



**RESEARCH  
PROGRAM ON**  
Grain Legumes and  
Dryland Cereals

**Guidelines for inclusion and withdrawal of W1/W2 Activities  
and W3/Bilateral Projects into  
CRP on Grain Legumes and Dryland Cereals**

October 2019

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The CGIAR Research Program on Grain Legumes and Dryland Cereals (GLDC) builds on the work done by three CGIAR Research Programs from 2012 to 2016: Grain Legumes, Dryland Cereals and Dryland Systems, and relevant activities done at the CG centers prior to 2012.

GLDC aims is to increase the productivity, profitability, resilience and marketability of critical and nutritious grain legumes and cereals within the semi-arid and sub-humid dryland agro-ecologies of sub-Saharan Africa and South Asia. These agro-ecologies are where poverty, malnutrition, climate change and soil degradation are among the most acute globally.

**Source:** <https://www.cgiar.org/research/program-platform/grain-legumes-and-dryland-cereals/>

These guidelines are based on Phase-I CRP on Dryland Systems mapping guidelines<sup>1</sup> (2015) and on CRP on Dryland Cereals and Dryland Systems, “Guidelines for mapping Bilateral/window 3 projects”<sup>2</sup> (2016).

## SUGGESTED CITATION

CRP-GLDC 2019: Guidelines for inclusion and withdrawal of W1/W2 Activities and W3/Bilateral Projects in CRP on Grain Legumes and Dryland Cereals.

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Rev	Description	Date	Originator	Checked	Approved
1	Adaptation of previous guidelines	October 2019	CRP-GLDC Focal Point-MEL	CRP-GLDC RMC	Director, CRP-GLDC
1.1	Improvement: linkages W3/Bil with W1/W2; Criteria for Mapping and Strategic Allocation	November 2019	CRP-GLDC RMC Members	CRP-GLDC Program Manager	Director, CRP-GLDC

<sup>1</sup> <https://hdl.handle.net/20.500.11766/4694>

<sup>2</sup> <https://onedrive.live.com/view.aspx?resid=BB6D864406BEF277!796&ithint=file%2cdocx&app=Word&authkey=!ABkfliv3h2HwPeo>

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## Acronyms

AR	Annual Report
CFP	Center Focal Point
CGIAR, CG	Consultative Group for International Agricultural Research
CGIAR-IP	CGIAR Intellectual Property
CIRAD	Centre de coopération internationale en recherche agronomique pour le développement
CoA	Cluster of Activities
CoP	Community of Practice
CRP	CGIAR Research Program
CRP-GLDC	CGIAR Research Program on Grain Legumes and Dryland Cereals
CSIRO	Commonwealth Scientific and Industrial Research Organisation
FP	Flagship Program
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
IITA	International Institute of Tropical Agriculture
ILRI	International Livestock Research Institute
IPG	International Public Goods
IRD	Institut de Recherche pour le Développement
LC	Lead Center
M&E	Monitoring and Evaluation
MEL Platform, MEL	Monitoring, Evaluation, and Learning Platform
MPAB	Market and Partnerships in Agri-Business
ODA	Official Development Assistance
PC	Partner Centers
PIA	Program Implementation Agreement
PIM	Performance Indicator Matrix
PMU	Performance Management Unit
POWB	Plan of Work and Budget
PPA	Program Participant Agreement
RMC	Research Management Committee
SLO	System-Level Outcome
SMO	System Management Office
SRF	Strategic Result Framework
TOC	Theory of Change
W1	Window 1 funding
W2	Window 2 funding
W3	Window 3 funding

## Introduction

The new CGIAR performance management standards emphasize that the CRP adopt an approach that ensures “*there is a logical, coherent, consultative and transparent process for adding and withdrawing projects, that include a check on how new projects fit within the Program Theory of Change and agreed Program priorities*”.

**Purpose:** This document is prepared for the partners in the CGIAR Research Program on Grain Legumes and Dryland Cereals (CRP-GLDC) to create a common understanding on the process for funding activities with pooled funds (Window 1 (W1) and Window 2 (W2)) and mapping of W3 and Bilaterally funded projects onto the CRP and the implications of such decisions.

**Goal:** To achieve clarity on the funding mechanism and contribution of project-based activities and their scientific aspects brought by Participating Centers (PC) to the CRP-GLDC and to improve communication and transparency of results other than the budget allocation.

*Note: This guideline is developed in the absence of any document prepared by the System Management Office (SMO) and may be adapted once a common CRPs approach is finalized<sup>3</sup>.*

## Mapped Projects and Funded Activities

CRP-GLDC, have 9 PCs. The 6 CGIAR PCs are International Crops Research Institute for the Semi-Arid Tropics (ICRISAT) the Lead Center (LC); International Institute of Tropical Agriculture (IITA); International Center for Agricultural Research in the Dry Areas (ICARDA); Bioversity International; World Agroforestry Centre (ICRAF); International Livestock Research Institute (ILRI). The 3 non-CGIAR PCs are Centre de coopération internationale en recherche agronomique pour le développement (CIRAD), Commonwealth Scientific and Industrial Research Organisation (CSIRO) and Institut de Recherche pour le Développement (IRD). While CGIAR PCs contribution through W3/Bilateral projects has to be accounted at financial level both in the Plan of Work and Budget Table 3<sup>4</sup> and in the Annual Report Table 13<sup>5</sup>, the contribution from non-CGIAR PCs is accounted at the research results level only. This form of planning and reporting may not provide a full picture of research investment from the non-CG Centers.

All PCs through their Focal Points and Flagship Leaders are required to review the suggested guidelines which will have final approval of the Director, CRP-GLDC. This process benefits from one full year<sup>6</sup> of implementation (POWB and AR) completed (2018). Hence, this is a first attempt to achieve a better investment of W1 and W2 funds thanks for the identification of promising research areas not addressed and/or partially addressed by the W3/Bilateral portfolio.

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<sup>3</sup> The Audit process in several CRPs recommended the consortium office to develop specific guidelines for mapping Bilateral and W3 projects. This document was supposed [to be issued by June 30<sup>th</sup> 2015](#) and once developed the CRPs will follow the same approach. This guideline further elaborated on the basis of the one from the CRP on Dryland Systems in Phase I, can be used by the consortium office and other CRPs to create a common understanding.

<sup>4</sup> <https://drive.google.com/file/d/18RYbkCiQjrMKsiasDuAUPG1L4cycgnrz/view>

<sup>5</sup> <https://drive.google.com/file/d/1A9MY3BmqJci9tUGllzlwPfgj2P1XdteL/view>

<sup>6</sup> CRP-GLDC was approved one year later compared to other CRPs thus its first implementation year is 2018.

The review of CGIAR Research Programs' Governance and Management by the Independent Evaluation Arrangement (IEA)<sup>7</sup> states that "Funding for the CRPs as a whole is almost equally divided between resources allocated by the Fund (W1, W2, W3) 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 underlined the potential risk of having a high share of Bilateral funds for CRPs causing the scientific agendas of the center to drive the CRP framework and its impact pathways. However, we note the lack of recommendations for the SMO to develop clear guidelines and procedures for the mapping process.

The present document details the actions that each PC should consider for ongoing/approved and new W1/W2 activities and W3/Bilateral projects.

### **W1/W2 activities: Criteria for allocation**

W1/W2 Activities are strategically planned and granted through the POWB process. The CRP-GLDC proposal presents the level of investment needed to achieve the expected results through the Performance Indicator Matrix Tables (PIM)<sup>8</sup>. The W1/W2 funds which are communicated every year by the SMO to the PMU. These funds were proportionally allocated, in accordance with the Proposal document, to the FP for the implementation of activities of first year i.e. 2018, and are generally used to leverage W3/Bilateral funds to support activities. During the second year, additional strategic initiatives have been created by acquiring contribution from all FPs as in the case of the cross-cutting 'Market and Partnerships in Agri-Business (MPAB)<sup>9</sup>. PMU recommends to FP Leader to retain a contingency fund of 15% of allocated resources in the form of W1/W2 under 1st and 2nd Priority. Each FP Leader manages the Prioritization Exercise within its FP in consultation with Cluster of Activity (CoA) Co-Leaders for the key activities to be funded, those to be terminated and the ones to continue with additional funding. In view of the shortened duration of CRPs by one year, to advance the achievement of planned milestones and targets by 2021, the initial allocation ratio may differ in favor of fast tracking the results. Further, no new standalone activity will be considered for funding in 2020 and beyond unless considered impactful. The primary guidance in this exercise is the milestone table presented at proposal stage with additional consideration that are mentioned in the narrative contribution that each FP present to the PMU and report in the POWB and Annual Report documents.

The main criteria of W1/W2 for W1/W2 allocation are<sup>10</sup>:

1. Matching with at least one of the 4 Flagships TOCs: <http://gldc.cgiar.org/flagship-programs/>
2. Focused in at least one of the 9 CRP-GLDC Crops: <http://gldc.cgiar.org/why-gldc/>
3. Implemented in one of the 13 priority countries or subject to scaling of CRP-GLDC technologies development in one of the 13 priority countries: <http://gldc.cgiar.org/why-gldc/>

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<sup>7</sup> <http://iea.cgiar.org/publication/final-report-crp-governance-and-management-review>

<sup>8</sup> <https://hdl.handle.net/20.500.11766/10232>

<sup>9</sup> <https://hdl.handle.net/20.500.11766/10248>

<sup>10</sup> FP's do prioritization exercises, despite all Activities meeting all criteria, considering GLDC's limited resources.

### W3/Bilateral Projects: Criteria for Mapping

W3/Bilateral projects are grant agreements through which each PC receives funds directly from Donors. Considering the contribution of bilateral funding to GLDC, PCs may consider mapping W3/Bilateral projects beginning at the time of proposal development guided by GLDC outputs, and documents as framework. Their proposal development and approval process may or may not involve the Research Management Committee Members (RMC) of (CRP-GLDC). W3/Bilateral projects addressing specific Strategic Result Framework (SRF) goals through set of Indicators and Targets, have their own governing structure. In the best case, only one project manager is managing the Bilateral project and PCs have a planning, reporting and governance process in place with the donors funding these projects at the institutional level.

The procedure of mapping a project is based on the scientific relevance to CRP-GLDC, but there is a risk that results are not communicated to the CRP other than the financial allocation and the financial summary presented twice a year (POWB/PC). The financial reporting is mostly done by the PC Finance department directly to the Lead Center Finance Department. The Center Focal Points (CFP) should be proactively informed about the outcome of the governing bodies such as the Research Management Committee (RMC) to the W3/Bilateral Project Managers, and ensure FPs leaders receive information related to planning and reporting of relevant research results.

W3/Bilateral Projects should follow the same criteria specified for W1/W2 activities however, when those projects are scaling the CRP-GLDC technologies, they can be mapped to other geographies where the agro-ecologies are similar to the ones of the target countries.

If a CRP-GLDC PC intends to map a particular W3/Bilateral project to CRP-GLDC, the PC is recommended to engage the PMU during the project proposal writing phase, before finalizing the agreement with the Donor(s). The final agreements with the Donor(s) are recorded by PC and made available to the PMU as and when SMO assessment are implemented, and documents are requested by SMO through CRP-GLDC PMU. The donor(s) will take advantage from evaluations and impact studies that the CRP-GLDC will conduct after the closure of the Bilateral projects in addition to W1/W2 activities. The donor(s) will have access to all M&E and impact related documentation needed for its Official Development Assistance (ODA) peer-review.

Once a W3/Bilateral project is officially mapped following the PMU approval, the CRP-GLDC will strive to ensure that the project results will contribute to strengthen the program's objectives and will be complemented with the use of W1&W2 funds. The CFP will inform her/his Center Management Committee on any relevant decision of the CRP-GLDC PMU.

A mapped project will contribute to the CRP-GLDC logical framework avoiding duplication of results and promote relevance, efficiency, effectiveness, impact, sustainability, and quality of science to achieve IPGs.

### Criteria for removing a W3/Bilateral project from CRP-GLDC

A decision for the removal of W3/Bilateral projects from the CRP-GLDC will be based on the following, independent of project size:

- In case a new project has rules and regulations that are incompatible with CRP-GLDC, the project will not be mapped to CRP-GLDC and its results/budget will not be presented in CRP-GLDC documentation for accountability. Cases of incompatibility are a) limited exclusivity agreement; b) conflict with CGIAR Open Access Policy; c) etc.
- Non-aligned to CRP-GLDC priorities
- No evidence provided of outputs/outcomes aligned to CRP-GLDC in the previous 12 months

A list of delivery by non-aligned project will be provided to the Research Management Committee for its review and the final decision making related to the removal of projects will be made by the Director, CRP-GLDC every 6 months. A record of the decision will be kept in the minutes of the RMC meeting.

Following a decision to remove the project from CRP-GLDC, the MEL Focal Point will take action in MEL to remove the project from the CRP-GLDC portfolio.

### Ongoing/approved W1/W2 Activities and W3/Bilateral Projects

The Activity Leaders (W1/W2) as for the case of W3/Bilateral Projects Managers record the initiatives in the CRP-GLDC Monitoring, Evaluation and Learning (MEL) Platform. During the registration process, the expected results are included along the Impact Pathway against FP and CoA levels and the project summary/logical framework are entered. The summary includes the financial plan for the project and timelines. Other relevant documents may be uploaded on MEL to facilitate the Assessment of Performance Criteria introduced by the SMO in October 2019. Once this step is completed, the FP Leader and CoA Co-Leaders are notified by the MEL Officer in order to review/comment about the project expected results.

In case, the PC received funds from another CGIAR (CG) Center, which it is already mapping entirely a W3/Bilateral project to CRP-GLDC or to another CRP; the PC cannot map the same financial resources and technical results again. This will not only avoid double counting but also reduce staff time dedicated to planning and reporting.

The FP and CoA Co-Leaders should organize regular meetings (in person or virtual) with her/his mapped Project Managers when appropriate to share progress, constraints and official communication from CRP-GLDC. FP Leaders should evaluate the use of the W1/W2 funds allocated by CRP-GLDC to enhance the W3/Bilateral projects and promote the objectives of the CRP-GLDC program. FP Leaders together with the Center Focal Point (CFP) are responsible for the timely achievement of results committed by the Bilateral Project Managers.

Project Managers of W3/Bilateral projects are expected to provide an annual update in MEL in accordance with the CRP-GLDC reporting calendar for their mapped projects to FP Leaders and CoA Co-Leaders in



collaboration with their CFP. Any change in the Bilateral project work plan that may affect the next year Plan of Work and Budget (POWB) should be notified by the CFP to the FP Leaders and CoA Co-Leaders with a copy to the PMU.

FP Leaders and CoA Co-Leaders may inform the Bilateral project managers on the meetings organized by the Flagship Team.

The following criteria are to be applied to the process of adding a W3/Bilateral project to CRP-GLDC, independent of project size:

1. The project must make a clearly articulated and credible contribution to the GLDC **Theory of Change**, specifically in one or more of the following areas:
  - Research outputs
  - Research and/or development outcomes (sub-DOs and DOs)
  - SLO-level impacts
2. The project must fit with expressed **Program priorities**, as indicated with the approved Flagships of CRP-GLDC, and/or refer to Management Committee recommendations on Program Priorities, updated during annual planning processes.
3. The project should also clearly align with the following secondary criteria:
  - Contribution to cross cutting themes
  - Alignment with priority geographies
  - Have clearly defined and measurable plans for activities and outputs
  - Ensure that the right partners are being engaged in the development and delivery

## Financial Management

Financial procedures for W3/Bilateral projects are those of the PCs which being the members of the CGIAR guarantee that those processes are standardized and audited regularly.

W1&W2 funds are distributed to each PC in accordance with the PPA, thus complying with PIA rules and regulations. The use of W1&W2 funds is exclusively to promote the CRP-GLDC objectives strategically.

The POWB of CRP-GLDC each year includes the aggregated Bilateral funds as provided by PC when submitting their POWB. The spending of these projects is reported to PMU office for compliance.

CFP must inform the PMU in the case of any non-performing and withdrawn W3/Bilateral project which could have a direct impact on the expected targets and overall on the reputation of CRP-GLDC.

W1&W2 funds cannot be utilized to fill the unplanned identified gaps from the W3/Bilateral projects.

It is recommended that the mapping of W3 and Bilateral projects to CRP-GLDC is reviewed and approved by the PC CFP to make sure that they will contribute to the outputs and outcomes of CRP-GLDC POWB and overall objectives.

## Partner and Subcontractor Management

Partners of Bilateral projects become partners of CRP-GLDC. Thus, full information<sup>11</sup> on the partners must be provided to PMU and non-sensitive information will be published on online websites related to CRP-GLDC. (e.g. Partner Institutions name, logos, news, involvement). Partners and sub-contractors should comply with the terms of the Standard PPA used within CRP-GLDC.

## 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 CRP-GLDC M&E plan, framework, and regulations. The web-based CRP-GLDC M&E tool (<http://mel.cgiar.org>) is the base to record project activities, monitor progress and report at the end of each year.

Each PC M&E function should liaise with the CRP-GLDC MEL Focal Point in order to create a program Community of Practice (CoP) strongly connected with the CGIAR Monitoring, Evaluation and Learning (MEL) CoP.

## Strategic Communication, Management of Resulting Intellectual Assets, Knowledge, Information and Data Management

The PMU has a Communication Officer, who will interact with the PC communication units/focal points. Project Managers of the W3/Bilateral mapped projects must first share relevant research outputs and related communication materials with the FP leaders and CoA Co-Leaders, who will in turn proactively share these with the PMU Communication Officer, their Center Communication unit/focal point.

The overall CRP-GLDC communication strategy (including Branding and Acknowledgement Guidelines) will apply to by all PC, and tailored communication interventions may be foreseen for each mapped project. Research outputs mapped through W3/Bilateral projects must comply with the overall CRP-GLDC Branding and Acknowledgement Guidelines as per the requirements pertaining to them. Information and data collected within the W3/Bilateral portfolio must comply with the principles of CGIAR Open Access policy<sup>12</sup> and must be entered and/or reflected in the program's M&E system and repositories in order to be part of the program. The International Public Goods (IPGs) should follow the CGIAR-IP guidelines and CRP-GLDC will ensure the broader dissemination in-line with the CRP-GLDC objectives.

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<sup>11</sup> Project document and agreement, progress reports and annual reports.

<sup>12</sup> <https://library.cgiar.org/bitstream/handle/10947/2875/CGIAR%20OA%20Policy%20-%20October%20202013%20-%20Approved%20by%20Consortium%20Board.pdf?sequence=4>