

**Proposed initial 2020 allocations of W1-2 in FTA's 2020 Plan of Work and Budget (POWB)**

**Rev 2 – 29 February 2020**

Rev 2 to correct the summary sheets on Page 11 for ICRAF and Bioversity that missed the report of allocations for the MELIA workplan.

**Executive summary**

This paper has two objectives. First, it aims to explain how FTA Management Team (MT) constructed FTA's POWB 2020. Secondly, it presents the initial 2020 allocations of W1-2 to partners and priorities, which are the outcome of the process followed to put together the 2020 POWB.

This POWB is funded by USD 10.0m of W1-2 expected to be received from the CGIAR trust fund in 2020, plus 1.5m of program-level carry-over from 2019. These complements 76.9m of bilateral/W3 resources.

The POWB builds upon the investment made the previous years through the prioritization process and the preparation of 3 years workplans (2019-2021) for each of the operational priorities. It considers 2019 progress and delivery by scientific teams, key external developments during 2019, as well as guidance given by the ISC workshop on impact assessment. Similarly to previous years, it integrates a contingency planning scheme for W1-2 resources.

The 2020 POWB is the middle year of the 3-yr workplans 2019-2021. FTA being a time-bound program ending in December 2021, this workplan include a substantial ramping-up of the efforts dedicated (i) to the assessment of outcomes and impacts of the program as a follow-up of the ISC workshop, (ii) to consolidate the evidence on what trees can bring to farming systems and agriculture, and (iii) to support key international processes such as the UNFCCC, CBD, CFS, and key global sectoral sustainability platforms, such as for rubber. The aim is to show the legacy of the partnership for our donors and beneficiaries, and to advocate for a strong related programmatic component within the reformed CGIAR as part of its ambition to transform food, land and water systems.

**A- Processes and criteria used in the development of the FTA's 2020 POWB**

The process by which this POWB was prepared by the Management Team (MT) between August 2019 and January 2020 builds on the lessons learned from 2018. The MSU and MT sought to reduce input requested of flagship teams and associated transactions costs, while

ensuring compliance with the CGIAR performance management standards, especially standards 1 (integration of bilateral projects) and 4 (prioritization based on priorities and performance).

## 1) 2020 provisional budget

1. The provisional income/budget is composed of (i) the indicative FTA W1+2 allocations from the CGIAR Financial plan (finplan) for 2020 and (ii) of the program-level W1+2 carry-over into 2020. It is complemented by the budget from W3/bilateral projects integrated in the different operational priorities of FTA.

2. The [finplan 2020](#) was published by the SMO on 17 January 2020 and [endorsed by SMB](#) on 29 January 2020. It includes the following targets for FTA: 7.387m of W1, USD 2.609m of W2, for a total of USD 9.996m. It was accompanied by a recommendation from the SMO to under-program by 10%. It represents an increase of 0.6m over 2019.

3. The **program-level carry-over**<sup>1</sup> from 2019 into 2020 is the difference between W1-2 funds effectively made available in 2019 to the program<sup>2</sup> and the lower amount of funds effectively disbursed in 2019 by the lead center to FTA program participants, according to the final 2019 allocations approved by the BoT at its meeting in November 2019 following the recommendation made by ISC. It amounts to USD 1,485,000.

## 2) Contingency planning scheme

4. The **contingency planning scheme** splits the W1-2 income into three tiers<sup>3</sup> of decreased probability of funding, calibrated using the same formula as in 2019 (see Table 1a). The corresponding envelopes are given in Table 1b

5. Tier 3 (1.8m) exceeds the under-programming recommendation of the SMO by USD 0.8m, therefore we are confident that undertaking Tier 1 and Tier 2 activities is devoid in 2020 of financial risks for FTA partners.

**Table 1a. FTA 2020 W1+2 contingency planning**

<i>Tier</i>	<i>Corresponding to</i> <sup>4</sup>
Tier 1	2019 Carry overs + 25% of 2020 W1 + 100% of 2020 W2
Tier 2	50% of 2020 W1
Tier 3	25% of 2020 W1

<sup>1</sup> The carry-over will be reported in the CGIAR annual reporting on 2019, as it concerns the use of 2019 funds.

<sup>2</sup> These funds are known very late in the year and the last 2019 installment of 2.6m W1 funds was received by the lead center on 13 December 2019.

<sup>3</sup> Tier 1: extremely likely to be disbursed, and will be disbursed to partners earlier in the year than Tier 2. Tier 2: very likely to be disbursed, and will be disbursed later in the year than Tier 1. Tier 3: uncertain / unlikely to be disbursed, unless additional positive information is received from the SMO on course of the year. So, at the beginning of 2020, FTA Partners will be expected to start Tier 1 and Tier 2 activities (the case being pre-financing activities if possible), but are advised not to start Tier 3 activities to avoid bearing unreasonable financial risks.

<sup>4</sup> T1 and T2 were rounded to the closest 5k.

<b>Total</b>	<b>2019 Carry overs + 2020 W1 + 2020 W2</b>
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**Table 1b. W1-2 Resources from FTA 2020 finplan and W1-2 program-level carry-over from 2019 (USD)**

	Total	Tier 1	Tier 2	Tier 3
2020 finplan	9,996,000	4,455,000	3,695,000	1,846,000
2019 carry-over	1,485,000	1,485,000		
<b>Total</b>	<b>11,481,000</b>	<b>5,940,000</b>	<b>3,695,000</b>	<b>1,846,000</b>

### **3) 2020 Plan of work**

6. The FTA POWB is both priority-based and activity-based. It is priority-based, as it is prepared taking as entry point FTA's operational priorities. It is activity-based in the sense that for each operational priority an itemized list of W1-2 funded activities and deliverables (each one with its dedicated amount of resources and the indication of the funding tier) as well as a list of related bilateral projects, are agreed to as part of the POWB<sup>5</sup>.

7. All allocations and workplans result from (i) principles agreed upon by the MT, (ii) strategic orientations considering end-of-program objectives, (iii) analysis of all draft work plans submitted by FPs to the MT, and (iv) consideration of 2019 delivery performance. This was done as follows.

8. **Three operational priorities** were added in 2020 (see list in Annex 3). Two of them to better delineate research areas in pre-existing priorities addressing development bottlenecks needing more visibility: smallholder tree-crop commodities (P24), tree seeds and seedlings delivery systems (P25). Also, an operational priority on foresight (P23) was formally added to serve as a vehicle for the related work.

9. In absence of information from the SMO on 2020 finplan during the second semester of 2019 when the POWB was being elaborated, a conservative hypothesis of a finplan similar to 2019 (9.4m W1+2, of which 2.6m W2 and 6.8m W1) was adopted. The envelopes to FP management and MSU, data, capacity development, communication, as well as unrestricted management funds for partners were maintained at 2019 levels. The MSU then computed individual budgetary ceilings for each of the priorities. No penalty to individual priorities needed to be applied because progress and delivery in each operational priority (traffic-light report) was satisfactory.

<sup>5</sup> Planning in detail at the activity/output level enables accountability as well as progress tracking in line with the upcoming performance requirements of the system. It also enables partners to understand exactly how CGIAR W1+2 funds are expected to be used, therefore facilitating "project-like" management of CGIAR funds by each partner, which will be a requirement of the upcoming CGIAR performance standards. The detailed POWB, at the level of individual activity and outputs per priority/FP/partner, including the contingency planning scheme, will be subsequently entered into the MARLO system.

10. Complying with the above and using the prioritization criteria (Annex 4), FP leaders, in consultation with their partners, prepared a draft plan of work and budget for each of the priorities they are leading. Each workplan includes the description of W1-2 funded activities and outputs, the allocations to FP/partner/tiers detailed at the level of each individual activity/output, and a description of the contributing bilateral projects<sup>6</sup>. They were reviewed in light of the recommendation by the ISC at its 12<sup>th</sup> meeting on 4 November 2019, to focus on activities that will best lead to 2021 outcomes of the greatest significance for the overall program.

11. When FTA received the CGIAR finplan 2020, a **budget revision** needed to be made. The additional funds were vetted by the MT to be allocated to MELIA (Monitoring, Evaluation, Learning and Impact Assessment), to the Kunming conference<sup>7</sup> co-organized with CAS and to support strategic publications, stakeholders and partners engagement in 2020 to prepare for the post 2021.

12. Considering that it was higher than originally expected, the **program-level carry over** from 2019 to 2020 was allocated through a separate, specific procedure to support a set of special initiatives strategically chosen amongst proposals submitted by MT members (each member could submit max 2 proposals, each of max 100k of budget), given the following criteria:

- Building-upon the rest of the program.
- Respect the same prioritization criteria used to prepare the overall budget.
- Lead to key and demonstrable results, e.g. additional influence, on-the-ground impacts, by the latest end 2021.
- Potential to consolidate existing partnerships or to construct new partnerships.

The nine special initiatives selected by the MT are presented in Annex 1. Emphasis was given to initiatives generating and synthesizing key evidence on areas of high expectations for the program: the role of trees in agricultural systems (four initiatives), for climate change adaptation, for the bio-economy, on to attract landscape finance. Finally, one initiative will investigate gendered impacts of the formalization of value chains,

The carry-over was also used to increase the envelopes dedicated to MELIA (+210k), to foresight (+100k), and to support the FTA science conference 2020 (250k).

13. As a result, the 2020 POWB is putting substantially more emphasis on three critical issues discussed with ISC, namely: activities that will demonstrate (i) the roles of trees in agricultural systems and their impact, (ii) the roles of trees and their products in sustainable food systems and for better nutrition, and (iii) the role of trees and forests for climate change adaptation. A

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<sup>6</sup> The priorities workplans can be found in the following [folder](#).

<sup>7</sup> The conference is still officially planned to date. A teleconference with the host and CAS is foreseen on 19 February to assess the situation against the coronavirus epidemic. The conference may be postponed in Kunming to a later date which could possibly be early 2021, in order to strategically inscribe it into the implementation of the new CBD framework for 2030.

special effort is made towards the MELIA domain in 2019, with overall 1.0m of W1-2 resources allocated to the corresponding operational priority, including MELIA coordination.

14. allocations of funds to FPs and partners in the different areas of the program are found in Annex 2. The overall W1-2 allocation to a specific FTA partner is the sum of the budget that it shall receive for each of the outputs for which it is responsible. This list of outputs will be inserted into the PPA (program participant agreement) that the partner has signed with the lead center and serves as the legal basis to receive W1-2 funds.

15. The current POWB leaves at this stage an amount of 276,100 USD of Tier 3 under the MELIA workplan still unallocated amongst program participants. It is proposed that this amount be prioritized in case some Tier 3 is made available, and related activities started. The MELIA team is currently working on finalizing the related workplan which would include complementary studies on progress towards program outcome targets. Resulting allocations to partners will be proposed for ISC and BoT endorsement in due course.

16. This W1-2 workplan (total of USD 11,481,000) strategically complements a W3/bilateral program of USD 76.9m in 2020 (2020 budget for signed grants by FTA program participants on 1<sup>st</sup> January 2020 and integrated into the program).

#### **B- Proposed initial allocations of W1-2 to priorities, flagships and program participants that result from the above processes and criteria**

The tables below show the allocations to flagships and program participants resulting from the workplan and priorities.

Table 2 shows the repartition of the full W1-2 budget for the 25 operational priorities and the four domains of program support<sup>8</sup>, as well as how it relates to FP research towards the priorities. For the 650k of program support, the following repartition applies (same as in 2019): cap dev: USD 150k, data: USD 200k, communication and outreach: USD 300k.

Table 3 represents the resulting allocations to partners and Table 4 to FPs, CCTs and MSU.

Tables 5 and 6 represent for each FP how the partners are involved, excluding special initiatives, that are shown separately in Table 7.

Table 8 gives a detailed summary of the resources for each program participant.

The full related list activities and deliverables (and their funding allocation) per partner is available upon request. Once the allocations are approved, the lead center will prepare, based on this list, the 2020 program partnership agreements with each of the program participants, including a detail at the level of the deliverable.

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<sup>8</sup> In previous years, the 4 areas of program support (last four lines) were previously presented lumped-into a single category “program management and support”.

Table 2) FTA budget by programmatic domains

Priority		USD BUDGET	Special initiatives	Operational, support and coordination									
				FP1	FP2	FP3	FP4	FP5	Melia	Gender	MSU	Comms, Cap dev, Data	Partners funds
P 1	Restoration	786,000	0	268,000	0	0	398,000	0	0	0	120,000	0	0
P 2	Plantations and tree crop commodities	447,500	0	0	0	297,500	150,000	0	0	0	0	0	0
P 3	Enhanced nutrition and food security	360,000	100,000	141,000	0	0	119,000	0	0	0	0	0	0
P 4	Safeguarding and conservation	240,000	0	240,000	0	0	0	0	0	0	0	0	0
P 5	NDCs	490,000	0	0	0	0	0	400,000	0	0	90,000	0	0
P 6	Bioenergy and biomaterials	260,000	100,000	0	0	0	0	160,000	0	0	0	0	0
P 7	Blue carbon/peatlands	120,000	0	0	0	0	0	120,000	0	0	0	0	0
P 8	Climate Change Adaptation	310,000	100,000	0	0	0	0	210,000	0	0	0	0	0
P 9	Landscape Governance	250,000	50,000	0	0	0	200,000	0	0	0	0	0	0
P 10	Gender	725,000	30,000	0	0	0	0	0	0	695,000	0	0	0
P 11	Silvopastoral Systems	110,000	0	0	110,000	0	0	0	0	0	0	0	0
P 12	Market-based agroforestry-forestry	390,000	100,000	0	290,000	0	0	0	0	0	0	0	0
P 13	Farm-forest policy interface	200,000	0	0	200,000	0	0	0	0	0	0	0	0
P 14	Agroecology	180,000	100,000	0	80,000	0	0	0	0	0	0	0	0
P 15	Livelihood trajectory modelling/assessment	150,000	0	0	150,000	0	0	0	0	0	0	0	0
P 16	Inclusive finance and business models	331,000	0	0	0	331,000	0	0	0	0	0	0	0
P 17	Finance for sustainable landscapes	217,800	95,000	0	0	122,800	0	0	0	0	0	0	0
P 18	Zero deforestation	380,000	100,000	0	0	280,000	0	0	0	0	0	0	0
P 19	Orphan crops	210,000	0	210,000	0	0	0	0	0	0	0	0	0
P 20	Sustainable supply	129,000	0	0	0	59,000	0	0	0	0	70,000	0	0
P 21	R4D quality and impact	1,104,700	210,000	0	0	0	0	0	894,700	0	0	0	0
P 22	Sentinel Landscapes	220,000	150,000	0	0	0	70,000	0	0	0	0	0	0
P 23	Foresight	170,000	100,000	0	0	0	0	0	0	0	70,000	0	0
P 24	Smallholder tree crop commodities	260,000	0	0	260,000	0	0	0	0	0	0	0	0
P 25	Tree seeds and seedlings delivery systems	90,000	0	90,000	0	0	0	0	0	0	0	0	0
Strategic publications, stakeholder engagement		250,000	0	0	0	0	0	0	0	0	250,000	0	0
FTA science conferences and workshops		595,000	250,000	0	0	0	0	0	0	0	345,000	0	0
Program support (comms, cap dev, data)		650,000	0	0	0	0	0	0	0	0	0	650,000	0
Program and FP leadership, coord. & management		1,855,000	0	190,000	230,000	190,000	195,000	195,000	0	0	705,000	0	150,000
TOTAL		11,481,000	1,485,000	1,139,000	1,320,000	1,280,300	1,132,000	1,085,000	894,700	695,000	1,650,000	650,000	150,000

Table 3) POWB 2020 : resulting 2020 W1-2 allocations to program participants

2020	Bilat/W3	2020 W1+2	Tier 1	Tier 2	Tier 3	total POWB	T1+T2
CIFOR (parked)		276,100	-	-	276,100	276,100	
CIFOR	29,171,610	5,196,600	3,527,900	1,301,700	367,000	34,368,210	4,829,600
ICRAF	23,460,638	3,693,300	1,471,000	1,467,200	755,100	27,153,938	2,938,200
Bioversity	2,399,898	795,000	252,500	367,100	175,400	3,194,898	619,600
CIAT	1,964,993	70,000	-	50,000	20,000	2,034,993	50,000
CIRAD (*)	2,275,000	440,500	171,000	202,500	67,000	2,715,500	373,500
CATIE	671,000	476,500	296,500	138,200	41,800	1,147,500	434,700
INBAR	12,255,766	274,700	96,800	74,300	103,600	12,530,466	171,100
TROPENBOS	4,700,000	258,300	124,300	94,000	40,000	4,958,300	218,300
<b>TOTAL</b>	<b>76,898,905</b>	<b>11,481,000</b>	<b>5,940,000</b>	<b>3,695,000</b>	<b>1,846,000</b>	<b>88,379,905</b>	<b>9,635,000</b>

(\*) 105k not represented in this line is channeled through ICRAF line (FP2 including 25k of coordination funds)

NB: The sum parked in CIFOR (lead center) corresponds to the MELIA POWB still under finalization.

**Table 4) Allocations by FPs/CCTs**

2020 (*)	Bilat/W3	2020 W1+2	Tier 1	Tier 2	Tier 3	total POWB
FP1 (operational + coord)	11,763,346	1,139,000	311,000	559,000	269,000	12,902,346
FP2 (operational + coord)	11,395,728	1,320,000	400,000	620,000	300,000	12,715,728
FP3 (operational + coord)	18,619,038	1,280,300	354,300	613,500	312,500	19,899,338
FP4 (operational + coord)	16,144,758	1,132,000	351,300	522,300	258,400	17,276,758
FP5 (operational + coord)	18,468,719	1,085,000	325,000	510,000	250,000	19,553,719
Gender CCT (operational)		695,000	147,000	368,000	180,000	695,000
Melia (operational)		694,700	211,400	207,200	276,100	694,700
Special Initiatives (**)		1,485,000	1,485,000			1,485,000
Cap Dev	507,316	150,000	150,000	-	-	657,316
Data		200,000	200,000	-	-	200,000
Comms. and outreach		300,000	300,000	-	-	300,000
Partners Funds (***)		150,000	150,000	-	-	150,000
Melia Coordination (MSU)		200,000	200,000			200,000
MSU, conferences (****)		1,650,000	1,355,000	295,000	-	1,650,000
<b>TOTAL</b>	<b>76,898,905</b>	<b>11,481,000</b>	<b>5,940,000</b>	<b>3,695,000</b>	<b>1,846,000</b>	<b>88,379,905</b>
(*) FP lines includes FP management budgets (total 1m)						
(**) Special initiatives funds to FPs, CCTs and MSU - see Table G						
(***) Unrestricted allocation of 30k to partners not leading a FP, to cover management, planning, reporting, participation to FTA meetings.						
(****) Programm coordination and support to integrative activities,, conferences and strategic publications						

**Table 5) Break out of operational FP funds** (these exclude FP management – see Table 6, and special initiatives – see Table 7)

	<b>FP1 : operational priorities (excludes FP management and special initiatives)</b>				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR		26,000	4,000	22,000	0
ICRAF		592,000	64,000	353,000	175,000
Bioversity		311,000	43,000	174,000	94,000
CIAT		-			
CIRAD		-			
CATIE		-			
INBAR		20,000	10,000	10,000	0
TROPENBOS		-			
<b>TOTAL</b>	-	<b>949,000</b>	<b>121,000</b>	<b>559,000</b>	<b>269,000</b>
	<b>FP2 : operational priorities (excludes FP management and special initiatives)</b>				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR		75,000	10,000	25,000	40,000
ICRAF		872,800	143,700	523,500	205,600
Bioversity		-			
CIAT		-			
CIRAD (80k through ICRAF)		-	0	0	0
CATIE		95,000	7,000	57,200	30,800
INBAR		47,200	9,300	14,300	23,600
TROPENBOS		-			
<b>TOTAL</b>	-	<b>1,090,000</b>	<b>170,000</b>	<b>620,000</b>	<b>300,000</b>
	<b>FP3: operational priorities (excludes FP management and special initiatives)</b>				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR		441,000	69,500	248,500	123,000
ICRAF		213,500	34,000	119,000	60,500
Bioversity		45,500	5,000	24,500	16,000
CIAT		-			
CIRAD		240,000	40,500	132,500	67,000
CATIE		29,500	4,500	19,000	6,000
INBAR		-			
TROPENBOS		120,800	10,800	70,000	40,000
<b>TOTAL</b>	-	<b>1,090,300</b>	<b>164,300</b>	<b>613,500</b>	<b>312,500</b>
	<b>FP4: operational priorities (excludes FP management and special initiatives)</b>				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR		248,000	48,000	138,000	62,000
ICRAF		509,000	94,300	233,300	181,400
Bioversity		59,000	4,000	40,000	15,000
CIAT		-			
CIRAD		35,000	0	35,000	0
CATIE		32,000	10,000	22,000	0
INBAR		30,000	0	30,000	0
TROPENBOS		24,000	0	24,000	0
<b>TOTAL</b>	-	<b>937,000</b>	<b>156,300</b>	<b>522,300</b>	<b>258,400</b>



	FP5: operational priorities (excludes FP management and special initiatives)				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR		462,000	62,000	330,000	70,000
ICRAF		143,000	33,000	35,000	75,000
Bioversity		-			
CIAT		70,000	0	50,000	20,000
CIRAD		50,000	15,000	35,000	0
CATIE		45,000	0	40,000	5,000
INBAR		120,000	20,000	20,000	80,000
TROPENBOS		-			
<b>TOTAL</b>	-	<b>890,000</b>	<b>130,000</b>	<b>510,000</b>	<b>250,000</b>

	Gender CCT (excludes special initiatives/carry-over)				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR	-	265,000	42,000	151,000	72,000
ICRAF	-	208,000	32,000	118,400	57,600
Bioversity	-	222,000	73,000	98,600	50,400
CIAT	-	-			
CIRAD	-	-			
CATIE	-	-			
INBAR	-	-			
TROPENBOS	-	-			
<b>TOTAL</b>	-	<b>695,000</b>	<b>147,000</b>	<b>368,000</b>	<b>180,000</b>

	MELIA CCT (excludes special initiatives/carry-over)				
	Bilat	2020 W1+2	Tier 1	Tier 2	Tier 3
CIFOR (Parked)	-	276,100	-		276,100
CIFOR	-	193,600	101,400	92,200	
ICRAF	-	95,000	10,000	85,000	
Bioversity	-	70,000	40,000	30,000	
CIAT					
CIRAD	-	60,000	60,000	0	
CATIE	-	-			
INBAR	-	-			
TROPENBOS	-	-			
<b>TOTAL</b>	-	<b>694,700</b>	<b>211,400</b>	<b>207,200</b>	<b>276,100</b>

**Table 6) Break out of FP Management funds by program participant**

		FP management				
	Total	FP1	FP2	FP3	FP4	FP5
CIFOR	370,000		25,000	160,000	20,000	165,000
ICRAF	500,000	160,000	180,000	5,000	125,000	30,000
Bioversity	37,500	30,000			7,500	
CIAT	-					
CIRAD	25,500		-	18,000	7,500	
CATIE	45,000		25,000		20,000	
INBAR	7,500				7,500	
TROPENBOS	14,500			7,000	7,500	
<b>TOTAL</b>	<b>1,000,000</b>	<b>190,000</b>	<b>230,000</b>	<b>190,000</b>	<b>195,000</b>	<b>195,000</b>

**Table 7) Break out of special initiatives (2019 carry-over funds) by program participant**

	TOTAL	FP1a	FP2a	FP2b	FP3a	FP3b	FP4a	FP5b	Biov. B	CATIE a	CATIE b	Science conf. (MSU)	Impact studies (MELIA)	Foresight (MSU)
CIFOR	716,000	20,000	-	20,000	26,000	100,000		80,000	20,000			250,000	100,000	100,000
ICRAF	460,000	80,000	100,000	80,000			100,000						100,000	
Bioversity	20,000								10,000				10,000	
CIAT	-													
CIRAD	-													
CATIE	200,000									100,000	100,000			
INBAR	20,000							20,000						
TROPENBOS	69,000				69,000									
<b>TOTAL</b>	<b>1,485,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>95,000</b>	<b>100,000</b>	<b>100,000</b>	<b>100,000</b>	<b>30,000</b>	<b>100,000</b>	<b>100,000</b>	<b>250,000</b>	<b>210,000</b>	<b>100,000</b>

**Table 8) Break out of program participants funds by FPs and CCTs.**

NB: In the set of tables below, *FPs, CCTs and MSU lines includes operational, management and special initiatives funds*<sup>9</sup>.

lead center (parked)	2020 W1+2	T1	T2	T3
<b>Unallocated MELIA</b>	<b>276,100</b>	<b>-</b>	<b>-</b>	<b>276,100</b>

CIFOR	2020 W1+2	T1	T2	T3
FP1	46,000	24,000	22,000	-
FP2	120,000	55,000	25,000	40,000
FP3	727,000	355,500	248,500	123,000
FP4	268,000	68,000	138,000	62,000
FP5	707,000	307,000	330,000	70,000
Gender	285,000	62,000	151,000	72,000
Comms	300,000	300,000	-	-
Data	200,000	200,000	-	-
Cap Dev	50,000	50,000	-	-
MELIA	293,600	201,400	92,200	-
MELIA coordination (MSU)	200,000	200,000		
MSU	2,000,000	1,705,000	295,000	-
<b>Total</b>	<b>5,196,600</b>	<b>3,527,900</b>	<b>1,301,700</b>	<b>367,000</b>

<sup>9</sup> In these tables, the special initiatives proposed by FPs have been mapped to the FPs having made the submissions. The special initiatives proposed by CATIE have been mapped respectively to FP4 (CATIE a) and FP2 (CATIE b), Bioversity's special initiative has been mapped to gender CCT, the special initiative on impact has been mapped to MELIA CCT (unallocated), and the foresight and FTA science conference have been mapped to MSU.

<b>ICRAF</b>	2020 W1+2	T1	T2	T3
FP1	832,000	304,000	353,000	175,000
FP2	1,232,800	503,700	523,500	205,600
FP3	218,500	39,000	119,000	60,500
FP4	734,000	319,300	233,300	181,400
FP5	173,000	63,000	35,000	75,000
Gender	208,000	32,000	118,400	57,600
Cap Dev	100,000	100,000	-	-
<b>MELIA</b>	<b>195,000</b>	<b>110,000</b>	85,000	-
<b>Total</b>	<b>3,693,300</b>	<b>1,471,000</b>	<b>1,467,200</b>	<b>755,100</b>

<b>Bioversity</b>	2020 W1+2	T1	T2	T3
FP1	341,000	73,000	174,000	94,000
FP2	-			
FP3	45,500	5,000	24,500	16,000
FP4	66,500	11,500	40,000	15,000
FP5	-	-	-	-
Gender	232,000	83,000	98,600	50,400
Partners funds	30,000	30,000	-	-
<b>MELIA</b>	<b>80,000</b>	<b>50,000</b>	<b>30,000</b>	
<b>Total</b>	<b>795,000</b>	<b>252,500</b>	<b>367,100</b>	<b>175,400</b>

<b>CIRAD</b>	2020 W1+2	T1	T2	T3
FP1	-			
FP2	-	-	-	-
FP3	258,000	58,500	132,500	67,000
FP4	42,500	7,500	35,000	-
FP5	50,000	15,000	35,000	-
MELIA	60,000	60,000	-	-
Partners funds	30,000	30,000	-	-
<b>Total</b>	<b>440,500</b>	<b>171,000</b>	<b>202,500</b>	<b>67,000</b>

NB: the table above does not include 105k of FP2 funds channelled through ICRAF

<b>CIAT</b>	2020 W1+2	T1	T2	T3
FP1	-			
FP2	-			
FP3	-			
FP4	-			
FP5	70,000	-	50,000	20,000
Partners funds	-			
<b>Total</b>	<b>70,000</b>	<b>-</b>	<b>50,000</b>	<b>20,000</b>

<b>CATIE</b>	2020 W1+2	T1	T2	T3
FP1	-	-		
FP2	220,000	132,000	57,200	30,800
FP3	29,500	4,500	19,000	6,000
FP4	152,000	130,000	22,000	-
FP5	45,000	-	40,000	5,000
Partners funds	30,000	30,000	-	-
<b>Total</b>	<b>476,500</b>	<b>296,500</b>	<b>138,200</b>	<b>41,800</b>

<b>Tropenbos</b>	2020 W1+2	T1	T2	T3
FP1	-	-		
FP2	-	-		
FP3	196,800	86,800	70,000	40,000
FP4	31,500	7,500	24,000	-
FP5	-	-	-	-
Partners funds	30,000	30,000		
<b>Total</b>	<b>258,300</b>	<b>124,300</b>	<b>94,000</b>	<b>40,000</b>
<b>INBAR</b>	2020 W1+2	T1	T2	T3
FP1	20,000	10,000	10,000	-
FP2	47,200	9,300	14,300	23,600
FP3	-	-	-	-
FP4	37,500	7,500	30,000	-
FP5	140,000	40,000	20,000	80,000
Partners funds	30,000	30,000		
<b>Total</b>	<b>274,700</b>	<b>96,800</b>	<b>74,300</b>	<b>103,600</b>

Move appendix 2 here, so your appendix all deal with criteria and their application (for the special initiatives)

## Appendix 1. Special initiatives

Proposals received on 12 December 2019

[https://www.dropbox.com/sh/yexi2cuvtazehzg/AABzRzVkNsYpeCK5\\_LYhvWAVa?dl=0](https://www.dropbox.com/sh/yexi2cuvtazehzg/AABzRzVkNsYpeCK5_LYhvWAVa?dl=0)

Proponent	Title	Decision	Remarks
FP1a	Diversified Food Portfolios for Africa. An interactive mapping approach and smart-phone App for year-round nutritious foods	Yes (100k)	Need to include end users in the elaboration of the tool. Need to explain why the collection of data production and consumption; skeptical about the front-end app. These kinds of long-term strategic decisions are taken by farmers with support of extension services: the app should be for them (and not necessarily smartphone based)
FP1b	Effectively conserving and using biodiversity by productive restoration: applying Status, Pressure, Benefit and Response indicators to tree diversity to assess progress to global targets in an Ethiopian case study	No	It is unclear who will use the indicators and what for and what is the engagement strategy. Seems over ambitious and premature (would be better to wait for the CBD decisions on the post 2020 indicators). It is unclear what the real objectives of the work and indicators are, and how it links to the EoPOs? Link with the tool proposed by Bioversity? Unclear value added with respect to work undertaken in PATSPO.
FP2a	Documenting and evaluating the socio-economic performance of agroecological practices across Africa	Yes (100k)	Relevant, builds upon the current program, in an area that has currently substantial momentum, area strategic for FTA as it positions the program in the agricultural sector, presence of co-funding inscribed in a CGIAR-level initiative with partners.
FP2b	Evidencing whether, and by how much, trees and forests in agricultural landscapes can increase livelihood and landscape resilience	Yes (100k)	Relevant. Puts the focus on a critical contribution of trees to resilient food systems. Links to impact assessment. Need to liaise with the initiative proposed by Peter (on adaptation metrics)
FP3a	Finance for sustainable landscapes: two distinct pathways to achieve impact.	Yes (95k)	Corresponds to a clear demand expressed by important partners. Significance of private sector and finance sector partners. Shows the value of the work conducted in FTA. Contributes to the analysis of impact pathways of sustainable finance. Builds upon the work until now including the

			white paper and session at GLF. Noted the budget at 95k.
FP3b	Sustaining palm oil: Social footprinting of informal and formal market value chains	Yes (100k)	Good promising study of gender mainstreaming into inclusive value chains, linked to stakeholder engagement. Can provide good insights on potential gender impacts of changes of organization (formalization) of value chains and on how to integrate the gender and social dimensions in the sustainability debates.
FP4a	Global Stock-take Framework for the role of agroforestry in climate change adaptation.	Yes (100k)	Puts the focus on an important area at a critical moment (cf Global Commission for Adaptation - CGA). Timely, addresses a real need and has potential for uptake in the revision of NDCs and preparation of NAPs. Link to the international agenda (Koronivia Work program). Builds upon FTA work for the CGA and with FAO. Suggest to modify title to better reflect the focus of the content.
FP5a	Enhancing Trust and Transparency in MRV Practices for Reforestation and Afforestation Projects: A Blockchain-Based Framework	No.	Relies exclusively on purely external capacities, does not build on our comparative advantage, and does not create capacities in FTA/CIFOR. Protocol should be discussed as part of a broader partnership (potential users, CGF, governments). The test of the app only covers the first steps, not adoption and use.
FP5b	New wood-based products: technological situation, market potential, climate effects and opportunities for developing countries	Yes (100k)	Good links to the 2-degree initiative, to which it will contribute. Responds to a growing interest for green and circular economy and the need for better evidence. Strengthen FP5 outcomes. Need to better show and include linkages with new partners and private sector.
Bioversity a	Decision-support for tree species and seed source identification to optimise restoration and biodiversity outcomes	No.  Ok to dedicate 10k for an independent evaluation /survey of the use of the tool locally (to be integrated	There is currently no transparency on the tool and full documentation and coding of the tool is not available. The objective of the tool is unclear (is it for a first guess on possible options, or end-user/farmer advice)? Before asking for an extension of the tool we would need a stocktake of its usage locally and including feedback from the users. Demand for the tool unclear (compared to other means to pass on related information to restoration projects). Peer-review of tool inexistent. Nowhere on

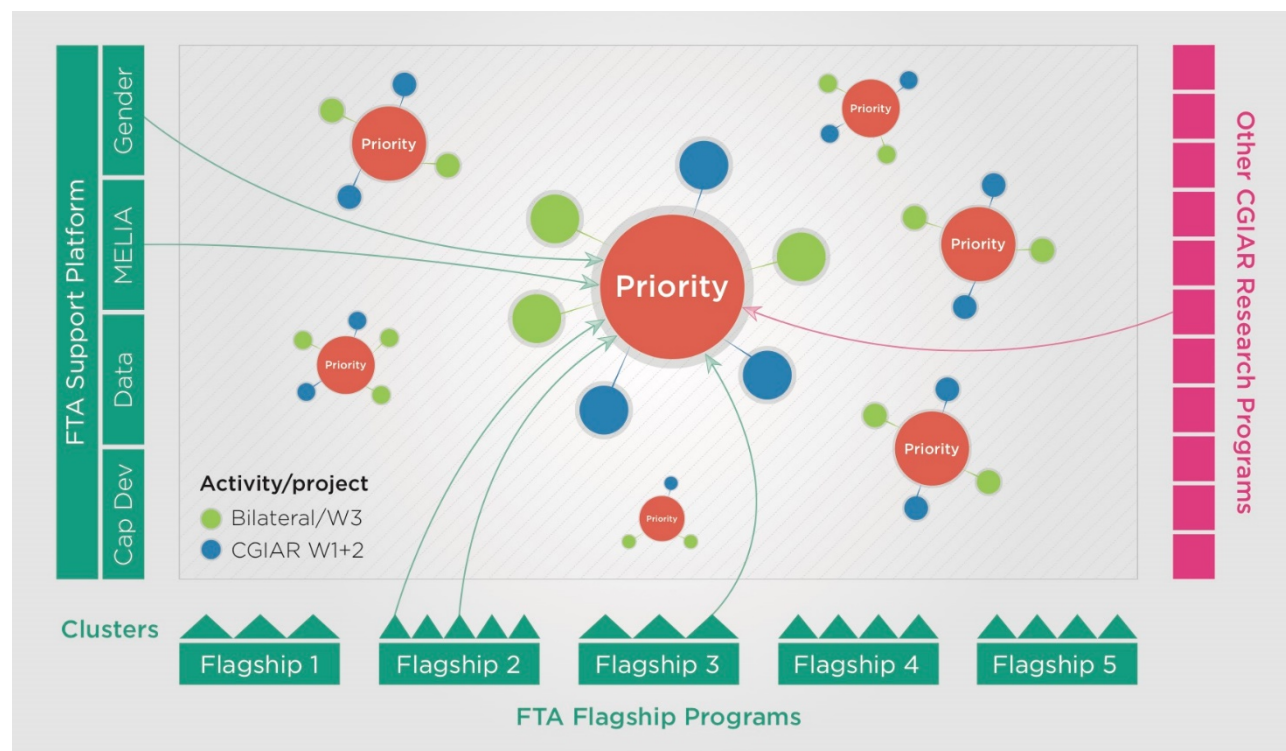
		in the MELIA budget)	the website it is said that the tool is linked to FTA.
Bioversity b	Scaling capacities for gender-responsive restoration	Partial acceptance (30k)	Mainly duplicates POWB. OK for an additional capacity building workshop and one webinar. Communications activities to be undertaken by the FTA program-level communication unit as part of its workplan.
CATIE a	Document the effects of governance models and interventions (instruments) in the optimization of trees/forests at the farm and landscape level in Central Nicaragua in the Nicaraguan-Honduras Sentinel Landscape (NHSL)	Yes (100k)	Covers the key issue of governance and enabling environment at local level which is a growing topic of interests (see jurisdictional approaches). Provides a follow-up to the initial stages of sentinel landscapes, documenting the changes brought by the programme and thus contributing to impact assessment. Fills a gap in the SL portfolio, on exploring governance aspects in a successful case. Contributes to strengthen a critical partnership.
CATIE b	From research to impact: realizing the potential of trees on farms for biodiversity conservation and increasing farmers' livelihoods in Catacamas, Olancho, Honduras, in the Nicaragua-Honduras Sentinel Landscape (NHSL)	Yes (100k)	Important area of work to highlight the role and potential on trees in agriculture and cattle system. Explores an important area which is the optimization of the trees already present on farm. Contributes to the optimization of land-use at multiple level. Shows the contribution of FTA to the agricultural sector. Builds upon strong workstreams. Potential for upscaling and outscaling.
INBAR a	Assessing ecosystem services from bamboo forests including biomass carbon, hydrological behavior, soil erosion control and land stabilization in bamboo plantation and degraded watershed of western Himalayas	No.	Proposal is interesting but not a priority, impact limited given geographic scope. Limited potential for partnerships.
INBAR b	Facilitating ecosystem restoration Cameroon, Ethiopia, Ghana, Kenya and Uganda to address the Bonn Challenge and the UN decade of ecosystem restoration	No.	Low and unclear value addition / additionality to the underlying project.





## Appendix 2. FTA priorities and relationships with the FTA structure

Figure 1: schematic representation of FTA priorities in relation to the FTA structure



Each priority is led by one FP, with contributions from one or several clusters of the lead FP and of other FPs and/or cross-cutting themes (CCTs) of the FTA Support Platform. Some priorities, such as the one at the center of the Figure, could also be contributed to by other CRPs, through co-investments. Any bilateral/W3 project (represented in green in the Figure) and any CGIAR W1+2 funded activity (in blue) is linked to a priority.

Table 2. List of lead Flagships and associated focal points for each priority.

	OPERATIONAL PRIORITY	Lead FP	Operational focal point
P1	Restoration	FP4 / Peter Minang	Peter Minang
P2	Plantations	FP3 / Michael Brady	Guillaume Lescuyer
P3	Enhanced nutrition and food security	FP1 / Ramni Jamnadass	Ramni Jamnadass
P4	Safeguarding, biodiversity and conservation	FP1 / Ramni Jamnadass	Ramni Jamnadass
P5	NDCs	FP5 / Christopher Martius	Christopher Martius
P6	Bioenergy	FP5 / Christopher Martius	Christopher Martius
P7	Blue carbon/peatlands	FP5 / Christopher Martius	Christopher Martius
P8	Climate Change Adaptation	FP5 / Christopher Martius	Christopher Martius
P9	Landscape Governance	FP4 / Peter Minang	Peter Minang
P10	Gender	CCT gender / Marlene Elias	Marlene Elias

P11	Silvopastoral Systems	FP2 / Fergus Sinclair	Fergus Sinclair
P12	Market-based agroforestry-forestry	FP2 / Fergus Sinclair	Fergus Sinclair
P13	Farm-forest policy interface	FP2 / Fergus Sinclair	Fergus Sinclair
P14	Agroecology	FP2 / Fergus Sinclair	Fergus Sinclair
P15	Livelihood trajectory modelling/assessment	FP2 / Fergus Sinclair	Fergus Sinclair
P16	Inclusive finance and business models	FP3 / Michael Brady	George Schoneveld
P17	Innovating finance for sustainable landscapes	FP3 / Michael Brady	Bas Louman
P18	Commitments to zero deforestation	FP3 / Michael Brady	Marie Gabrielle Piketty
P19	Orphan crops	FP1 / Ramni Jamnadass	Ramni Jamnadass
P20	Sustainable supply	FP3 / Michael Brady	Guillaume Lescuyer
P21	Quality of FTA research for development	CCT Melia / Federica Coccia	Federica Coccia
P22	Sentinel Landscapes	FP4 / Peter Minang	Peter Minang
P23	Foresight	MSU / Vincent Gitz	Vincent Gitz
P24	Smallholder tree crop commodities	FP2 / Fergus Sinclair	Fergus Sinclair
P25	Tree seeds and seedlings delivery systems	FP1 / Ramni Jamnadass	Ramni Jamnadass

#### **Annex 4: Criteria for W1+2 prioritization and priority envelope adjustments**

Compulsory criteria (Quality of research for development):

1. **Relevance:** The proposed work is aligned to the priorities of the CRP as defined in the priority setting process. It addresses one/several key research gap as identified in the priority setting process. The proposed work targets one or several specific development demand(s) or goal(s) fulfilling stakeholder's needs
2. **Scientific credibility:** The proposed work clearly explains the scientific rationale, research question(s) and methods, giving confidence that research findings will be novel, robust and scientifically trustworthy.
3. **Legitimacy:** The proposed work clearly explains how the work will take account of and reflect stakeholders' perspectives and values. Research is done in contact with beneficiaries and stakeholders are involved from the framing of questions to the design of research and solutions.
4. **Comparative advantage:** The partner has a comparative advantage in undertaking the work proposal, with available internal competencies. Data is available and the proposed work appropriately leverages and builds upon on previous work etc.

Prioritization criteria specific to W1+2 funded research

5. **Past delivery performance:** Delivery on time of POWBs (W1+2 funded outputs) as per the traffic light reporting
6. **Gender:** A specific attention to gender is warranted and the overall gender CCT budget is ring fenced in 2019 at a minimum of the 2018 level USD 700,000. This envelope includes a range of gender activities integrated in the operational priorities, as well as the operational priority on gender.
7. **Promising areas of work:** The importance of W1+2 funding was considered to support some promising areas of work. Amongst these, the following were identified in the MT discussions:
  - Links between value chains and landscapes
  - Agroecology
  - Bioenergy/biomaterials
  - Nutrition
  - Economic dimensions of restoration (costs benefits, incentives)
  - Availability of germplasm, diverse and of quality
  - Clarification of impact pathways.
8. **Effectiveness and contribution to impact:** The proposed work contributes to FTA ToC in a catalytic way. The work is deliberately and convincingly positioned to contribute to significant outcomes, with high potential to contribute to development objectives and impact.
9. **Contribution to IPGs:** The proposed work has high potential to develop methods and/or new knowledge that will have international public goods value.
10. **Strategic value:** The proposed work has high potential to add value at the FTA Program-level and contributes to strategically oriented research, including bilaterally funded work, to help realize the FTA ToC.

11. **Program growth:** The proposed work has high potential to contribute to the growth of FTA through developing and strengthening partnerships, generating additional program development opportunities.
12. **Vertical, horizontal and/or temporal Integration.** The proposed work (i) feeds or has potential to feed into other flagships and research areas and for bringing coherence in methodological approaches, such as enabling the creation of extrapolation domains; and/or (ii) promotes continuity of action along the research to development continuum in FTA's impact pathways; and/or (iii) *contains* programmatic learning, extends projects' scientific and development relevance beyond their completion.