of Concept⁴ (xx %)</i> 3. <i>Pilot⁵ (xx %)</i> 4. <i>Scaling Up⁶ (xx %)</i> 5. <i>Scaling Out⁷ (xx %)</i>
Period of Implementation:	
Center BUS reference:	
Type (Bilateral/W3):	
Donor(s):	
Donor(s) POC and Email:	
Principal Investigator (Project Manager):	
Email:	
Co-Principal Investigator(s):	
Email:	
Total Budget:	
Budget x Year (2015):	
Budget x Year (2016/2017/2018):	<i>Indicate the budget for each year of the project after 2015, with the year in parentheses</i>
Country(s) of Implementation:	<i>Specify one or more Country that this project is working</i>

³ **Discovery** is the observation of new phenomena, new actions, or new events and providing new reasoning to explain the knowledge gathered through such observations with previously acquired knowledge from abstract thought and everyday experiences.

⁴ **Proof of concept** is a realization of a certain method or idea to demonstrate its feasibility, or a demonstration in principle, whose purpose is to verify that some concept or theory has the potential of being used. A proof of concept is usually small and may or may not be complete.

⁵ **Pilot** is a small scale preliminary study conducted in order to evaluate feasibility, time, cost, adverse events, and effect size (statistical variability) in an attempt to predict an appropriate sample size and improve upon the study design prior to performance of a full-scale research project.

⁶ **Scaling up** involves a change in qualities/properties of the object of scaling, and will therefore involve more complexity. It means transition, institutionalization, transformation, integration, incorporation, evolution, development. [For more details click here.](#)

⁷ **Scaling out** essentially involves replication. We may say that we at least already have a 'prototype'. It means replication, copy-paste, more of the same, expansion, extension, adoption, dissemination, transfer (of technology), mainstreaming, roll-out, or multiplication. [For more details click here.](#)

	<i>on (with a percentage if multiple).</i>
Action site(s) and Field site(s) of DS involved in the project:	<i>Specify the CRP-DS Action Site, if appropriate</i>
Other site(s):	<i>Specify other locations outside the Action Site(s), if any.</i>
CG Partners involved in the implementation:	
Budget allocation for the CG Partner(s):	<i>Specify the budget you expect to allocate to the partner during the entire project life. If multiple partners please split the budget.</i>
Matching funds from CG Partner(s), if any:	<i>Specify the budget you expect the partner will match during the entire project life. If multiple partners please split the budget.</i>
Third Partner(s) involved in the implementation:	
Budget allocation for the Third Partner(s):	<i>Specify the budget you expect to allocate to the partner during the entire project life. If multiple partners please split the budget.</i>
Matching funds from Partner(s) if any:	<i>Specify the budget you expect the partner will match during the entire project life. If multiple partners please split the budget.</i>
Intermediate Development Outcomes (IDOs): For more details click here	<i>Specify max 3 IDOs from the 6 used by CRP-DS with percentage in parentheses:</i> <ol style="list-style-type: none"> 1. IDO 1. More resilient livelihoods for vulnerable households in marginal areas: xx% 2. IDO 2. More stable and higher per capita income for intensifiable households: xx% 3. IDO3. Year-round access to greater quantity and diversity of food: xx% 4. IDO 4. More sustainable and equitable management of natural resources: xx% 5. IDO 5. Women and youth have better access to and control over productive assets: xx% 6. IDO 6. Increased capacity of rural communities to innovate: xx%
System Level Outcomes (SLOs): For more details click here	<ol style="list-style-type: none"> 1. Reduced rural poverty: xx% 2. Improved food security: xx % 3. Improved nutrition and health: xx% 4. Sustainably managed natural resources: xx %
Quantified Outputs:	<i>Specify the expected Outputs from the research activities, quantified and with the year you expect to achieve these in parentheses.</i>
Quantified Outcomes:	<i>Specify the expected Outcomes, quantified and with the year you expect to achieve these in parentheses.</i>
Quantified CD Outputs and Outcomes:	<i>Specify the expected capacity development Outputs and Outcomes, quantified and with the year you expect to achieve these in parentheses.</i>
Quantified Gender Outputs and Outcomes:	<i>Specify the expected Outputs and Outcomes, quantified and with the year you expect to achieve these in parentheses.</i>
Impact (Vision of Success):	<i>Describe briefly the impact this project will have on the beneficiaries</i>
Justification for mapping	
Input Science Potential: please detail what inputs this project will provide to CRP-DS work.	<i>Specify the system science and/or related inputs you will provide to the CRP as a program</i>
Outscaling Potential: please detail which inputs it	<i>Specify the system science and/or related inputs you expect to receive from the CRP as a program</i>

is expected to receive from the CRP-DS work.	
International Public Goods (IPGs) Nature: please detail which outputs will be produce at international scale to support Drylands.	<i>Specify only those Outputs that will be internationally relevant and fully accessible.</i>
Suggested share of CRP-DS mapping:	<i>Specify the % you suggest your project should be mapped into CRP-DS xx %</i>
If suggested share not 100%, please specify other CRP(s) to which the project will be mapped.	<i>Specify the other CRPs you suggest to map in case you mapped your project to CRP-DS less than 100% to CRPXX (xx %), CRP XX (xx %)</i>
Please write the frequency of your reporting to the Donor of this project for each year of the implementation period.	<i>(Month/Year) (Month/Year) (Month/Year)</i>



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