

Workshop Series Report

Lessons in Theory of Change from a Series of Regional Planning Workshops

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Key Points

Regional planning workshops are a good value-for-money investment for the following reasons:

- To build coherent projects and a cohesive regional research for development program portfolio it is important to have some structural dimensions to help harmonize the science with the development demands.
- It is important to bring project teams together as early as possible to allow them to develop their project plans in the knowledge of the other on-going projects while there is still enough flexibility to make changes to their plans.
- Developing and writing project plans with a carefully selected diverse group of people can help strengthen the assumptions being made in the theories of change described.
- It helps to break down silos and competition by encouraging project teams to identify linkages and overlaps, and to develop interest in each other's plan and find ways to realize synergies. It contributes to the selection process if people want to work in a more integrated, interdisciplinary, multi-partnerships research for development with a focus on outcomes.
- Each region has its own context, and its own development challenges, institutional arrangements and set up; and each has a unique mix of people involved. At the start, we were envisaging developing one workshop model that could be used in all regions; but we soon learnt that the model had to be adapted for each regional workshop.

Background

The CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) is using theory of change (TOC) planning to specify research outputs, partnerships needed to produce outputs, and a plausible hypothesis on how these outputs will contribute to development outcomes. This learning note is part of a series to capture the process, progress and lessons from CCAFS in its endeavor to plan, implement and deliver research for development with a strong focus on outcome delivery. The portfolio

for 2015 includes about 80 newly contracted projects in five CCAFS target regions (South and Southeast Asia, East and West Africa and Latin America) with a value of between \$5-15 million in each region.

Since the last of these learning notes was published, the process for finalizing the impact pathways (IPs) was considerably simplified to ensure that it was as practical as possible and to ensure buy-in. This learning note describes that process, and the preparatory work in the run up to a series of regional planning workshops; much of this work was focused on reducing the complexity of the IPs and their M&E framework as far as was practicable.

Simplification of the programmatic framework / impact pathways planning

From experience with the results-based management (RBM) trial projects, when looking at the IPs and how the process could be simplified, the following main changes were identified, tested and implemented:

- **Reducing the number of indicators** to be monitored at the program level to a minimum: one for 2025 and two for 2019 for each flagship. Thus the program will monitor a total of 12 indicators, four outcome indicators for 2025 and eight for 2019 (see Table 1, with CCAFS core outcome indicators). Progress towards these is defined by the projects and monitored annually, quantitatively for the set outcome target numbers accompanied with a qualifying narrative. These qualifying narratives turn out to be crucial to avoid double counting, to allow for aggregation of the numbers across regions and flagships, and to enable projects to report progress towards outcomes in years when outcomes themselves have not been achieved. Regional outcome statements have also been modified to map one-to-one into flagship outcome target indicators.
- Along with the simplification an attempt towards an improved **specification of the indicator formulation** and a **standardized wording of outcome statements** was undertaken (see Table 1

Table 1: Example of CCAFS Flagship Indicators

Flagship	2025	2019
1: Climate smart agricultural practices	# mio. of farmers, incl. at least 40% women, with strengthened adaptive capacity and food security as a result of programmatic CSA investment	# of national and subnational development initiatives and public institutions that prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools.
		# of public-private actors at national and sub-national levels are using new incentive mechanisms or business models/ markets that explicitly promote climate smart approaches along the value chain, using CCAFS science
2: Climate change information services and safety nets	# mio. of farmers, incl. at least 40% women, with improved capacity to adapt to climate related risk by accessing research-informed climate services and/or well-targeted safety nets.	# of regional, national, and/or sub-national institutions using research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities
		# of donors, international development and non-government organizations working with national partners to invest in research-informed demand-driven climate services for agricultural and food security decision-making
3: Greenhouse Gas	% decrease in agricultural emissions intensities in eligible systems compared	# of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women

emissions reduction	with 2025 projected emissions	# millions of hectares targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing deforestation
4: Policies & institutions for climate resilient food systems	# of (sub-)national jurisdictions that increased their equitable institutional investments in climate smart food systems	# of equitable national/subnational food system policies enacted that take into consideration climate smart practices and strategies
		# of regional/global organizations that inform their equitable institutional investments in climate smart food systems using CCAFS outputs

- We **merged major output groups** (MOGs, i.e. clusters of outputs) **with major research actions** (MRAs, i.e. clusters of activities) and kept only the output level for the higher-level (flagship and regional) IPs. Most of the activity clusters were just the output clusters reworded as actions. Subsequently, we harmonized the regional MOGs with the flagship ones so that the program now has one set of MOGs. MOGs are a programmatic construct to allow monitoring of deliverables that were thought to be necessary incentives to enable the changes that we need to achieve. We kept the amount of MOGs at 2-6 per 2019 flagship outcome (see Figure 1 for summary framework).
- For program monitoring and evaluation (M&E), we reduced **the focus of the IPs to the CCAFS funded program of work**. An inventory of other ongoing initiatives which may contribute together with CCAFS work to achieving the outcome targets was moved into the TOC narrative.
- Projects are mapped into the higher level regional and flagship IPs through their contributions towards program outcomes and flagship targets.
- The CCAFS management team has gone through several iterations of defining and adjusting the **outcome target numbers, in relation to** the literature, experience, and inputs from flagship and regional teams, as well as partners. These numbers were then truthed by and through the projects in the regional workshops and broken down into annual targets for 2015 and 2016.

Conceptualization of the regional workshops

The conceptualization was done in an **iterative process** first with the CCAFS management team to build a generic concept note for all five workshops (see initial concept note). This was then adjusted for each workshop with the regional teams and some flagship team members, to fit the specific regional context.

Box 1: CCAFS Definitions

Outputs – are tangible deliverables like publications, communication materials.

Outcomes – are behavioral changes in people like knowledge, attitude, skills and, most importantly, practice.

Next-users – are people who use directly research results, products, or deliverables. We have no leverage over them.

Partners – are people in organizations that are involved in projects through some funding mechanisms, either receiving or contributing resources to activities. The boundaries between partners and next-users can be blurred and in some cases partners are also next-users.

Higher level impact pathways – simplified

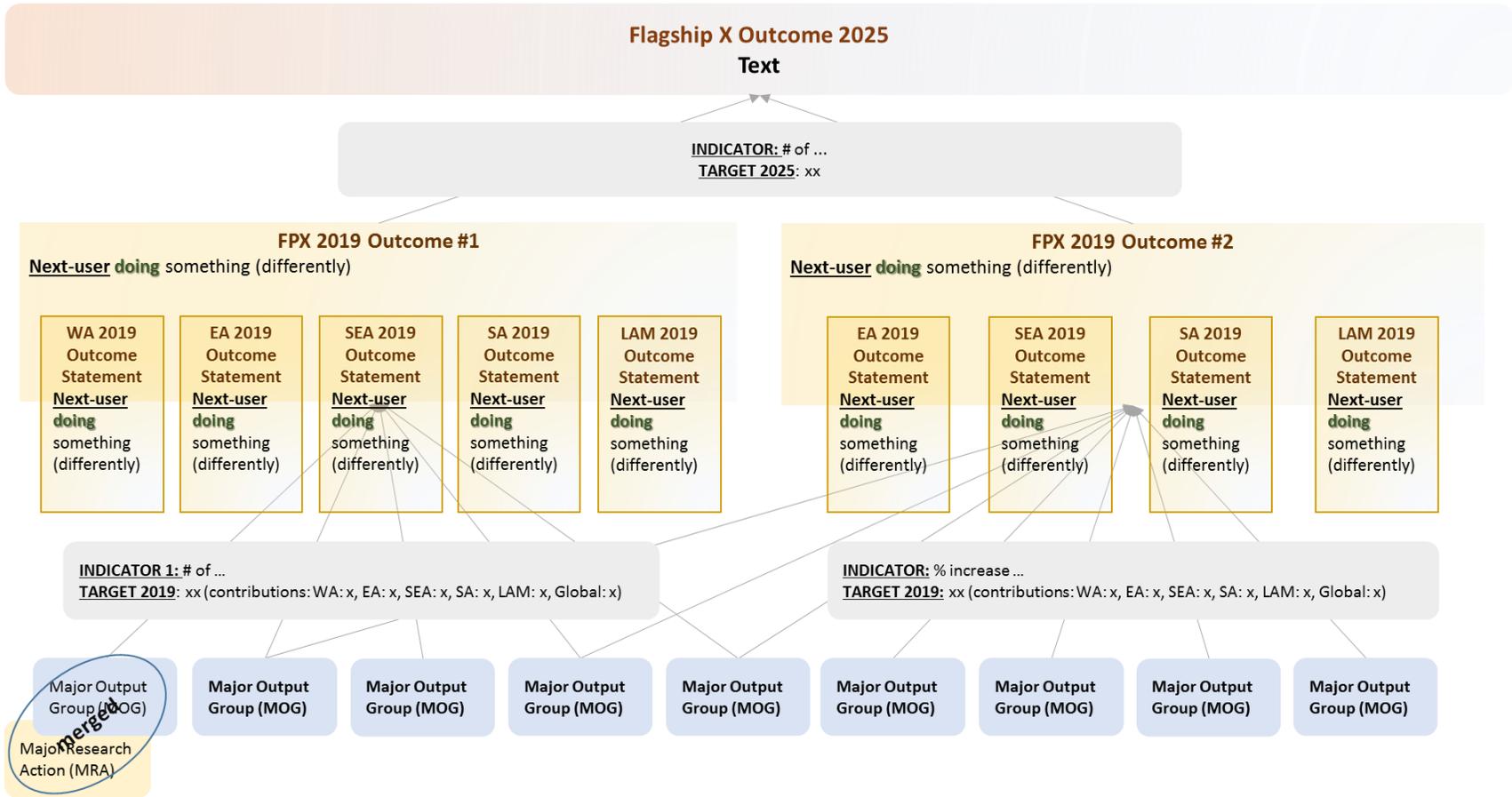


Fig. 1 Higher level impact pathways – simplified framework template for a flagship.

Overall we aimed to provide a meeting space for the projects in a region to come together and work on and improve their project plans. The purpose was to build a coherent and cohesive regional program of work AND learn more about CCAFS programmatic framework thinking with its shift towards a RBM approach and an outcome-focused M&E system. Each workshop tried to cover these two big areas. The detailed objectives for the workshop changed slightly after the first one and were simplified and reduced to:

- harmonise and integrate IPs, TOC and target indicators among the regional portfolio of projects; and
- maximize synergies among projects by developing a strategy for working together on common sites, baselines, research methodologies, and stakeholder engagement and communication.

The corresponding **expected outputs** were:

- Clear CCAFS program of work for each region (and how the four flagships support this);
- A unified set of IPs and project M&E plans, including a set of project IPs in the region and how they link and contribute to the regional and flagship IPs.

The **expected outcomes** – we aimed to build a unified spirit among the participants by being in this process together and making the most out of this given opportunity – included the following:

- All workshop participants understand the regional and flagship IPs and what they are contributing to with their work. They understand what is required from them with regards to M&E efforts in the next year and know how to start implementing them with their teams.
- All workshop participants know what the projects will be held accountable for and what needs to be put in place to deliver evidence for their outcomes, so that they can develop M&E operational plans.
- All workshop participants and in particular the Project Leaders feel comfortable and well informed to share key insights with other project team members and resource persons (FPL, RPL, SO) for the implementation of their projects.

For the implementation of the series of workshops, a wide range of factors needed to be considered, some of which are shown in Table 2. Examples are venue, duration, composition of participants, number of projects, geographic distribution of project work, number of partners and next-users of project results, which parts of a project planning and IPs to select to allow projects to identify linkages, and overlaps and opportunities for synergies.

The participants of the regional workshops were the project leader and one or two partners with at least one from the development and implementation field, i.e. a research user or stakeholder. There was a focus on the new projects in the process of being contracted, but project leaders or representatives of other projects contributing to the regional outcomes were also invited. We aimed at a maximum number of 35 participants, including the resource people from flagships, regional team, gender team, communicators, and coordinating unit.

We started with an agenda lasting four days to be reduced for the subsequent workshops to three days. The sessions were planned in an iterative manner so that elements of an IP would be dealt with several times but from different angles and with a different lens. The sessions were a mix of plenary and smaller group sessions. The plenary sessions were of two kinds: (1) input sessions where the whole

group would be introduced to basic things such as the CCAFS regional portfolio, RBM, M&E, social impact thinking, and the projects themselves, and (2) smaller groups fed the results and highlights from their discussions back into plenary to allow for synthesis across the different groups. In the group sessions and discussions we chose different groupings, which we thought to be best suited to the session objectives. For example, groupings were by flagship when the topic was focused on outcome targets (as the flagships are the lens by which CCAFS is required to report to the Consortium Office). In other cases, groupings were by geographic scope or scale when the session was about next-users or baseline work, or by project team when projects were revising their project plans.

Table 2: Matrix

	LAM	SA	SEA	WA	EA
Location in/outside center HQ	CIAT Cali	Hotel Bangkok	Hotel Bangkok	Hotel Nairobi	Hotel Nairobi
Duration (days)	4	3	3	2,5	2,5
Total no. of participants	45	36	48 + 5 visiting donors	34	46
<i>CG -/ non-CG partners</i>	<i>36 / 09</i>	<i>30 / 06</i>	<i>40 / 08</i>	<i>23 / 11</i>	<i>36 / 10</i>
<i>Men / women</i>	<i>29 / 16</i>	<i>29 / 07</i>	<i>38 / 10</i>	<i>24 / 10</i>	<i>26 / 20</i>
<i>Directly involved in project / resource people (FPL, RPL, SO, CU/Center representative)</i>	<i>30 / 12 / 03</i>	<i>24 / 12 / 00</i>	<i>25 / 15 / 08</i>	<i>28 / 06 / 00</i>	<i>32 / 13 / 01</i>
Total no. of projects in the region	21	19	18	15	24
<i>No. of new CCAFS projects</i>	<i>13</i>	<i>11</i>	<i>12</i>	<i>9</i>	<i>17</i>
No. of countries where CCAFS work is planned	Seven (7) Colombia, Peru, Nicaragua, Brazil, Honduras, Guatemala El Salvador	Three (3) – India, Bangladesh Nepal	Six (6) – Vietnam, Cambodia, Laos, Philippines, Myanmar, Indonesia	Four (5) – Senegal, Niger, Burkina Faso, Ghana, Mali	Six (6) -- Ethiopia, Kenya, Uganda, Tanzania, Rwanda, Zimbabwe
Regional integration perspectives used in workshops	- Activities, - Outputs, - Outcome targets & narratives, - Baselines - Partners - Next-users	- Outcome targets & narratives, - Baselines - Research methods - Partners - Next-users	- Outcome targets & narratives, - Baselines - Next-users	- Outcome targets & narratives, - Baselines - Next-users	- Outcome targets & narratives, - Baselines - Next-users

The last day was designed to bring open discussions together and to closure (not to completion, as the regional programs are only starting to implement their new project portfolios), so that participants would walk away with a clear sense of what was achieved and resolved within the workshop, what will happen next, and what is required from each of them. An end-of-workshop evaluation was done, to ensure that we captured lessons from each workshop to inform the next one, as well as what needed to be considered at the management team level. This was done with a mini after action review by all participants asking them what they liked, what was good, and should be kept; what and how to improve; new insights they gained; and what needs to happen next. This was complemented with a debrief with the organizing / resource team right after the end of each workshop.

For more a summary of the workshops see Annex 1 and detailed documentation on the workshops see Annex 2, incl. debriefs of each workshop shared with the CCAFS management team.

Project Planning

Projects were selected on the basis of submitted concept notes and feedback from reviewers (flagship leaders, regional program leaders, program director, external reviewers). Project leaders were asked to revise their project plans using the CCAFS planning and reporting platform (P&R, see box 2) prior to the workshops, and received further feedback at the workshops.

Box 2: Information on CCAFS Planning and Reporting

CCAFS has invested considerable effort on adapting the online Planning and Reporting (P&R) platform to accommodate the RBM approach with IPs and a focus on outcomes. This system guides projects through their planning along the key elements of an IP. It is a real attempt to develop a system that addresses project and program planning, reporting, M&E and RBM, all on one platform (several other CRPs are starting to adopt the platform for their own systems). Work continues on the P&R to enable reporting of 2014 activities for the six RBM projects in early 2015. The P&R planning component was completed to allow for 2015 planning and the reporting should be completed in mid-2015 to accommodate the CCAFS 2016 planning cycle. Revisions to P&R, to enable project planning in relation to IPs and target indicators, represents an enormous amount of design, development and testing work by the CCAFS data management team at CIAT.

Lessons Learnt

We met most of our objectives and outputs, but it requires some pulling together after the workshops; for example, collecting finalized outcome targets and improved narratives, projects making adjustments in the P&R platform, and pulling together workshop content summaries for each region.

Several lessons learnt from of the workshop series include:

- ⇒ The move from a log-frame approach to an outcome-orientated approach constitutes **radical change**. We have found **no off-the-peg solutions** to some of the challenges of implementation, highlighting the importance of collective learning.
- Some of the **assumptions** we made did not quite play out: 1) While we thought that we could develop a **model agenda**, we realized that each region comes with its own context and staffing specifics that needed appropriate adjustments. In practice there were several iterations in adjusting the agenda for each region. 2) We thought that the shift in thinking, **experience and knowledge about IPs** building had already been wider spread within CGIAR and its researchers. It turned out that there is still a lot of capacity strengthening needed to support project teams to actually build their IPs. This was apparent in the vastly different levels of **preparedness of projects**. This was a challenge for the whole facilitation process, particularly in two regions, to ensure that the projects that were behind did not hold back the rest. In practice, this required a trade-off. We needed to dedicate more time to some projects to provide special support, without holding up the others.
- ⇒ That the shift to an outcome-focused RBM is rather radical also manifested itself in the workshops. After two days participants reached a level of saturation in terms of how much new thinking they could take in and still effectively and efficiently apply it to their project workplans. Therefore, we **reduced the number of dimensions** by which the projects could identify overlaps and synergies to

allow for more time and depth to explore the focus areas. While we tried to use a variety of perspectives in the first workshop (six, i.e. activities, outputs, outcomes, partners, next-users, baselines) to allow projects to identify overlaps and synergies, we had three perspectives in the last two workshops, i.e. outcomes, baselines, and next-users.

- ⇒ In retrospect, it is clear that practically **any sequencing of activities will be suboptimal**, in some respect: retro-fitting IPs to an existing set of projects has its own issues and challenges, while developing IPs in the absence of specific projects has other challenges. This was similar with some of the sequencing of activities during the workshops. However, one has to start somewhere and allow for enough flexibility to make necessary adjustments while **progressing with practical grounding and iterative processes** to ensure the teams from the various perspectives are moving forward together. Trying to make RBM not too much of a science itself helped in progressing.
- ⇒ **Impact pathways** are living documents that require a flexible design process including learning and harmonization between all flagships and target regions in CCAFS. **Complex, nested** IPs turned out **not to be the way to go**; we needed a certain amount of negotiation over time to get to a simpler system that people felt they could buy into. Even a **simplified system** requires resources, and it is time consuming to develop project IPs and to ensure consistency with Flagship and regional IPs.
- ⇒ In the regional workshop series we introduced a key CCAFS product, a **harmonized monitoring and evaluation system** that asks projects to produce evidence that aggregates at higher levels and across geographies. The M&E system helps to provide a clear picture for all CCAFS partners of what results are occurring, what results are expected, how they will be produced, how they will have to be reported upon and what their role in the process is.
- ⇒ **People matter** enormously and for that matter staffing. Something that might sound very trivial, yet is often underestimated when it comes to change processes and paid too little attention and resources to. Each participant comes with their own specific strengths, skills and motivations. Compositions are different each time. It is the task of leadership and facilitation to consider these to create mechanisms to work with their best knowledge and performance.

Enabling factors for success

The following factors were key to have the workshop series completed successfully:

- **Leadership authority and support.** The entire process worked in large part because of the backing and buy-in of the CCAFS management team, regional and flagship science officers. The latter in particular showed a deep understanding and persistence in helping to build the framework. This was often a challenge as the full portfolio of projects was not contracted until relatively late in the process. For this reason, the practical truthing of the projects had to wait until the regional planning workshops. One key success factor in getting things moving along at an appropriate speed at critical times was the application of management leadership and authority, particularly from the CRP Director, when it was needed. For the regional workshops the pro-active and engaged leadership from the regional program leader and their teams in content and process was crucial.

- **Support teams** for logistics, provision of the project planning details from the P&R to ensure that regional program leader and facilitator can focus on the content and process with suitable formats and way of groupings were key. **Resource people** for thematic areas (flagship, gender and social differentiation) are key for concrete feedback on the substance on the projects to ensure improved quality while moving towards a coherent program, given that initially project concepts notes were submitted in competition and plans developed separately. **Partners'**, especially national partners' presence kept people honest and accountable to real world.
- A **clear articulation of the targets** as a vision leading to outcomes at the start of the meeting and keeping this vision front and center till the end is essential to guide process and emphasize RBM. Combined with **flexible and participatory facilitation** and adaptation to the group dynamics is important as well as being transparent about decision making and high level of participation. Substantial resources and thinking went into the planning and conceptualization.
- **Having a trial** set up with six projects to pilot processes first, giving a realistic picture of what resources are required, before implementing across the whole program, worked well in the case of the development and shift towards a RBM M&E system. In a similar way, the development and use of the revamped P&R starting with a set of twelve projects, i.e. the ones for the Latin America region, and thus allowed adjustments to be made before the other projects started their planning.
- **Acknowledging and acting upon identified capacity strengthening needs and changes in roles and responsibilities.** During the year, capacity strengthening needs have been identified within and outside CCAFS, which CCAFS is attempting to address (for example, IPs training in April 2014, and development of facilitation guides and learning notes; see references in Annex 2). The CCAFS team is aware of and taking on the considerable role shifts required when working with an outcome-focus: Project Leaders have increased responsibility and accountability for implementing projects in the regions; Regional Program Leaders have a wider-ranging role in overseeing regional projects and in maximising synergies and minimizing overlaps; Flagship Program Leaders have increasing roles in strategic backstopping regional programs; and Centre Contact Points now have a different role to play in aligning activities in their Centre's and in strategic engagement.

Challenges encountered and contentious issues

There were a few challenges encountered – some unforeseen – and mechanisms of how to better cope with them were developed for addressing them in the short- or medium-term. A few of the challenges are expected to be addressed also continuously in the course of regional program implementation.

- ⇒ **CGIAR centre competition** was experienced as a disabling factor when working towards a collaborate effort for development outcomes and social transformation. We found that taking people outside their centres' bases into a comfortable location away from their offices, possibly even into a different cultural context, created an open atmosphere. Overlaps in activities across projects created competitive tension that was often difficult to resolve.
- ⇒ The **indicators** were sometimes felt not to be specific or disaggregated enough, when they were presented during the workshops. The reporting cycle may shed more light on this in terms of

concrete improvements that can be made without turning indicator monitoring into an academic exercise with enormous resource demands – not something that can be seen as CCAFS core business. Additionally, the **absence of consolidated indicators** from the system level (intermediary development outcomes, IDOs) created some uncertainty, but this was also left for now and will be picked up when required, once these have been clarified.

- ⇒ Discussions on how **gender and social differentiation** are properly and adequately integrated into the projects and regional portfolios have been started during the workshops. There was wide consensus that more attention to this matter will need to be paid with practical solutions to ensure that we are making the social norm transformations.
- ⇒ There is some work to do on **incentives to work towards and make outcomes happen**, for projects and project partners as well as our next-users. This also includes the shift towards an **evaluative culture**, effective learning, and promoting “desirable” behaviour.
- ⇒ There is a fine **balance to achieve between carrying out high-quality science and the search for outcomes and impact**. Along the program implementation this will be an iterative process. It requires putting enabling mechanisms in place to allow integration of solid, cutting edge science with development demands and practices.

Next Steps

Through the regional workshops some decision points emerged that were brought to the attention of the CCAFS management team, for example, approval of the RBM evaluation criteria for the overall CCAFS program (see box 3). Some other very practical next steps will follow now that the workshop series has been completed, for example:

- ⇒ Project plans to be finalized in the P&R system and CCAFS flagship leaders, regional program leaders and program director will check the finalized project plans and sign off on projects applying a set of criteria and a traffic light system: green for projects to go ahead, orange for projects with some caveats for change requests, and red for projects that did not yet manage to take the suggestions from reviewers and lessons from the regional workshops on board.
- ⇒ Capacity to strengthen and communicate TOC, IPs and M&E needs to be mainstreamed throughout CCAFS and the CG centres implementing the research. Development of IPs takes quite a lot of skill, time and resources.
- ⇒ All regional planning workshops have the following documentation available: content summary and documentation such as PowerPoint presentations, photos, etc., outcome target tables, baseline discussions, standardized simplified IPs, project portfolio listing, portfolio overview, workshop concept note, workshop logistics, participants listing, and detailed facilitation notes.
- ⇒ The regional workshops allowed some projects to gain insights as to the different partnerships, and possibly different research, that might be needed; CCAFS management may need to develop appropriate mechanisms to modify regional and flagship portfolios so that outcome targets can indeed be achieved; this may require gap filling, shifts in activities, and projects having access to

different or modified skill sets, for example. Along the same lines it will be necessary to define good mechanisms to allow solid science to be aligned and integrated into development practices.

- ⇒ Gender and social differentiation will need more attention as to how this can practically be mainstreamed into the portfolio projects. The newly recruited gender coordinator will be in high demand in helping with this.
- ⇒ Improving the P&R planning platform and developing the revamped reporting part for the trial projects for early 2015, so that the system is ready for the 2016 planning and 2015 reporting cycle for all projects. For example, in the P&R system the planning for deliverables and MOGs seems somewhat arbitrary and is done more like a box-filling exercise, e.g. projects have not given serious thoughts as to how their deliverables map against flagship MOGs. It is anticipated that when projects report against their anticipated outcomes, the deliverables contributions to MOGs will be presented as part of the evidence for progress towards the promised outcomes.
- ⇒ There is an additional element of evaluation in the annual reporting: Project will be evaluated by CCAFS management team and through a self-valuation based on some criteria (see box 3). Once we have completed the full cycle including the reporting in the P&R online platform we expect to have more insights.

Box 3: RBM trial evaluation criteria

- Have projects done and delivered what they said they would (25%) -> **annual outputs**
- How have projects done in relation to their **progress towards outcomes** (35%)
- Degree to which the project is **reflecting core CCAFS principles** (theory of change, quality of partnerships, communications, gender) (20%)
- How well is the project team **responding to opportunities and challenges** and adapting and self-reflecting (20%)

Conclusions

During 2014, project planning, culminating in the series of regional workshops, has taken a great deal of input on the part of many people (including the management team, project leaders and partners, and Centre contact points). We judge the effort and considerable resources to be worthwhile, because it can help provide clarity and coherence to projects and work plans, and cohesion to a portfolio of projects, and alignment in outcome indicators that can be aggregated across projects and regions. Well-articulated impact pathways help everyone understand how projects contribute to higher level outcomes, and help to clarify responsibilities for monitoring and reporting. The outcomes of several projects are quite ambitious; there is growing realization within many project teams that different partners and kinds of partnerships are needed to help achieve these.

Given the change in thinking required for implementing an outcome-orientated approach to research for development, overall we can be satisfied with what has been achieved. Regional project portfolios have become more coherent, and projects are generally aligned along appropriate impact pathways. While moving to a new, perfectly-implemented system in one year is unrealistic, the changes that have been overseen are substantial and will be improved on in 2015 and subsequent years.

CCAFS has made a great deal of progress in developing and setting up its project portfolio for a result-based management, outcome-focused research for development program. Through the regional workshops the truthing of the outcome target indicators was done with the result that CCAFS has put together a portfolio of projects that should allow the achievement of the promised targets – the program may actually over-deliver in some areas.

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Annex 1: Regional content summaries

Latin America

Latin America Regional Planning Workshop September 16th - 19th, 2014

Regional Workshop Content Summary

Status of regional targets post-workshop

Overall regional targets will be fully accomplished according to the estimation presented below:

2019 Indicators	LAM targets	Targets from projects info
Flagship 1		
<i># of national and subnational development initiatives and public institutions prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools</i>	4	28
<i># of public-private actors at national and sub-national levels are using incentive mechanisms and new business models/ markets that explicitly promote climate smart approaches along the value chain</i>	3	51
Flagship 2		
<i># of regional, national, and sub-national institutions develop or improve major demand-driven, equitable, climate informed services supporting rural communities using CCAFS research outputs.</i>	3	6
<i># \$ mio. increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making</i>	2	3
Flagship 3		
<i># of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women.</i>	3	9
<i># of hectares (mio.) targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing deforestation</i>	2	1.9
Flagship 4		
<i># of equitable national/ subnational food system policies enacted that take into consideration climate smart practices and strategies</i>	3	4
<i># of regional/global organisations that inform their equitable institutional investments in climate smart food systems using CCAFS outputs</i>	2	5

Synergies between projects in the regional portfolio

The workshop provided the opportunity for project teams to discuss, in detail, projects contents and outputs in order to explore potential synergies among projects. Some of the synergies identified were as follows:

- Data standards to combine and share data between Citizen Science (2014-43) and CSMS (2014-58) projects.
- All FP3 projects (2014-9, 2014-10, 2014-11) submitted a proposal for CDKN Climate Compatible Development Impact Research Fund for cross-cutting research components that will support learning from all the projects.

- FP4 project (2014-2) will share with AGROCLIMAS (2014-42) project stakeholder mapping and baseline work.
- AGROCLIMAS (2014-42) and CSMS (2014-58) projects will work together on a common extension services activity.
- Collaboration between CSMS (2014-58) and CCAC project on paddy rice.

Important topical issues that arose

Discussion on Climate Smart Villages approach in Latin America. A broad impact pathway was developed by LAM RPL and flagship leaders to determine the approach that should be followed in the region. The following key aspects were highlighted:

- CSV should be a tool for inspiring donors to increase investment in CSA.
- Robust evaluation at multiple scales and in multiple dimensions (e.g. private and social benefits at community level and national, environmentally as well as economically, etc.) should be planned.
- Farmers in CSVs should adopt packages and mixes of climate smart technology, increasing their incomes and enhancing food security.

Cross-cutting issues

- With respect to how to approach gender in the region, several ideas were discussed and some projects included those ideas and recommendations in order to strengthen their work on how to achieve gender results within their activities, such as Livestock plus.
- Communication was highlighted as key in order to avoid double efforts, in order to take opportunity of complementarities and in order to approach efficiently common stakeholders, partners and next users.

Next steps

- Support each project to approach key stakeholders as needed.
- Work to complement the regional portfolio based on gaps found during the workshop (extension services, index insurance, incentives, CSV articulation).
- Develop a bi-monthly bulletin to keep everyone informed of what's going on and a yearly video to present advances on projects.
- Follow-up on information in the P&R to be completed and improved.

Links to photos, presentations and session notes

<http://1drv.ms/11oPCXQ>

Latin America Impact Pathway

(Sept. 2014)

VISION 2025 FOR LATIN AMERICA

Instead of being totally dependent on climate variability (droughts, floods, landslides), the **agricultural sector in Latin America (LAM) manages** climate to its advantage, or at least to avoid the bulk of negative consequences. **LAM farmers and agricultural sector understand and react knowledgeably** to climate variability and challenges, and **implement** sustainable and climate adapted practices **to reduce** food insecurity. **Policy makers and planners** at the national level **are truly using** climate information and tools **to design and implement** plans and strategies, and **are finding ways** to make climate information useful and applicable for end-users. **Policy makers and planners are also promoting** policy and interventions that combine and consider the trade-offs between adaptation and mitigation towards a low emissions agricultural development.

LAM's FP1 2019 Outcome

LAM's producers associations are choosing and promoting CSA context-specific practices through strengthened extension services rescuing ancient and traditional knowledge. **Local governments develop** equitable local agricultural development plans using CSA context-specific portfolios assessed economically **to plan and prioritize** their investments focusing on climate variability challenges. **NARS develop** demand-driven outputs with sufficient technological capacity to address agricultural sector needs to face climate challenges. **Private sector works** with producer's associations, local and national governments **to implement and scale out** CSA involving agricultural market agents through innovative approaches (incentives along value chain to access to certification schemes). **National governments scale up** CSA approach based on successful experiences developed at local level.

Indicator 1: # of national and subnational development initiatives and public institutions prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools.

Target FP1 15 in at least 10 countries. Contribution LAM: 4 (Colombia, Honduras, Guatemala, Nicaragua).

Indicator 2: # of public-private actors at national and sub-national levels are using incentive mechanisms and new business models/ markets that explicitly promote climate smart approaches along the value chain

Target FP1 10 in 6 countries. Contribution LAM: 3 (Peru, Colombia, Nicaragua)

LAM's FP2 2019 Outcome

Meteorological Services generate tailored climate information for decision-makers both at national and local level. **Ministries of Agriculture generate and communicate** tailored agro-climate services through extension services to help smallholder farmers to reduce climate risks, as well as food security information to create informed safety nets. **Research institutions develop** demand-driven insurance options based on agro-climate information, seed markets, and CSA context-specific options. **Private Sector contributes** to the development and **implements** insurance options for smallholder farmers.

Indicator 1: # of regional, national, and sub-national institutions develop or improve major demand-driven, equitable, climate informed services supporting rural communities using CCAFS research outputs.

Target FP2: 10, Contribution LAM: 3 (CRRH, Meteorological Services in CO/HN/GT)

Indicator 2: \$ increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making.

Target FP2: USD50mill, Contribution LAM: 2 (Colombia, Guatemala, Honduras)

LAM's FP3 2019 Outcome

National governments formulate and implement NAMAS and LEDS based on improved data on smallholder agricultural GHG emissions and **implement** equitable policies to strengthen linkages among environment and agriculture in order to avoid deforestation from commodity agriculture, promote restoration to increase carbon sequestration and reduce GHG emissions from livestock and commodities. **Research organizations generate** improved data on smallholder agricultural GHG emissions. **Local governments contribute** to the development of NAMAS and LEDS action plans at local level.

Indicator 1: # of low emissions initiatives that reach at least 10,000 farmers demonstrate significant mitigation potential (i.e. contribute to at least 5% GHG reduction) for 2030 informed by CCAFS science.

Target FP3: 8, Contribution LAM: 3 (Colombia, Costa Rica, Peru)

Indicator 2: # of hectares (mio.) targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing deforestation

Target FP3: 4mill, Contribution LAM: 2 (Costa Rica, Brazil, Colombia)

LAM's FP4 2019 Outcome

National governments design and enact equitable food systems policies and strategies taking adaptation into consideration to support national and regional policy and global climate change negotiations. **Private institutions develop and support implementation** of NAPs and equivalent policies with their respective investment plans addressing climate challenges to increase food security and resilience to changes in climate.

Indicator 1: # of equitable national/subnational food system policies enacted that take into consideration climate smart practices and strategies;

Target FP4 10, Contribution LAM: 3 (Honduras, El Salvador, Colombia)

Indicator #2: # of regional/global organisations inform their equitable institutional investments in climate smart food systems using CCAFS outputs.

Target FP4 8, Contribution LAM: 2 (ACF, Rainforest Alliance/Root Capital)

Latin America Project Portfolio Overview

(Sept. 2014)

FP1 	Evaluation Platform (Bioversity)	Value Chains (CIAT)	CSMS (CIAT)	CSV work in Trifinio, Tuma La Dalia, Cauca Support to Ministry of Agriculture of Colombia and CIAT Agreement (CIAT, RPL LAM) Addressing Gender in LAM
	Citizen Science (FP1, Bioversity)		Coffee Landscapes (Bioversity)	
	Extension Services in LAM (RPL-LAM)	CSA Prioritization Tool (RPL-LAM, FP1)	Engagement with Ag Ministries (RPL-LAM)	
FP2 	AGROCLIMAS (CIAT)			
	Index Insurance in Central America (RPL-LAM, IRI)	Interdisciplinary research to improve information for decision making. (RPL-LAM, IRI)		
FP3 	Livestock Plus (CIAT)	LEDS (IFPRI)	Cattle in Brazil (CIFOR)	
	Capacity building in GHG monitoring in LAM (RPL LAM, CIAT)	Sustainable cattle certification in Brazil (GII) (FP3)	CCAC Agriculture Initiative on Paddy Rice (FP3, RPL LAM)	
FP4 	Relevant Climate Change Information meets Decision-Making to influence Policy and Institutions for Climate Resilient Food Systems (CIAT)			
	Monographs for Latin America (RPL LAM, IFPRI)	Socioeconomic Scenarios (FP4, RPL LAM)	Bioversity Global Policy Work (FP4, RPL LAM)	

South Asia Regional Planning Workshop

October 15 - 17, 2014, Bangkok

Summary Report

Workshop objectives

- To ensure that the CCAFS Impact Pathway of the projects, region and flagships are harmonised and ready to use from 2015.
- To maximise synergies across projects by developing strategies for working together on common sites, baselines, data, research methodologies, and next-users engagement and communications.

Status of regional targets post-workshop

Table 1: Flagship indicators, regional targets, and targets from flagship projects in South Asia

2019 Indicators/Project	SA targets (National/Sub-national)	Targets from FS projects (National/Sub-national)
Flagship 1 Indicator		
# of national and subnational development initiatives and public institutions that prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools. Disaggregated to: # of sub-national public institutions using CCAFS tools to plan and prioritize CSA initiatives on the ground # of international development agencies using CCAFS tools to plan and prioritize CSA initiatives on the ground	3	9
Flagship 1 Projects		
Out scaling out citizen science (Bioversity)		5
Developing, adapting and targeting portfolios of CSA practices for sustainable intensification of smallholder and vulnerable farming systems in South Asia (CIMMYT)		-
Piloting and upscaling an innovative underground approach for mitigating urban floods and improving rural water security in South Asia (IWMI)		1
Recommendation domains, incentives and institutions for equitable local adaptation planning at sub-national level and scaling up climate smart agricultural practices in wheat and maize systems (CIMMYT)		3 (outcome linked with CIMMYT's FS1.1 project)
Flagship 2 Indicator		
# of regional, national, and/or sub-national initiatives incorporating research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities	3	6
Flagship 2 Projects		
Enhancing the benefits of Remote Sensing Data and Flood Hazard Modeling in Index-based Flood Insurance (IBFI) for the marginalized smallholder communities in South Asia (IWMI)		3
Climate-informed, ICT-based agro-advisory service for major food crops in South and Southeast Asia (IRRI)		3
Flagship 3 Indicator		
# of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women.	To be completed in 2015-16, after suitability assessment	
Flagship 3 Projects		
Agro-economic analysis of all climate change mitigation options (CIMMYT)	-	-
CIMMYT: Quantification of GHG emission in contrasting tillage, residue and	-	-

nutrient management scenarios in wheat, maize and rice-based cropping systems (Bridging)		
ICRISAT: Quantification and Mitigation of greenhouse gas (GHG) emissions (Bridging)	-	-
Flagship 4 Indicator		
# of regional, national, and/or sub-national initiatives incorporating research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities	3	6
Flagship 4 Projects		
Scaling-up climate smart agriculture through policies and institutions: linking it with national agenda of food security		6

Synergies across projects in the regional portfolio

- Project leaders noted that the highlight of the workshop was the opportunity to meet regional partners and learn about the objectives and outputs of other projects in order to identify potential synergies.
- It was observed that projects such as *Policies and Institutions for Scaling out Climate Smart Agriculture*, led by IFPRI, under Flagship 4 (see Fig 1) emerged as key carriers of much of the research emerging from other projects.
- The same was noted for the CIMMYT-led project under FP1. Several projects have identified Climate-Smart Village sites for piloting their activities. Collaboration is important to avoid duplication of efforts and while engaging with stakeholders.
- There is a need to identify *how* these collaborations will take place and the Regional Programme Leader will guide on this.

Important topical issues that arose

Indicators and targets

- During the discussions, there emerged a need for more clarity on how indicators and targets were arrived at.
- More specifically, the issue of how projects should ensure that at least 40 percent of women farmers are covered as part of the outcomes was brought up by several project leaders. What methodologies can be used to show gender differentiated outcomes?
- How could projects be sure that they were not working with the same beneficiaries given that the location for several projects was the same?
- It was emphasised that projects will need to show that they did everything they could to reach the targets, even if they have to reassess targets. However, this cannot be an excuse for repeated underreporting and lowering of targets.
- Projects were also asked to minimise overlaps by being as specific as possible about the institutions, partners, and officials that they interact with and to identify any challenges faced and how they were overcome. This will give a much more nuanced overview or ‘story’ about the trajectory for each project, making it easier to assess impact on farmers.

Gender:

- Gender is a cross-cutting across all projects. Indicators emphasise that of the target of 30 million farmers by 2025, 40 percent will need to be women farmers.
- Also, the question was asked why 40 percent and whether some projects had scope for a gender dimension as compared to some others.

- While some CGIAR centres have in-house gender expertise which projects can make use of, there is a need for more guidance on this.

Key Observations:

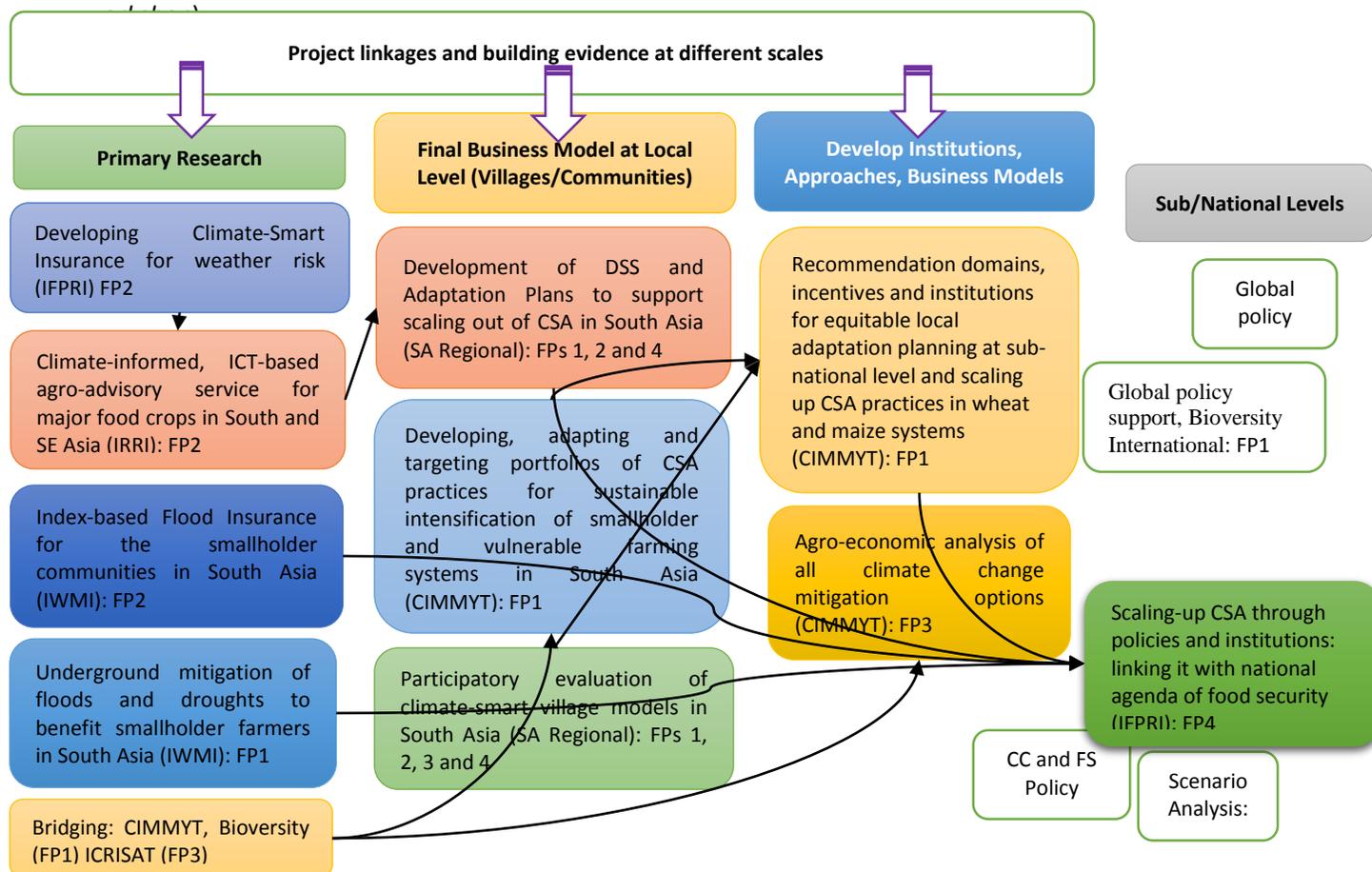
- There could be a common template for integrating gender in projects.
- Bridging projects are still important pieces that need to be built on.
- How do we deal with data-information support?
- Projects can succeed independently but there is much more added value in collaboration and linkages.

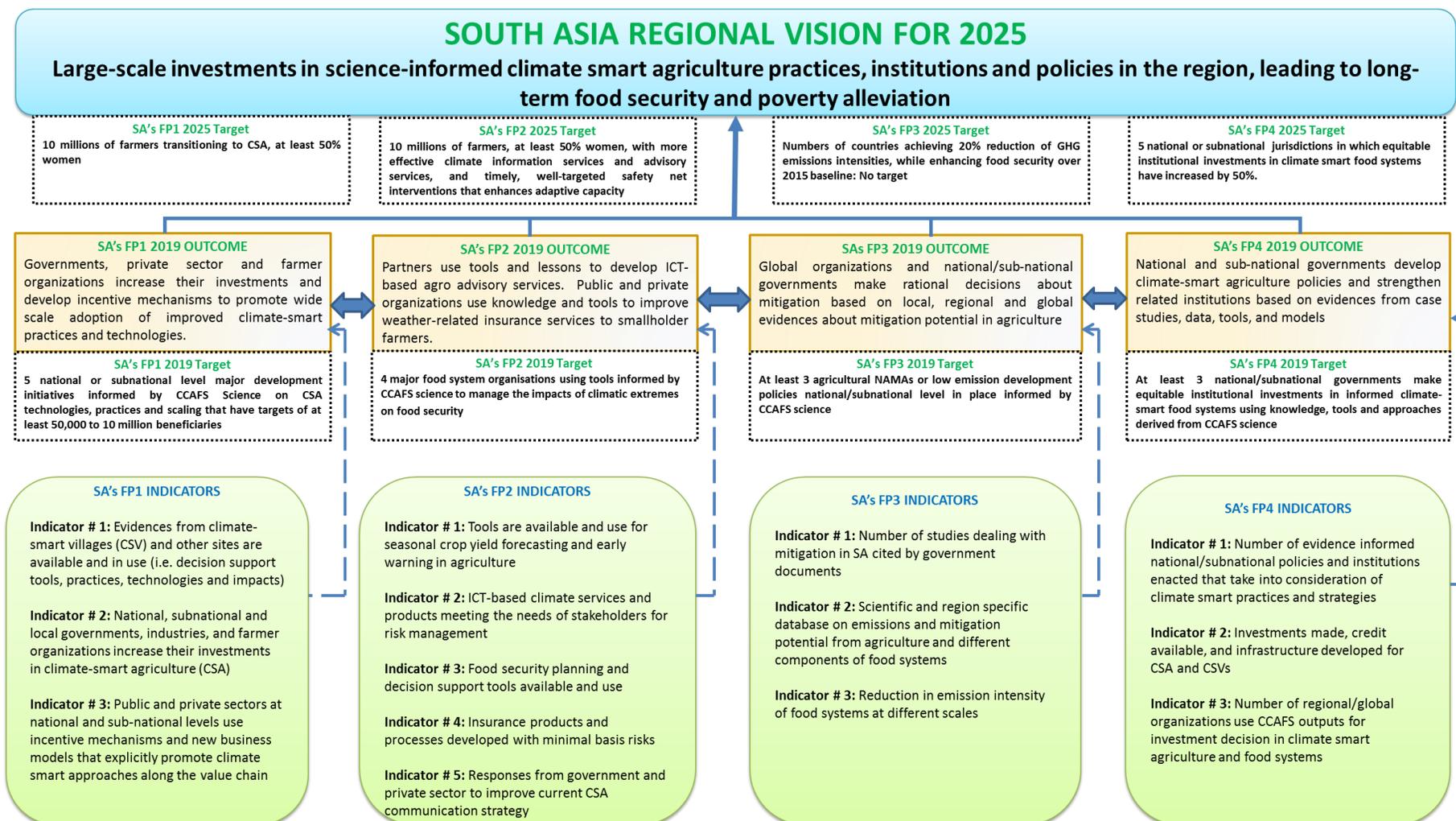
Next Steps

- Project leaders should revise project targets, link project outcomes to flagship outcomes and indicators, finalise project partners (if necessary) and enter revised project detail in the P&R system by a date specified by the PMC.
- Project leaders should conduct inception meetings in collaboration with the regional program and other related project teams by early 2015.
- Project leaders should update and communicate project outputs and outcomes with CCAFS communication team to document outputs and impacts.
- Project leaders should engage with national project partners to execute the project.
- There is still ambiguity about what exactly we are going to use as the basis for results based management. We need to discuss and agree on the criteria we will use, and inform all project leaders on this.

Links to photos and presentations: [Views photos](#), [View all the presentations](#).

Figure 1: A representation of synergies across projects (see photos for the flipchart used at the ...)





CSA practices and technologies	Technologies and practices	Local development planning	Incentives for scaling out	CSV evidence base Gender Engagement and communication
	CSA Practices- CIMMYT; Taming floods & droughts- IWMI	LAPA-CIMMYT; crowdsourcing seeds- Bioversity	LAPA-CIMMYT	
		Prioritization toolkit		
Climate information services	Early warning systems	Food security safety nets	Insurance	
	Agro-advisories-IRRI		Flood insurance-IWMI; Bundling- IFPRI	
	Yield monitoring- CRAFT; ICT systems	Food storage planning	Indices, community insurance	
Low emissions development	Decision support systems	Methods and data	Mechanisms	
	Mitigation options and feasibility- CIMMYT	Coefficients- ICRISAT, CIMMYT, IRRI		
		Value chains		
Policies and institution	Policies	Institutions	Global	
	Scaling-out- IFPRI	Scaling-out- IFPRI	Scenarios; global policy support	
	Prioritization toolkit			

Region led	Flagship projects
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Southeast Asia Regional Planning Workshop
October 20-22, 2014

Regional Workshop Content Summary

Status of regional targets post-workshop

Overall regional targets will be fully accomplished according to the estimation presented below:

2019 Indicators	SEA targets	Targets from projects information
Flagship 1		
<i># of national and subnational development initiatives and public institutions prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools</i>		
<i># national, subnational, local governments/institutions</i>	2	144
<i># farmers groups</i>		12
<i># villages</i>		11
<i># of public-private actors at national and sub-national levels are using incentive mechanisms and new business models/ markets that explicitly promote climate smart approaches along the value chain</i>	11	110
Flagship 2		
<i># of regional, national, and sub-national institutions develop or improve major demand-driven, equitable, climate informed services supporting rural communities using CCAFS research outputs.</i>		20
<i># \$ mio. increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making</i>		6
Flagship 3		
<i># of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women.</i>	3	40
<i># of hectares (mio.) targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing deforestation</i>	2	2.251
Flagship 4		
<i># of equitable national/ subnational food system policies enacted that take into consideration climate smart practices and strategies</i>	2	14
<i># of regional/global organizations that inform their equitable institutional investments in climate smart food systems using CCAFS outputs</i>	4	

Synergies between projects in the regional portfolio

The workshop was opportunity for the different flagship projects and some partners to meet among themselves and be aware of the initiatives and activities going on in the region. Most of all, it was a good time spent discussing with the Flagship Leader and getting their inputs and guidance in finalizing the different FP projects. It provided the opportunity to make necessary changes in project plans and activities, and build on the discussions for the yearly planning and the identification of deliverables in the next four years.

Important topical issues that arose

Climate Smart Villages approach in Southeast Asia. The workshop was the first opportunity to clarify synergies and complementation and areas of overlaps between and among FPs and FP projects. The following key aspects were highlighted:

- With many CG centers and partners working on the CSVs, it is paramount to sequence activities, prioritize CSA practices and organize CSA activities. The roles and involvement of all players need to be clarified. Budget share and percentages among centers and partners also have to be examined for a more integrative and efficient resource use.
- Mapping of available data and information and gaps in the CSVs would avoid work overlaps and redundancy.

Baseline data. An on-going activity in the CSVs is the village baseline survey to progress to household and institutional levels. Consolidation of resulting data and information in a common platform that facilitates ease of access would support information and data sharing and learning.

As regards data needed for FP3, it is suggested to asses existing baselines and how they may be improved and reconciled with country plans to ensure that targets set would bear significant impact.

Collaboration. It is important to engage local partners from the beginning of projects to have buy-in of key actors and to synergize efforts. Additionally, better link between FPS and national priorities and programs needs to be established.

Cross-cutting issues

Knowledge sharing. Mechanisms and platforms for knowledge sharing between and among FPs and FP projects working on the same CSV need to be set up to ensure sharing of outputs and findings. Identification and institution of learning mechanisms within research portfolio and different partners are called for.

Gender component. Provision of capacity building activities like scholarship offering (i.e. post-doctoral) and stipend programs can be integrated in project plans and activities. There is also a felt need to strengthen this component through staff complement.

Collective engagement and communication. The engagement and communication plan for CCAFS SEA had already been crafted to serve as a collective platform to build synergistic relationships among CGIAR centers, next users, partners and key stakeholders. Integrating the operationalizing the engagement and communication framework to mainstream communication in the plans and activities of FPs and FP projects have yet to be worked on.

Next steps

- Some FPs were able to indicate targets but inputs are still needed as to how the FP projects will be contributing to the different CCAFS targets and outcomes.
- Project Leaders need to discuss the targets and outcome narratives with the concerned FP leaders and RPL before finalizing them in the P&R.
- Research questions pertaining to gender and social differentiation and how these will be tackled in the activities need to be clearly stated.
- Integration and implementation guidelines of communication strategies and activities among FPs and projects have yet to be defined.
- It was suggested to hold annual meetings within FP at the least.

Links to photos, presentations and session notes: [Presentations](#) and [Photos](#)

VISION 2025 for South East Asia

The region has a stable food supply, with consumers, particularly rural and urban poor, having adequate access to food commodities. Farmers and communities practice climate-smart technologies and are resilient to climate change. Institutional, public and private sector, capacities to implement climate change measures are strong. Climate change adaptation and mitigation measures are integrated in regional and national development plans. These leads to more resilient agriculture in the region with reduced GHGs contribution.

SEA's FP1 2019 Outcome Statement

Local public and private sector stakeholders (service providers, farmer leaders, etc.) are engaged in identifying and meeting farmer priorities, incl. women and marginalized groups, and accessing CSA knowledge, technologies, and tools to increase their awareness and capacity to advise on evidence- and knowledge-based climate smart technologies.

The public sector at various level **are coordinating** efforts towards supporting project implementation, **providing** incentives mechanisms/schemes, **encouraging** private sector participation and **developing local adaptation plan** to promote widespread adoption and investment on CSA interventions.

Indicator 1: # of major development initiatives and public institutions at national and subnational levels using CCAFS science and decision support tools to prioritize and inform project implementation of equitable best bet CSA interventions/options

Target FP1 25 → Contribution SEA: **5** (Vietnam (World Bank, IFAD), Cambodia, Laos, Myanmar (USAID))

Indicator 2: # of public-private actors (including financing) at national and sub-national levels are using incentive mechanisms and new business models/markets that explicitly promote climate smart approaches along the value chain

Target FP1 15 → contribution SEA: **3** (Vietnam, Cambodia, Myanmar)

SEA's FP2 2019 Outcome Statement

National public sector institutions and the private sector (ICTS, media) understand climate information needs of stakeholders in the food system; collaborate on the design of climate services and products to meet those needs; and interpret and communicate the climate information effectively. Farmers access and use climate and early warning information and advisories.

Indicator 1: # of countries in which regional, national, and/or sub-national institutions use research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities

Target FP2: xx, Contribution LAM: X

Indicator 2: Increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making

Target FP2: 10 → 15, Contribution LAM: 3

SEA's FP3 2019 Outcome Statement

Public sector institutions, innovate, plan, invest, regulate, reform, enforce laws and **provide** incentives for understanding, accessing and implementing low-emission/CSA technologies appropriate for local contexts through multi-stakeholder consultation.

Indicator 1: # of ...

Target FP3: xx, Contribution LAM: X

Indicator 2: # of ...

Target FP3: xx, Contribution LAM: X

SEA's FP4 2019 Outcome Statement

Policy makers enhancing the design, investment decisions, implementation and monitoring and evaluation of agro-sectoral climate change policies through a transparent, coordinative and consultative mode from local to national level.

Indicator 1: # of equitable national/ sub-national food system policies enacted that take into consideration climate smart practices and strategies

Target FP4 xx, Contribution LAM: x

Indicator #2: % change in investment in national/ sub-national equitable food system institutions that take into consideration climate smart practices/ strategies compared with 2014

Target FP4 xx, contribution LAM: X

CCAFS SEA: Emerging Flagship Portfolio



RESEARCH PROGRAM ON
Climate Change,
Agriculture and
Food Security



CSA practices and technologies	Technologies and practices	Local development planning	Incentives for scaling-out
	CIAT – Integrated CSA in CSVs	<ol style="list-style-type: none"> 1. IRRI – Catalyzing roll out of CSV in the Mekong 2. IIRR – Evidence for up-scaling CSV 	
Climate information services	Early warning systems	Food security and safety nets	Insurance
	<ol style="list-style-type: none"> 1. CARE – Improved agro-climate information for women and ethnic minorities 2. ILRI – Early warning systems for climate sensitive diseases 3. IRRI-ICT-based agro-advisory service 		
Low emissions development	Decision support systems	Methods and data	Up-scaling/Governance
	IFRPI – Landscape Approach to Mitigation (LACCMA)	ILRI – Identification and implementation support of mitigation priorities (including SAMPLES)	<ol style="list-style-type: none"> 1. CIFOR – Aligning best mitigation practices in oil palm 2. IRRI – ‘No regret’ mitigation strategies in rice 3. CCAC – Support for national partners’ mitigation strategies
Policies and institution	Policies	Institutions	Global
	IRRI – Policy Information Platform on Climate Change in ASEAN (PIRRCA)	IFPRI – Climate change impacts in Philippine Agriculture	

West Africa

CCAFS West Africa Impact Pathway and Planning Workshop

November 12th – 14th, 2014

Regional Workshop Content Summary

Status of regional targets post-workshop

Overall regional targets will be fully accomplished according to the guessing presented below:

2019 Indicators	WA targets	Targets from projects information
Flagship 1		
<i># of major development initiatives and public institutions at national and subnational levels using CCAFS science and decision support tools to prioritize and inform project implementation of equitable best bet CSA interventions/options</i>	3	9
<i># of public-private actors (including financing) at national and sub-national levels are using incentive mechanisms and new business models/markets that explicitly promote climate smart approaches along the value chain</i>	1	6
Flagship 2		
<i># of regional, national, and/or sub-national institutions using research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities</i>	3	5
<i>Increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making</i>	15 millions	9 millions
Flagship 4		
<i># of equitable national/ sub-national food system policies enacted that take into consideration climate smart practices and strategies</i>	2	2

Workshop Objectives

The objectives of the workshop were:

- To ensure that the impact pathways of the projects, regional and flagships are in harmony and are ready to be used from next year.
- To maximize synergies among projects by developing a strategy for working together on common sites, baselines, research methodologies, and stakeholder engagement and communication.

Clear CCAFS program of work for West Africa

The workshop provided the opportunity for project teams to discuss, in detail, projects contents including project outputs, outcomes and partners and next users.

- Projects reviewed their outputs and described how each project will contribute to the general outcomes and WA vision.
- Project teams have now a clear understanding of the WA vision as well as different targets for the region, better sense of what are the next users in order to achieve the outcomes, and know better the targets to 2019 and how to translate these targets for the 2015-2016 period.
- Projects have now taken on board the outcome orientation, and their plans have made significant progress since the concept note stage.

Synergies between projects in the regional portfolio

- Projects presented what outcomes they want to achieve together with their partners. For those projects where clear overlaps were identified, further discussions allowed to reframe each project in a way to ensure complementarity. This was particularly the case for FP1 projects 2014-34 and 2014-38.
- The next-user mapping exercise highlighted the existence of various synergies among the projects, especially how projects can build on existing partnerships and champions within partner-organizations.
- Regional bodies including CORAF, ROPPA and ECOWAS actively contributed to discussions and expressed availability to provide an enabling environment (farmer’s organization network, policy framework) for the scaling up of CSA options and tools.
- RP WA will share with the FPs project all existing data and information including household baseline data, organizational baseline information, village baseline data, case study reports, partners and stakeholders’ network (through the national science-policy dialogue platforms).
- The project 2014-87 under the WA-RPL will coordinate integration of the region projects in a way to develop CSV models.

Important topical issues that arose

Discussion on involvement of the private sector and local NGOs: The participants recognized the role of the private sector and local NGOs in the dissemination of agricultural innovations in general and climate smart practices in particular. The following key aspects were highlighted:

- Opportunity to better engage the private sector in the Projects. This includes for instance the development of a “market” for weather data, based on cloud infrastructure, which can be an emulation for NHMS to ramp up their operational capacity to provide services to customers. Though different than those typically set forth by scientists during project design, the private sector priorities may be extremely relevant to the achievement of climate-smart food systems.
- Opportunity to involve NGOs. With the weakness of the national extension system, local NGOs become more important for technology dissemination.
- Projects need to pursue interacting, which can be strongly supported through the WA RPL project on the development of CSVs models.

Cross-cutting issues

- Projects are invited to take more into account gender mainstreaming, empowering women and marginalized groups to actively implement CSA.
- Communication was highlighted as key to support the scaling up of CSA through fostering change of the behavior of project next users.

Next steps

- Short term: Revise P&R entries and make entries as good as possible narratives to be short and concise.
- Medium term: Next couple of months: start to implement some of the projects, building on some of the baselines, gender aspects, M&E.
- Long term: we have learned from each other and each project and it is key to work in the medium and longer term perspective. The RP will take it further planning.
- Workshop report on content and links to all materials.

West Africa Vision 2025

The regional food system is resilient to climate variability and change. Smallholder farmers widely adopt and implement CSA technologies, practices and knowledge to become less vulnerable and to improve (food security). National and regional partners implement appropriate strategies and policies.

FP1 2019 Outcome Statement

Public (MoAgr, MoLiv, MoEnv, MoRuD, MoPla, NARS) institutions and stakeholders, NGOs use CCAFS decision support tools to prioritize and design national level investments on CSA that will strengthen smallholder farmers adaptive capacity. **Local decentralized Gov. services, NGOs and extension services** partner to promote and scale up CSVs models using portfolios of CSA technologies and practices for local adaptation planning.

Indicator 1: # of major development initiatives and public institutions at national and subnational levels using CCAFS science and decision support tools to prioritize and inform project implementation of equitable best bet CSA interventions/options

Target FP1 15 in at least 10 countries → 21, Contribution WA: 3.

Indicator 2: # of public-private actors (including financing) at national and sub-national levels **are using incentive mechanisms and new business models/markets that explicitly promote climate smart approaches along the value chain**

Target FP1 10 in 6 countries, contribution WA: 1

FP2 2019 Outcome Statement

National meteorological services and regional (e.g. AGRHYMET, ACMAD) and international organizations (e.g. WMO) cogenerate scalable climate services to improve farm-related climate risk management decision making. **National agricultural research systems and meteorological services** partner to deliver and communicate tailored agro-climatic advisories and services. **Farmers and farmers organizations** access and use climate information and weather-related insurance schemes to improve agriculture and climate risk management strategies.

Indicator 1: # of regional, national, and/or sub-national institutions using research outputs to develop or improve major demand-driven, equitable, climate informed services that support rural communities

Target 10, Contribution WA: 3

Indicator 2: Increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making

Target 50 million

FP4 2019 Outcome Statement

National level decision-makers (Gov. ministries), national agricultural research systems, NGOs, civil society organizations, regional organizations use CCAFS science-derived decision support tools and systems to mainstream climate change into national plans and policies from local to national levels.

Indicator 1: # of equitable national/ sub-national food system policies enacted that take into consideration climate smart practices and strategies

Target FP4 10, Contribution WA: 2

West Africa portfolio of projects

FP #1: CSA practices and technologies	Technologies and practices	Local development planning	Incentives for scaling out	Developing CSVs models - RPL Scaling up CSA technologies, practices and tools- RPL Engagement and communication – gender mainstreaming- RPL
	Resilient agro-sylvo-pastoral systems - ICRAF Integrated water storage and crop-livestock - IWMI		Partnerships for out-scaling CSA - ICRAF/CIAT	
		Mixed tree/food crop systems- CIAT/IITA Enhancing farmer incomes and productivity- IFPRI		
FP #2: Climate information services	Early warning systems	Food security safety nets	Insurance	
	CASCAID – ICRISAT/ICRAF	-	CASCAID – ICRISAT/ICRAF	
	Climate services in Africa (USAID) – FPL2			
FP #3: Low emissions development	-			
FP #4: Policies and institution	Policies	Institutions	Regional to Global	
	Science-policy exchange platforms- ICRISAT		Scenarios- FPL4	
	Household modelling for CSA targeting- ILRI		Global policy support- BI Science policy practice interface – ILRI	
	Climate science tools and engagement- FPL4			

East Africa Regional Planning Workshop November 17th - 19th, 2014

Regional Workshop Content Summary

Workshop objectives

The objectives of the workshop were to:

- Ensure that the IPs of the projects, regional and flagships are in harmony and in place and are ready to be used from 2015.
- Maximize synergies among projects by developing a strategy for working together on common sites, baselines, research methodologies, and stakeholder engagement and communication, including M&E.

Status of regional targets post-workshop

Overall regional targets will be fully accomplished according to the estimation presented below and the changes should be reflected in the CCAFS P&R.

2019 Indicators	EA targets	Targets from projects information
Flagship 1		
<i># of national and subnational development initiatives and public institutions prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools</i>	3	12
<i># of public-private actors at national and sub-national levels are using incentive mechanisms and new business models/ markets that explicitly promote climate smart approaches along the value chain</i>	2	5
Flagship 2		
<i># of regional, national, and sub-national institutions develop or improve major demand-driven, equitable, climate informed services supporting rural communities using CCAFS research outputs.</i>	2	5
<i># \$ mio. increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making</i>	1	1
Flagship 3		
<i># of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women.</i>	2	5
<i># of hectares (mio.) targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing deforestation</i>	0.5	
Flagship 4		
<i># of equitable national/ subnational food system policies enacted that take into consideration climate smart practices and strategies</i>	2	24
<i># of regional/global organisations that inform their equitable institutional investments in climate smart food systems using CCAFS outputs</i>	1	8

Synergies between projects in the regional portfolio

Several synergies were identified among projects, including opportunities for collaboration across projects:

- A few projects have common end users. These needs to be harmonized and next users behavior change researched, documented and shared.
- The “*ILRI Mitigation in Livestock sector, LED & SAMPLES*” project should collaborate with the “*ICRAF: East Africa NAMA for Dairy Development with UNIQUE*” in order to capitalize work in Kenya, improving targets and narrative.
- Projects should use existing baseline data e.g. “*Innovations, Institutions and Business Models for Scaling up CSVs in East Africa*” has done baseline that should be shared with “*IITA PEACSA*” project.

Important topical issues that arose

- Projects were encouraged to start planning early.
- Projects need to demonstrate how institutional changes especially for the next users will put more knowledge about CSA practices in the hands of women and other vulnerable groups.
- Projects need to demonstrate how fundamental changes (biophysical and social-cultural) will take place at different scales to influence change under a changing climate.
- The need for integrative studies for societal transformations, including analyses of multiple drivers of climate change).
- Project teams should be involved and participate in the planning of communication activities and work closely with with CCAFS communications – regional & flagship communicators.
- Projects team including end users need to be actively involved in communications and engagement and assist in the development of communications products.

Cross-cutting issues

- **Social transformation and gender integration:** Analysis of budgetary allocation for gender and social transformation activities indicates that about three-quarters of the activities have allocated part of budget (avg. 27%). This is demonstrated in activities such as a) disaggregated data collection and analysis to enable targeting development and dissemination of tools, methods, protocols and models for CSA practices, climate informed services and investments for different social groups and b) policy adoption that support for inclusion of women and marginalized people as part of CSA scaling and implementation activities. However, to increase social transformation in EA, the project activities should demonstrate that they are incorporating methods for understanding of social and cultural challenges as part of a social transformative agenda that can lead to social behavioral change.
- **Communicating CCAFS sciences and tools:** With the vision of ensuring that communication and engagement is integrated into all CCAFS East Africa projects from the onset, documenting and sharing information to the end, CCAFS EA is utilizing various of platforms including brochures, reports, working papers, journal papers, farmer exchange visits, media visits, and a variety of social media outlets.

Next steps

- EA targets are pretty much on track although there is need to correct double counting.
- Synergies harnessed across portfolios of activities and across regions through visits and meetings.
- Projects scientists are encouraged to register for it CSA Conference in Montpellier in France.
- Plans for FP 1 projects will meet in India in late February on CSA/CSV (contact Andy Jarvis and Osana).
- By 2016 CCAFS will have a new P&R reporting system to enable queries etc.
- FP 2 Climate services projects will continue to raise bilateral donors.

- FP2 will share methods, tools and knowledge across FP projects and regions.
- There are strong opportunities for projects to get together in workshops, for instance linking scaling up at different level from local to regional.
- Engaging the communication departments of CGIAR centers to disseminate CCAFS EA products and tools, e.g. ILRI.
- CCAFS EA team is requesting for demand driven initiative to communicate science to different audiences using different channels. CCAFS EA encourages project leaders to reach out and share the science. This can be done through nominated focal point persons for each project.
- CCAFS EA communication team should liaise with government communication agencies especially the relevant ministries to share the CCAFS products and tools.
- Project leaders should provoke the next users and end users to share what they perspectives are about projects. This will generate new ideas that partners can share with CCAFS scientists to inform the formulation of the next phase of projects and Flagships as well as new research possibilities. Follow up during face-to-face meetings, workshops, emails should be encouraged.
- CCAFS EA needs to create links on their different media to their stakeholders. Information access points should be created where linkages to next users and vice versa is done.
- There should be annual meetings for all EA projects to share information and progress.
- There is a great portfolio of projects and opportunity for collaboration including RECs from the EA region. Take advantage of networks and institutional linkages. Keep connections with partners alive with sharing information. Challenge lies in coordination and working well.
- Follow-up on information in the P&R to be updated and improved.

Links to presentation, session notes and photos

Presentations and session notes uploaded on the on the EA Regional workshop wiki: <https://eastafrika-impact-pathway-and-planning-workshop.wikispaces.com/Workshop+Documents>

Selected photos uploaded on flickr: <https://www.flickr.com/photos/cgiarclimate/>

VISION 2025 for East Africa

A climate resilient region that is food and nutrition secure with equitable access to livelihood opportunities and reduced GHG emission intensity from food systems that is supported by well-coordinated institutional frameworks for enabling policies and increasing investments in agriculture and natural resource management.

EA's FP1 2019 Outcome Statement

1) National Agricultural Research Institutions (KARI, NARO, ARI, EIAR), IARCs, and **Ministries of Agriculture** are **developing and packaging** appropriate CSA technologies and practices to increase agricultural productivity, enhance food security, incomes and mitigation, and build resilience; **Agro-advisory services** are **testing and using** new delivery mechanisms for CSA adoption.

2) Subnational and national governments **adopting** Climate Smart Villages models and **scaling up** CSA practices to other farming communities in line with Local Adaptation Plans (LAPs), **providing feedback** to researchers and agro-advisory agencies and **creating opportunities** for investments through local investment partnerships for productivity and enhanced resilience.

Indicator 1: # of (sub-) national development initiatives and public institutions that prioritize and inform project implementation of equitable best bet CSA options using CCAFS science and decision support tools.

Target FP1: 25, EA contribution: 3 (Kenya, Tanzania, Uganda)

Indicator 2: # of public-private actors at national and sub-national levels **are using incentive mechanisms and new business models/markets that explicitly promote climate smart approaches along the value chain** using CCAFS science.

Target FP1 15, EA contribution : 2 (Kenya, EADD)

EA's FP2 2019 Outcome Statement

National Institutions, Donors and Relief Agencies are **accessing and using** research informed forecasting tools for timely and efficient food security decision-making and **Academic, Government (e.g. Ministry of Ag.), and Development Organizations** are **developing and testing** climate applications for agriculture to support scaling out and adoption of climate services to users (Farmer Organizations, CBOs, NGOs, agro-dealers, community radio).

Indicator 1: # of regional and (sub-) national, institutions develop or improve major demand-driven, equitable, climate informed services supporting rural communities using CCAFS research outputs.

Target FP2: 15, EA contribution: 2 (Kenya, Tanzania)

Indicator 2: # \$ mio. increase in research-informed demand-driven investments in climate services for agriculture and food security decision-making

Target FP2: 15, Contribution EA: 1 (Rwanda Met)

EA's FP3 2019 Outcome Statement

National Governments and Agencies (Ministries of Environment, Agriculture and the National Environment Authorities) are **designing, developing and implementing** low emissions strategies for agriculture.

Indicator 1: # of low emissions plans developed that have significant mitigation potential for 2025, i.e. will contribute to at least 5% GHG reduction or reach at least 10,000 farmers, including at least 10% women.

Target FP3: 8, EA contribution: 2 (Kenya, Uganda)

Indicator 2: # of hectares (mio.) targeted by research-informed initiatives for scaling up low-emissions agriculture and preventing

Target: FP3: 4 ha; EA contribution: 0.5

All disaggregated by: nation, county, year, type of policy

EA's FP4 2019 Outcome Statement

1) National Ministries of Agriculture, Environment and parliamentarians are **collaborating to make evidence-informed** policies for increased investments in climate resilient food systems. (FP4 Outcome 1)

2) African Group of Negotiators (AGN) and African UNFCCC Focal points are **using scientific evidence to effectively articulate** the African position on agriculture and climate change issues reflecting also in current and emerging global agreements. (FP4 Outcome 2)

Indicator 1 (FP4 Outcome 1): # of equitable national/subnational food system policies enacted that take into consideration climate smart practices and strategies

Target FP4 15, contribution EA: 2 (Kenya, Uganda)

Indicator 2 (FP4 Outcome 2): # of regional/global organizations that inform their equitable institutional investments in climate smart food systems using CCAFS outputs

Target FP4 10, Contribution EA: 1 (COMESA)

East Africa

	Technologies and practices	Local development planning	Incentives for scaling out	
1. CSA practices and technologies	CSAP in CSVs (CIMMYT) Climate Smart tree sourcing in EA (ICRAF) Enhancing CSA effectiveness through improved fodder shrubs and innovative extension approaches (ICRAF)		P4S-CSA (ICRAF) Citizen Science (Bioversity) Targeted dissemination of adapted maize varieties (CIMMYT)	Capacity Strengthening Strategy Gender and Social Differentiation Engagement and Communication
	Innovations, Institutions and business models for up scaling CSVs (RPL EA)			
	Integrated assessments of climate change impacts on agricultural systems and food security using AgMIP (ICRISAT)			
	Household modeling for improved CSA technologies targeting (ILRI)			
2. Climate information services	Early warning systems Climate Services for Africa – GFCS, USAID (FP2)	Food security safety nets	Insurance Index Insurance (CIMMYT)	
	Production and food security forecasting (CIMMYT)			
3. Low emissions development	Decision Support Systems EA UNIQUE NAMA MRV Mitigation in Livestock sector, LED & SAMPLES (ILRI)	Methods and data	Mechanisms	
4. Policies and institution	Policies Science-policy-practice interface (ILRI)	Institutions Multi-disciplinary species distribution modeling (ICRAF) Statistical Physics Down-Scaling Model (SPDSM) and Crop models (CIP)	Regional to global Socioeconomic Scenarios (FP4) Bioversity Global Policy Work (Bioversity) Climate Science tools and engagement	
	Influencing and linking policies and institutions national and local (IITA)			
	National and regional partnerships to support integration of climate change in agriculture and food systems (RPL EA)			

Annex 2: Available Documentation and References

Workshop documentation

Materials online at <http://ccafs-fp4-rbm-m-e-trial.wikispaces.com/Reference+Documents> and <http://ccafs-ip-toc-cd.wikispaces.com/Reference+Documents> (see footnote 2).

1. Global Planning Workshop, London, 27-30 Aug. 2013, Minutes and Evaluation.
2. Inception workshop, Washington, 28-29 Jan. 2014, Summary and Detailed Notes.
3. Workshop on Mapping out a CCAFS R4D Agenda and Strategy for Southeast Asia, Hanoi, Vietnam, 12-14 March 2014 (see Jost & Sebastian (2014) above).
4. Introductory Training on Impact Pathways, Segovia, Spain, 1-5 Apr 2014, background documents.
5. LAM region impact pathway workshop, Cali, Colombia, 16-19 Sep 2014. Workshop materials. *For each of the regional workshops the following documentation is available:*
 - Content summary*
 - Outcome target tables (by Flagship)*
 - Standardized simplified Impact Pathways*
 - Portfolio conceptual overview*
 - link to content documentation like ppts, pictures etc.*
6. SA region impact pathway workshop, Bangkok, 15-17 Oct 2014. Workshop materials.
 - Management Debriefs
 - Project portfolio listing
 - Workshop Concept Note
7. SEA region impact pathway workshop, Bangkok, 20-22 Oct 2014. Workshop materials.
 - Workshop Logistics and Participants listing,
 - Detailed Facilitation Notes.
8. WA region impact pathway workshop, Nairobi, 12-14 Nov 2014. Workshop materials.
9. EA region impact pathway workshop, Nairobi, 17-19 Nov 2014. Workshop materials. **see Annex 1*

Strategy documents, learning briefs (in chronological order)

1. Tonya Schuetz, Wiebke Förch, Philip Thornton, Lini Wollenberg, Robert Zougmore, Jim Hansen, Andy Jarvis, Kevin Coffey, Osana Bonilla-Findji, Ana-Maria Loboguerrero Rodriguez, Deissy Martinez Baron, Pramod Aggarwal, Leo Sebastian, James Kinyangi, Sonja Vermeulen, Maren Radeny, Abdoulaye Moussa, Asa Sajise, Arun Khatri-Chhetri, Meryl Richards, Christine C. Jost, Alexa Jay, 2014, Lessons in theory of change from a series of regional planning workshops. CCAFS, Copenhagen, Denmark. (To be published in Dec. 2014.)
2. Schubert C, Schuetz T, Förch W, Thornton P. 2014. Lessons from the results-based management trial, Part 2. CCAFS Copenhagen, Denmark. (To be published in Dec. 2014.)
3. Jost CC, Kristjanson P, Vervoort J, Alvarez S, Ferdous N, Förch W. 2014. Lessons in theory of change: monitoring, learning and evaluating Knowledge to Action. CCSL Learning Brief No. 9. CCAFS, Copenhagen, Denmark. <http://hdl.handle.net/10568/42446> (Sep. 2014)

4. Jost CC, Sebastian L, Kristjanson P, Förch W. 2014. Lessons in theory of change: CCAFS Southeast Asia Research for Development Workshop. CCSL Learning Brief No. 8. CCAFS, Copenhagen, Denmark. <http://hdl.handle.net/10568/42447> (Jul. 2014)
5. Schuetz T, Förch W, Thornton P. 2014. CCAFS Monitoring and Evaluation Strategy. Copenhagen, Denmark: CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS). <http://hdl.handle.net/10568/41913> (Jul. 2014)
6. Jost C, Kristjanson P, Alvarez S, Schuetz T, Foerch W, Cramer L, Thornton P. 2014. Lessons in theory of change: experiences from CCAFS. Copenhagen, Denmark. <http://hdl.handle.net/10568/35184> (Mar. 2014)
7. Jost C, Sebastian L. 2014. Workshop on Mapping out a CCAFS R4D Agenda and Strategy for Southeast Asia. CCAFS, Copenhagen, Denmark. <http://hdl.handle.net/10568/35586> (Mar. 2014)
8. Schuetz T, Cramer L, Foerch W, Jost C, Alvarez S, Thornton P, Kristjanson P. 2014. Summary for the CCAFS Flagship 4 Projects Kick-off Meeting 28-29 January 2014: Result-based Management Trial, <http://hdl.handle.net/10568/35407> (Feb. 2014)
9. Thornton P, Förch W, Cramer L, Vasileiou, Jost C, Kristjanson P. 2014. Lessons learned from the Flagship 4 results-based management trial. CCAFS, Copenhagen, Denmark. <http://hdl.handle.net/10568/35188> (Feb. 2014)

On-line platforms, wikispaces

1. CCAFS Planning and Reporting platform, <https://activities.ccafs.cgiar.org/ip/> (development team led by David Abreu).
2. Wikispace for the RBM trial project teams and community at <http://ccaafs-fp4-rbm-m-e-trial.wikispaces.com>¹
3. Wikispace for the working group on impact pathways at <http://ccaafs-ip-toc-cd.wikispaces.com/> (See footnote 2)

Guides

1. Schuetz T, Förch W, Thornton P. 2014 CCAFS Theory of Change – “Light” Impact Pathways Building Facilitation Guide. CCAFS, Copenhagen, Denmark. (To be published in Dec. 2014).
2. Jost C, Alvarez S, Schuetz T. 2014. CCAFS Theory of Change Facilitation Guide. CCAFS, Copenhagen, Denmark. <http://hdl.handle.net/10568/41674>. (Jun. 2014)

¹ These are internal sharing and documentation spaces. Please contact t.schuetz@cgiar.org or c.schubert@cgiar.org to be added to the members list, for access to these wikispaces.