



Advisory  
Services

# **CGIAR Research Program 2020 Reviews: Forests, Trees and Agroforestry (FTA) Annexes**

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**Find the Report and Brief here:**

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# Annex 1: Terms of Reference for the CRP2020 Review, Addendum

Links to CRP 2020 Reviews [TOR](#) and [Addendum](#)<sup>1</sup>.

## Annex 1.1: Call for Expressions of Interest

### CRP 2020 Independent Reviews of Quality of Science and Effectiveness

Deliverables and consultation for the CRP Review (pag. 9–10 of the ToR attached)

The review team is expected to produce the following deliverables:

A preliminary findings matrix, for discussion midway through the review process, to check the progress of the review and to provide a basis for early course correction if required. The CAS Secretariat will provide the review team with a template for the preliminary findings matrix.

A brief presentation of preliminary findings, for the debrief with the CRP management and the CAS Secretariat for validation, factual corrections, and feedback.

A draft report of the CRP review, for review by the CRP management and the CAS Secretariat for final feedback. The CAS Secretariat will provide a template for the draft and final reports.

A final report of the CRP review, following the report template with a maximum of 20 pages, a 2-3 page executive summary, and a set of annexes with additional information apart from the main body of the report.

A PowerPoint presentation covering the main points of the review, including purpose, methods, findings, conclusions, recommendations and additional notes relevant to the review. The CAS Secretariat will provide a template for this presentation.

Templates for the preliminary findings matrix, draft and final report, and the presentations will be provided to the review team in the first week of the review.

The review team will engage with the CAS Secretariat and the CRP under review at the following key points:

- Initial discussion with the CAS Secretariat to start the review and clarify questions from the review team;
- Briefing at the start of the review between the review team and CRP management, facilitated by the CAS Secretariat;
- Interview with the CRP Leader and a focus group discussion (FGD) with other members of the CRP management during data collection;
- Debrief presentation of the preliminary findings led by the review team, for validation, clarifications and feedback by the CRP management and the CAS Secretariat;
- The draft report will be shared with the CRP Leader and staff for factual correction and final feedback.
- Additional discussions between the review team, the CRP management and the CAS Secretariat may be scheduled based as needed during the course of the review.

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<sup>1</sup> Accessed September 25, 2020

## Annex 1.2: Addendum to the Terms of Reference & Call for Expressions of Interest, June 2020

The CAS Secretariat has made the following modifications to the Terms of Reference (TOR) and Call for Expressions of Interest, for the CRP 2020 Reviews of Quality of Science (QoS) and Effectiveness.

Please note: (i) the independent reviewers for CRP reviews that will begin in August (see Annex I for the working schedule) will be selected by the first week of July, and (ii) the overall deadline is 15 July 2020 for submission of expressions of interest for the CRP 2020 Review.

**Methods.** The proposed surveys of CRP researchers, partners and donors have been removed from the CRP 2020 Reviews. The sample frame of respondents for these surveys was considered to be smaller than anticipated, thereby limiting the value of quantitative data collected from the surveys. Given the extensive qualitative methods (primarily key informant interviews) already applied to the same pool of respondents, the value of the surveys was determined to be questionable. Further, the burden on respondents was considered excessive, and a higher value is placed on the in-depth qualitative interviews. Considering the limited value addition of the proposed surveys and the burden on respondents, CAS has removed the surveys as a method for the reviews.

**Establishing contributions to Intermediate Development Outcomes (IDOs).** Links between the outcomes (documented as milestones) from the CRPs and the CGIAR Strategic Results Framework will be examined at the sub-IDO level, not the IDOs themselves.

**Data sources.** CRP performance data will be drawn from the Plans of Work and Budget (POWBs) and Annual Reports for the period under review, with supplementary information from the CGIAR result dashboard. The CAS Secretariat supports the reviews by integrating data from the dashboard, the CRP internal monitoring, and the POWB and annual reports, to allow the review team to make quantitative assessments of performance. The dashboard data will also be used in conducting a 'deep dive' of selected CRP outcomes (OICRs).

**Knowledge management.** The review team will be responsible for uploading and storing its original data, analysis and drafts on the secure online content site (SharePoint) provided by the CAS Secretariat, as a basic step in knowledge management for the review.

**Analytics support.** The team will also need to adhere to timelines for accessing technical consultants made available by the CAS Secretariat, e.g., for quantitative analysis of performance data.

**Distribution of effort within team.** The two members of each review team (subject matter expert and senior evaluator) are each allocated 39 days for execution of the work, over the 11-week period. An additional two days are allocated to the team member who takes on the team leadership role. The team leader will also commit to responding to any questions or need for clarifications that arise from copy editing of the final report.

Further notes to interested consultants:

Consultants who have already submitted their expressions of interest have been logged in the CAS consultant database and do not need to re-submit their documents. Short-listed candidates will be contacted as preparations for the CRP reviews are made.

Consultants who wish to apply should indicate their expertise and availability in relation to the nine CRPs that are scheduled to be reviewed between August and December 2020. The reviews of three CRPs (A4NH, GLDC and Wheat) have already started.

**Table 1. Working schedule of CRP 2020 reviews**

<b>CGIAR Research Program (CRP)</b>	<b>Type</b>	<b>Review period</b>
Grain, Legumes and Dryland Cereals (GLDC)	Agri-Food System	Apr-Jun
Wheat	Agri-Food System	Apr-Jun
Agriculture for Nutrition and Health (A4NH)	Global Integrated Program	Apr-Jun
Forests, Trees and Agroforestry (FTA)	Agri-Food System	Aug-Oct
Livestock	Agri-Food System	Aug-Oct
Climate Change, Agriculture and Food Security (CCAFS)	Global Integrated Program	Aug-Oct
Fish	Agri-Food System	Sep-Nov
Maize	Agri-Food System	Sep-Nov
Water, Land and Ecosystems (WLE)	Global Integrated Program	Sep-Nov
Rice	Agri-Food System	Sep-Dec
Roots, Tubers and Bananas (RTB)	Agri-Food System	Sep-Dec
Policies, Institutions and Markets (PIM)	Global Integrated Program	Sep-Dec

Note: This working schedule may be modified. When submitting an Expression of Interest, consultants are advised to indicate a range of dates for which they are available for conducting the reviews. The schedule for all 12 reviews spans April to December 2020, with an anticipated duration of 11 weeks for each review. The final three reviews will begin in late September, to conclude by mid-December.

## Annex 2: List of Persons Interviewed

**Table 2. Persons interviewed by Skype, Zoom, Google Meet or email**

Person	F/M	Category	Organization
Dr. Vincent Gitz	M	FTA Management Team	CIFOR (FTA Director)
Monika Kiczakajlo	F	FTA Management Team	CIFOR
Alexandre Meybeck	M	FTA Management Team	CIFOR
Dr. Anne Marie Izac	F	FTA ISC Independent Member	Independent Scientist
Mr. Richard Stanislaus Muyungi	M	FTA ISC Independent Member	Government of Tanzania
Dr. Florencia Montagnini	F	FTA ISC Independent Member	Yale University
Dr. Robert Nasi	M	FTA ISC Member	CIFOR (DG)
Dr. Toni Simons	M	CIFOR-ICRAF Board Member	ICRAF (DG)
Prof. René Boot	M	FTA ISC Member, FTA MT Representative	Tropenbos International (DG)
Dr. Stephan Weise	M	FTA ISC Member	Bioversity-CIAT Alliance
Dr. Ramni H. Jamnadass	F	FTA MT, FP1 & Priorities 3,4,19,25 Leader	ICRAF
Dr. Fergus Sinclair	M	FTA MT, FP2 & Priorities 11-14,24 Leader	ICRAF
Dr. Michael Allen Brady	M	FTA MT, FP3 Leader	CIFOR
Dr. Peter A. Minang	M	FTA MT, FP4 & Priorities 1,9,22 Leader	ICRAF
Dr. Christopher Martius	M	FTA MT, FP5 & Priorities 5,6,7,9 Leader	CIFOR
Dr. Christopher Kettle	M	FTA MT, Bioversity International Representative	Bioversity-CIAT Alliance
Dr. Eduardo Somarriba	M	FTA MT, CATIE Representative	CATIE
Dr. Plinio Sist	M	FTA MT, CIRAD Representative	CIRAD
Dr. Marlene Elias	F	FTA Gender Coordinator, FTA priority 10 Leader	Bioversity-CIAT Alliance
Federica Coccia	F	FTA MELIA Coordinator	CIFOR
Dr. Andrew Wardell	M	FTA Capacity Development Focal Point	CIFOR
Dr. Pablo Pacheco	M	WWF Partner, Former FP3 Leader	WWF
Dr. Meine van Noordwijk	M	Former FP4 Leader	ICRAF
Dr. Tonya Schütz	M	MARLO Team	Bioversity-CIAT Alliance
Fabio Ricci	M	FTA Communications	CIFOR
Dr. Bishwa Nath Oli	M	National Agroforestry Policy Development	Government of Nepal
Dr. Javed Rizvi	M	Resource person Nepal OICR	ICRAF
	F=6, M=21		

## Annex 3: List of Documents Reviewed

### **Generally referenced documents**

FTA Annual Reports, 2011–19

FTA POWBs, 2016–20

FTA OICRs reported 2017–19 and innovation stories submitted for CG50

FTA Traffic Light Reports, 2017–20

FTA outcome/impact assessment plans for FP1–5

Minutes and supporting documents of the FTA Independent Steering Committee (ISC), 2017–19

Minutes of the FTA Management Team (MT), 2017–19

### **Individually referenced documents**

Ahmad, F., Uddin, M. M., Goparaju, L., Dhyani, S. K., Oli, B.N., & Rizvi, J. (2020). Tree suitability modeling and mapping in Nepal: A geospatial approach to scaling agroforestry. *Modeling Earth Systems and Environment*, 114 (2020).

Bourne, M., Chesterman, S., Wardell, D. A., & Mehmood-Ul-Hassan, M. (2020). *Capacity needs assessment of CIFOR, ICRAF and their partners for the implementation of the CGIAR Research Program on Forestry, Trees and Agroforestry (FTA): Phase II, 2017–2021*. Bogor, Indonesia: CGIAR Research Program on Forests, Trees and Agroforestry (FTA).

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CAS Secretariat. (2020b). *Addendum to the terms of reference & call for expressions of interest: CRP 2020 reviews of quality of science and effectiveness*. Rome: CAS Secretariat.

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CGIAR ISPC (Independent Science and Partnership Council). (2017). *Quality of Research for Development in the CGIAR context*. Brief Number 62. CGIAR ISPC, Rome, Italy.

Charles Darwin University. (2019). *Evaluation of gender integration in FTA*. Final report. Darwin, Australia: Charles Darwin University.

Finardi, U. (2013). Correlation between journal impact factor and citation performance: An experimental study. *Journal of Informetrics*, 7(2), 357–370.

FTA (CGIAR Research Program on Forests, Trees and Agroforestry). (2011). Proposal: CGIAR Research Program 6: Forests, Trees and Agroforestry: Livelihoods, Landscapes and Governance. Bogor, Indonesia.

FTA. (2016, March 14). ISC conflict of interest policy. FTA Independent Steering Committee.

FTA. (2017a). Proposal Phase II — Forests, Trees and Agroforestry: Landscapes, Livelihoods and Governance: Full proposal 2017–2022: First published 31 July 2016, revised 10 November 2017.

- FTA. (2017b). Program overview: CGIAR Research Program on Forests, Trees and Agroforestry.
- FTA. (2017c). Terms of reference (ToR) and rules of procedure (RoP) of the ISC. Approval by CIFOR's Board of Trustees, September 6, 2017. FTA Independent Steering Committee.
- FTA. (2017d). FTA prioritization process: Setting FTA 2018 priorities and preparing the 2018 POWB, 1 November 2017.
- FTA. (2019a). TORs FTA Management Team. Approved by the ISC, March 27, 2019.
- FTA. (2019b). CGIAR Forest, Trees and Agroforestry (FTA) Research Program's integrated impact estimation strategy.
- FTA. (2019c). *Evaluation report: Support to the Development of Agroforestry Concessions in Peru (SUCCESS) Project*.
- FTA. (2020a). *Annual report 2019*.
- FTA. (2020b). Cohort 2&3 Pre-analysis presentation Q&A. CRP 2020 review.
- FTA. (2020c). *Capacity Development Plan of Action 2020–2021*.
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- Government of Nepal. (2019). National agroforestry policy 2019. Kathmandu: Government of Nepal. Ministry of Agriculture and Livestock Development.
- Government of Nepal. (2020). *Chronology of National Agroforestry Policy development in Nepal 2014–2019 AD (२०७१- २०७६ BS)*. Kathmandu.
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## Annex 4: FTA Phase II Targets Summarized

Type of target	FTA contribution to...	Targets by 2022																			
FTA-specific	FTA end-of program outcomes	<p>25 countries improve governance mechanisms, institutions and tools for safeguarding forests/tree diversity and equitably managing forests and trees within mosaic landscapes.</p> <p>About 20 multinational companies and 500 private sector actors pursue models and investments for improved management and safeguarding of forest and tree resources and enhancement of inclusive landscape-based livelihoods and ecosystem services.</p> <p>National and sub-national public and private sector actors in 25 countries deliver more effective and equitable tree-related breeding, delivery, extension &amp; pedagogical services.</p> <p>About 40 million smallholder households and other users access more productive tree planting material and uptake higher performing, context appropriate and inclusive AF and small-scale forestry management options.</p>																			
<p>17 SDGs</p> <p>10 CGIAR IDOs and 30 sub-IDOs<sup>2</sup></p> <p>4 cross-cutting IDOs and 16 cross-cutting sub-IDOs</p> <p>(IDO and sub-IDO targets are not quantified)</p>	<p>8 SDGs</p> <p>12 IDOs and 31 sub-IDOs (including 4 cross-cutting IDOs and 12 cross-cutting sub-IDOs)</p> <p>(FTA contribution to IDO and sub-IDO targets is not quantified)</p>	<p>Only the 10 sub-IDOs prioritized by FTA shown here (see Annex 4 for the complete list of 31 sub-IDOs covered by FTA)</p> <table border="1"> <thead> <tr> <th>SDG</th> <th>IDO</th> <th>sub-IDO (FTA priority)</th> </tr> </thead> <tbody> <tr> <td>SDG1: No poverty</td> <td>Increased incomes and employment</td> <td>Increased livelihood opportunities</td> </tr> <tr> <td>SDG2: Zero hunger</td> <td>Improved diets for poor and vulnerable people</td> <td>Increased access to diverse nutrient-rich foods</td> </tr> <tr> <td rowspan="3">SDG15 Life on land</td> <td>Natural capital enhanced and protected, especially from climate change</td> <td>Land, water and forest degradation (including deforestation) minimized and reversed</td> </tr> <tr> <td>More sustainably managed agroecosystems</td> <td>Increased resilience of agroecosystems and communities, especially those including smallholders</td> </tr> <tr> <td></td> <td>Enhanced adaptive capacity to climate risks</td> </tr> <tr> <td>SDG13: Climate action</td> <td>Mitigation and adaptation achieved (climate change)</td> <td>Reduced net greenhouse gas emissions from agriculture, forests and other forms of land use</td> </tr> </tbody> </table>	SDG	IDO	sub-IDO (FTA priority)	SDG1: No poverty	Increased incomes and employment	Increased livelihood opportunities	SDG2: Zero hunger	Improved diets for poor and vulnerable people	Increased access to diverse nutrient-rich foods	SDG15 Life on land	Natural capital enhanced and protected, especially from climate change	Land, water and forest degradation (including deforestation) minimized and reversed	More sustainably managed agroecosystems	Increased resilience of agroecosystems and communities, especially those including smallholders		Enhanced adaptive capacity to climate risks	SDG13: Climate action	Mitigation and adaptation achieved (climate change)	Reduced net greenhouse gas emissions from agriculture, forests and other forms of land use
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<sup>2</sup> Intermediate Development Outcomes (IDOs) and sub-Intermediate Development Outcomes (sub-IDOs).

		<table border="1"> <tr> <td>SDG5: Gender equality</td> <td>Equity and inclusion achieved (gender and youth)</td> <td>Gender-equitable control of productive assets and resources  Improved capacity of women and young people to participate in decision-making</td> </tr> <tr> <td>SDG16: Peace, justice and strong institutions</td> <td>Enabling environment improved (policies and institutions)</td> <td>Conducive agricultural policy environment</td> </tr> <tr> <td>SDG17: Partnership for the goals  SDG4: Quality education</td> <td>National partners and beneficiaries enabled (capacity development)</td> <td>Enhanced institutional capacity of partner research organizations</td> </tr> </table>	SDG5: Gender equality	Equity and inclusion achieved (gender and youth)	Gender-equitable control of productive assets and resources  Improved capacity of women and young people to participate in decision-making	SDG16: Peace, justice and strong institutions	Enabling environment improved (policies and institutions)	Conducive agricultural policy environment	SDG17: Partnership for the goals  SDG4: Quality education	National partners and beneficiaries enabled (capacity development)	Enhanced institutional capacity of partner research organizations
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SDG17: Partnership for the goals  SDG4: Quality education	National partners and beneficiaries enabled (capacity development)	Enhanced institutional capacity of partner research organizations									
<p>3 CGIAR SLOs<sup>3</sup> with 20 quantitative targets to be reached by 2022</p> <p>4 cross-cutting SLOs without quantitative targets</p>	3 SLOs	<p>SLO1: Reduced poverty 31 million more farm/smallholder households have adopted improved varieties, breeds or trees, and/or improved management practices 19 million people, 50% women, assisted to exit poverty</p> <p>SLO2: Improved food and nutrition security for health Improve the rate of yield increase by 0.1845%/year in FT&amp;A systems 17 million people, 50% women, meeting minimum dietary requirements or experience increased dietary diversity</p> <p>SLO3: Improved natural resource systems and ecosystem services 0.225% increase in either water or nutrient use efficiency is achieved FT&amp;A GHG emissions reduced by 0.2 Gt CO<sub>2</sub>-e yr<sup>-1</sup> compared with the business-as-usual scenario 30 million ha of degraded land area under restoration 2.5 million ha of avoided deforestation</p>									

Source: Revised FTA Phase II proposal (FTA 2017a), team analysis.

<sup>3</sup> System-Level Outcomes (SLOs).

## **Annex 5: FTA Effectiveness Self-Assessments**

As explained in the main report (Section 1.4), the review team organized a structured FTA self-assessment of progress made along FTA's ToCs and towards FTA Phase II targets.

For this purpose, the team developed six templates (one for each flagship and one for the entire program) that contained the respective ToCs and principal targets from the revised FTA Phase II proposal (FTA 2017a). These templates were then populated by the five FP leaders and the program director, in several cases including the feedback of other senior FTA staff. References to supporting evidence are provided in the last columns of the respective tables.

This annex summarizes the FP-level feedback (Annexes 4.1 to 4.5) and the program-level feedback (Annex 4.6). Each annex is divided into two sections: The assessment of progress i) along the ToC (Part A), and ii) towards Phase II targets (Part II).

## Annex 5.1. FP1: Tree Genetic Resources to Bridge Production Gaps and Promote Resilience

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised phase II proposal (copied below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached.*

#### Any significant changes to the ToC since 2016?

(your input here) Nothing specific at all...only with the creation of priorities, emphasis was partitioned to Biodiversity, Orphan Crops, Nutrition, Restoration and Seed Systems... which is all encompassed in our TOC anyways.

**2. Please indicate the degree to which you judge your FP to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

- *Feel free to do this electronically or by hand on a printout. Kindly use this rating scale: Mark a box or other text with the number "3" if you feel that what is described **has already happened** in line with your expectations;*
- *With "2" if you feel that what is described in the box **has started to happen** in line with your expectations;*
- *With "1" if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or*
- *With "0" if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)***

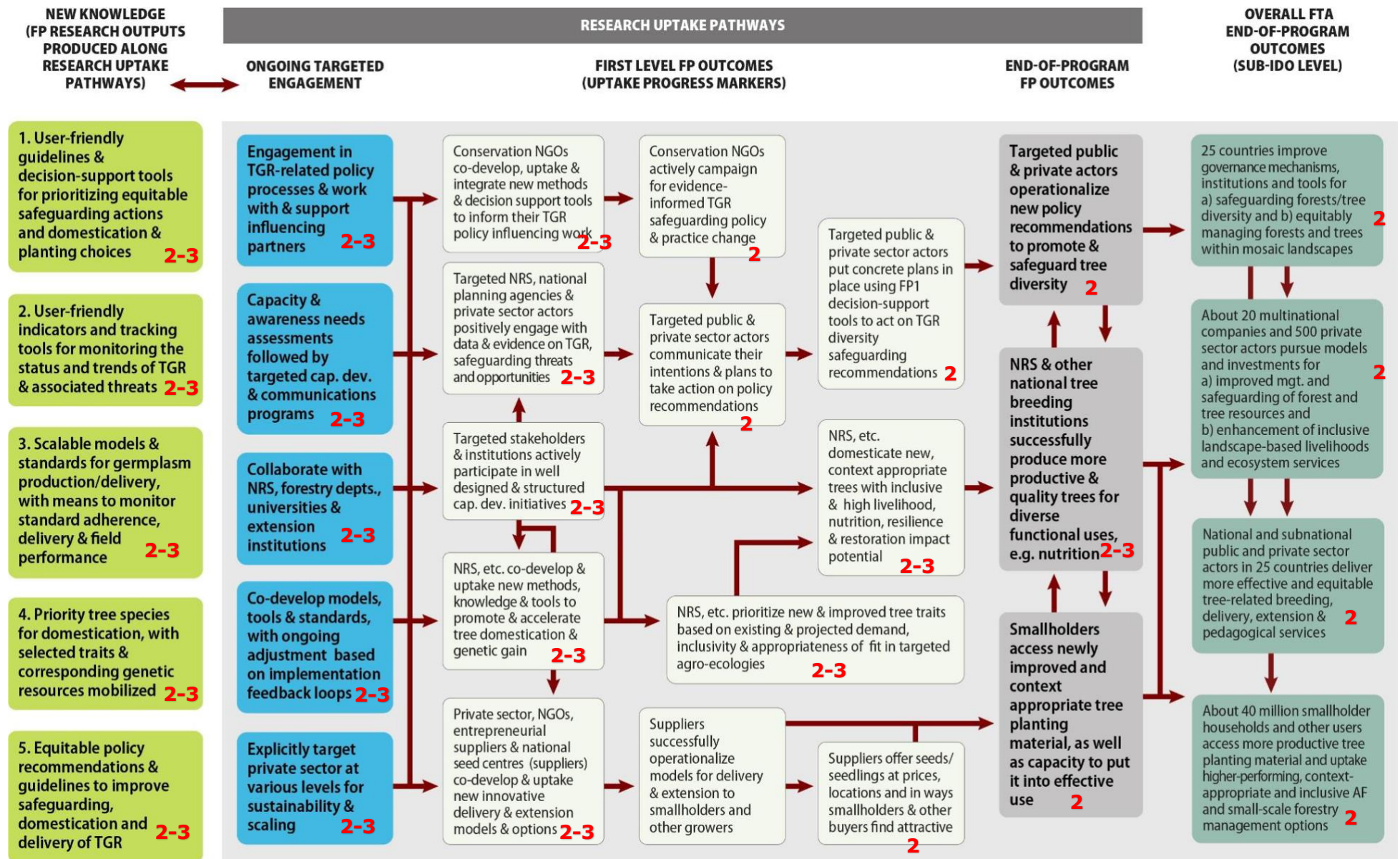
**Marked with red in the diagram**

**3. Please add brief explanations for any "0"s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**

#### Comments on progress along the ToC

(your input here) **No zeros.** Largely according to plans.

The numbers as stated are as they are now; by the end of next year we won't have any less than '2' but most as '3'. We are very delighted with this outcome as our targets were not adjusted to represent one less year (i.e. end of 2022) of the program lifetime.



## **PART B. Feedback on Targets**

*We would also like to get your views on the degree to which your FP has contributed (and is expected to contribute) to targets set in the Phase II proposal.*

*We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider FP-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the last column as well). It is fine if this remains exemplary, we don't expect such backup for each target.*

*For those FPs that have formulated adjusted targets for the ISC outcome/impact workshop last year, kindly still make your progress assessment against the original Phase II proposal targets. We will review the adjusted targets in those workshop documents separately*



#### 4. Flagship-level targets (as summarized in FP1 outcome/impact assessment plan and methodology for the flagship)

Original FP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Impact: <b>20 million</b> more farm/smallholder households have adopted improved tree planting material including the delivery of more productive and resilient reproductive material for the restoration of <b>20 million ha</b> of land in <b>10 countries</b>	2-3	2	<p><b>The impact being achieved in</b> Flagship 1 on Tree Genetic Resources (FPTGR) to bridge production gaps and promote resilience is based on a portfolio of individual projects across the tropics with a total value of about 40 million USD over the 4-year period 2017-2020 considered in this study. The combined project portfolio is contributing to three major outcomes: 1) Safeguarding diversity, 2) Tree domestication enhancing products and services, and 3) Delivery systems providing productive and adaptive tree-planting material for restoration of degraded lands and diversification of agricultural landscapes.</p> <p>Sixteen indicator targets (linked to the Strategic Results Framework of the CGIAR as well as to other global agenda targets, like e.g. the SDGs, the Aichi targets, the NDCs, and the Bonn Challenge) were identified to monitor and assess progress towards the achievement of the stipulated outcomes with a pathway to provide impacts in terms of reaching end-users through application of enhanced capacity (achieved through training, learning and use of new methodologies, decision support tools, databases, developed in the program etc.), through reach to no. of farm holds, restoration areas; through evaluation of livelihood and environmental and economic value of return on investment on interventions, etc.).</p> <p>Initial results (end of 2019) covering only four of the sixteen target indicators show an <b>'apparent overperformance'</b> with respect to all four targets (for Cluster-Domestication) accomplished through capacity enhancement and adoption of decision support tools by national research partners, development and use of genomic data in applied breeding for important tree crops, testing by development and national partners of tree crop varieties across agroecological zones, and uptake of incipient cultivars by public and private partners engaged in applied domestication.</p>

Original FP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	<p><a href="#">The Outline of outcome/impact assessment plan and methodology for the case study for Domestication has been availed in FP1 background Paper for the Special workshop of the FTA Independent Steering Committee on Impact Assessment for Natural Resources Management / Policy Research in FTA, (November 2019)</a></p> <p>Using the methodology in the background paper for Cluster-Domestication, fulfilment of all the sixteen indicator targets of FPTGR is being assessed through an evaluation of all the FPTGR outputs, including the individual projects of which FPTGR is composed, and how they contribute to the outcomes. The final study (end 2021) will present results for all sixteen target indicators and provide an interpretation of their potential impact value for end-users; the study is based on an ex-ante impact assessment of the largest bilateral restoration project in the FPTGR portfolio of projects for e.g. 'Vision for Change', 'Provision of Adequate Tree Seed Portfolios' (PATSP0) in support of cocoa agroforestry landscapes, Forest Landscape Restoration in Ethiopia respectively; and on a series of species specific potential socio-economic and environmental impact studies for tree species in different categories (timber, fruit, oil, local commodity, global commodity). The species-specific assessments consider mitigation (including environmental values like carbon sequestration, and soil and water conservation), as well as adaptation-related impacts (including (bio)diversification and climate suitability) and social and economic returns. The potential values (based on Cluster-Domestication) show very significant returns with respect to both the environment and the economy as apparent in c.f Table 3. Preliminary summary of achievements of outcome targets for domestication (see Table 1) based on the contribution of bilateral projects (see Table 2)</p> <p>From 2017–2019, there are about 300 outputs and around 50 bilaterals to categorise across the 3 clusters and these are also grouped to FTA-FP1 priorities and their outcomes (which by and large correspond to cluster outcomes). The numbers stated in the composite outcomes of</p>



Original FP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
			the three clusters will be finalized as done as for Cluster 2 - Domestication to assess the achievement the specified impact.
Outcome: Integrated tree genetic resource management programmes implemented > <b>10 countries</b>	2	2	As stated above, Flagship 1 represents an integrated program of the three clusters, the Composite FTA FP1 outcomes numbers in the first column of this document will be achieved when all 3 clusters have been evaluated. So far provisional evaluation of <b>only Cluster 2 - Domestication</b> has been undertaken. And the numbers represented for Domestication are presented in Table 3; pg. 40 in the Outline of Outcome/Impact Assessment Plan and Methodology for the case study for Domestication; as has been availed in <a href="#">FP 1 background Paper for the Special workshop of the FTA Independent Steering Committee on Impact Assessment for Natural Resources Management/Policy Research in FTA, (November 2019)</a> .  <a href="#">Preliminary summary of achievement for Domestication.</a>
Outcome: Applying optimal combinations of FP1 safeguarding measures specific to ecological, geographical and societal contexts at different levels > <b>200 species</b>	2	2	
Outcome: Combining new and available tree domestication approaches > <b>10 species</b>	3	2	
Outcome: Developing context-specific delivery systems for the best available planting materials including orchards > <b>20 species</b>	2-3	2	
			The assessment plan and methodology for the case study for Domestication covering four of the sixteen target indicators shows an apparent ' <b>overperformance</b> ' with respect to all four targets (for CoA Domestication). The success of impact through the ex ante evaluation is attributed to:
			1. Stakeholders using their enhanced capacities (in research methodologies, adopting decision support tools and using technical knowledge developed) to support domestication (been evaluated from scientific publications, project reports, regional workshops, etc).

Total no. of projects	17	5	9	10
Total no. of countries (excl. Genebank)	> 20 countries	(>15 countries)	(> 15 countries)	> 10 countries
Total no. of species (excl. Genebank)	> 100 species	> 5 species	> 40 species/varieties	(>30 species)
Targets	10 countries	5 species	10 more varieties	Match identified needs of 3 more species

Original FP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	<p>Scale:</p> <p>0. No contribution                      1. Some contribution                      2. Significant contribution                      3. Target will be reached                      4. Target will be exceeded</p>	<p>Scale:</p> <p>0. No contribution                      1. Some contribution                      2. Significant contribution                      3. Target already reached                      4. Target already exceeded</p>	<p>2. By mainstreaming best approaches into bilateral projects (especially development programmes like V4C, BRACED, Fruiting Africa, PATSPO etc), c.f. Table 2. Bilateral projects with domestication/orphan crops (FTA FP1 CoA 2 (Domestication) and FTA P19 (Orphan Crops)) Jan 2017–Aug 2019, budget mapped for domestication.</p> <p>3. A semi-quantitative assessment of geographical and partner coverage (assessed from all the mapped bilateral projects) thereby providing a good indication on how far we are in reaching the cluster outcomes, pointing directly at FTA outcomes.</p>

Original FP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale:	Scale:	
	0. No contribution	0. No contribution	
	1. Some contribution	1. Some contribution	
	2. Significant contribution	2. Significant contribution	
	3. Target will be reached	3. Target already reached	
	4. Target will be exceeded	4. Target already exceeded	

Table 3. Preliminary summary of achievements of outcome targets for domestication (see Table 1) based on the contribution of bilateral projects (see Table 2).

Project id, cf. table 2	Region/Country	Achievement of target 1 (Tab 1), cf. Tab 2	Achievement of target 2 (Tab 1), cf. Tab 2	Achievement of target 3 (Tab 1), cf. Tab 2	Achievement of target 4 (Tab 1), cf. Tab 2
		Tools developed and applied (no. of countries/species)	Genomic panels developed/applied (no. of species)	Provenance/variety development (no.)	Application in local breeding, private or public programmes (no.)
MULT-963: Vision for Change Project: 2011-2020	Cote d'Ivoire	1/1	-	>3	1
UCDZ-1079: AFPBA 2013-2019	Africa	>10/>15	5/>15	>5	(>5)
AOCC sequencer 2017-2021	Africa	-	>5/-	-	-
UCPH-ICRAF Agreement 2014-2024	Global	>10/>15	-	-	-
UNHZ-1215 Genome Improvement of Shea 2016-2019	Africa	>5/1	1/-	-	-
SDNE-1290: Nedcoffee 2018-2020	Indonesia	1/1	-	-	1
AFIZ-1313: Eucalyptus in Sabah 2018-2019	Malaysia	1/1	-	>1	1
101272 IMMUNA PROJECT ENRICH 2017-2021	Kenya	1/-	-	-	-
NORD-1242: PATSPO 2017-2020/21	Ethiopia	1/-100	2/-	>15	1
NIAB-1345 <i>Solanum aethiopicum</i> 2018-2021	Africa	5/1	1/-	-	-
GTZG-101384: Poplars in Central Asia 2019-2021	Central Asia	3/1	-	>1	1
CHNA-766: Collaboration with China	China	1/>100	-	-	-
IFAD 1187 Food trees for diversified diets 2016-2020	Kenya, Uganda	2/>10	-	>10	2
IFAD 1200 Agrobiodiversity and Nutrition 2016-2019	Uganda, Ethiopia	2/>10	-	>10	2
GCDT-1213 Collaboration with GENE BANK Platform 2017-2022	Global	>15/>100	-	>100	>15
ACAR AFLI 2011-2017	Vietnam	1/5	-	>5	1
NRIZ-1129 OPTIONS (2014-2017)	Africa	1/5	-	>5	-
LSHM-1162 Models for Nutrition Outcomes (2015-2018)	Kenya	1/	-	-	-
<b>Total no. of projects</b>		17	5	9	10
<b>Total no. of countries (excl. Genebank)</b>		> 20 countries	(>15 countries)	(> 15 countries)	> 10 countries
<b>Total no. of species (excl. Genebank)</b>		> 100 species	> 5 species	> 40 species/variety	(>30 species)
<b>Targets</b>		10 countries	5 species	10 more varieties	Match identified needs of 3 more species

The approach used to achieve Table 3 above summarizing achievements for Domestication up to 2019 is now being undertaken for all clusters to enable producing the final impact report by 2021. We believe we will have reached beyond all our stipulated outcome targets.

## 5. Cluster-of-activity-level targets: Safeguarding diversity

Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Support for implementation of global and regional strategies for TGR conservation in Latin America and Africa;	2-3	2	In the Cluster on Safeguarding Diversity, no project is supported by less than 5 bilateral projects—depending on the region. On average each cluster has about 100 outputs in the three-year period. All outputs can be reviewed in the traffic light reports. <u>The same approach as described for Cluster-Domestication (described above) will be used to assess the contributions to impact and outcomes.</u>
Support for circa situ safeguarding of TGR of 10 globally-important and 100 regionally-important food or income-generating tree species;	2-3	2	<b>Below are some highlights for this cluster of indicators:</b> <ul style="list-style-type: none"> <li>Guideline for genetic conservation units through 6 studies (<a href="https://tinyurl.com/te6wr9p">https://tinyurl.com/te6wr9p</a>)</li> <li>Contributions of biodiversity to the sustainable intensification of food production and tools for conservation of crop wild relatives. Thematic study for The State of the World's Biodiversity for Food and Agriculture and article in Global Food Security <a href="http://www.fao.org/3/ca4003en/ca4003en.pdf">http://www.fao.org/3/ca4003en/ca4003en.pdf</a></li> <li><b>Use of map-based decision-support tools for global conservation and restoration planning:</b> In addition to web-based maps, smart phone Apps are available from the Google Play Store (Kindt et al. 2017, Africa Tree Finder, <a href="https://play.google.com/store/apps/details?id=com.icraf.gsl.africatreefinder">https://play.google.com/store/apps/details?id=com.icraf.gsl.africatreefinder</a>). The high-resolution baseline potential natural vegetation map that was</li> </ul>
Tools and approaches for reducing the impacts of threats such as illegal logging and over-grazing in place in five key countries;	1-2	1	

Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
On-line status and threat assessment tools for 100 species in Latin America and 100 in Africa used by managers to develop national conservation strategies;	2-3	1-2	developed by the project for Eastern Africa ( <a href="http://vegetationmap4africa.org">http://vegetationmap4africa.org</a> ) has now been integrated in the <b>Ecoregions 2017</b> ( <a href="http://ecoregions2017.appspot.com/">http://ecoregions2017.appspot.com/</a> ) map that updated the WWF Terrestrial Ecoregions map from 2001. In a <i>Bioscience</i> article published in 2017 (Dinerstein et al. 2017) with various FTA Flagship 1 scientists as co-authors, this new map was utilized to investigate the potential of allocating at least half of the Earth to conservation.
Effective, efficient and equitable approaches and policy recommendations for TGR conservation developed for 10 priority species in target countries in each of three continents;	2	1-2	<p><b>Decision support tools for safeguarding and sustainable use of priority tree genetic resources and its application to forest and landscape restoration.</b></p> <ul style="list-style-type: none"> <li>• <a href="#">Gaisberger et al</a> developed detailed threat maps for important food tree species in Burkina Faso.</li> <li>• <a href="#">Marchelli et al</a> identified critical hot spots of diversity in two species of <i>Northofagus</i> in Patagonian Argentina with practical and spatially-explicit conservation prioritization.</li> <li>• In the 89th Technical Series of the Convention on Biological Diversity as part of the Lima Declaration on Biodiversity and Climate Change, <a href="#">Thomas et al</a></li> </ul>

Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale:	Scale:	
	0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Training materials, characterization methods, policies and indicators of status and threats adopted in 10 countries	2-3	2	showcase an online platform that integrates climate modeling with functional trait analysis and consideration of genetic suitability of seed sources to support resilient forest restoration in Colombian tropical dry forest. Such methods will go on to be applied within other FTA projects to ensure that seed supply systems in restoration are suitably adapted to local conditions and resilient to future climate.

**6. Cluster-of-activity-level targets: Tree domestication**

Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Guidelines and decisionsupport tools on domestication approaches adopted by national research partners in at least 10 countries, with national and private sector breeders, on user-prioritized species	3	2-3	<p>As stated above the targets from the different bilateral grants of Cluster on Domestication is well described in the Outline of Outcome/Impact Assessment Plan and Methodology for the Case Study for Domestication has been availed in the <a href="#">FP1 Background Paper for the Special Workshop of the FTA Independent Steering Committee on Impact Assessment for Natural Resources Management / Policy Research in FTA</a>, (November 2019). A summary of the contributions to <a href="#">outcome and impact are in Table 3</a>.</p> <p>On average each cluster has about 100 outputs in the three-year period. All outputs can be reviewed in the traffic light reports.</p>
Genomic data and assembled germplasm collections/panels fully developed and used in breeding strategies for five important food tree crops	3	2-3	<p><b>Below are some highlights for this cluster of indicators:</b></p> <ul style="list-style-type: none"> <li>Work on orphan crops was advanced with the publication of the strategy, "Supporting Human Nutrition In Africa Through The Integration of New and Orphan Crops Into Food Systems" (Dawson et al. <b>2018</b>, <a href="http://www.worldagroforestry.org/publication/supporting-human-nutrition-africa-through-integration-new-and-orphan-crops-food-systems">http://www.worldagroforestry.org/publication/supporting-human-nutrition-africa-through-integration-new-and-orphan-crops-food-systems</a>), using exemplar crop analysis to guide the building of business models and advanced genomic breeding ahead.</li> </ul>

Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Stakeholders testing at least 10 more potential 'varieties' of trees across agroecological zones	3	2-3	<ul style="list-style-type: none"> <li>A study on the African fibre producing desert plant, Calotropis, provided novel insights into the genetic diversity and population structure of the species, which promotes further resource utilization and the development of genetic improvement/domestication strategies for Calotropis (Muriira et al <b>2018</b>,</li> </ul>



Public and private partners engaged in tree domestication activities to reach identified needs with incipient cultivars for at least three more tree species	3	2-3	<p>Nature Scientific Reports, <a href="https://www.nature.com/articles/s41598-018-26275-x">https://www.nature.com/articles/s41598-018-26275-x</a>).</p> <ul style="list-style-type: none"> <li>Supporting genomic-breeding genomes have been sequenced and published in GigaScience: <ul style="list-style-type: none"> <li><a href="http://dx.doi.org/10.5524/101054">Apple-Ring Acacia (Faidherbia albida)</a>, <a href="http://dx.doi.org/10.5524/101054">http://dx.doi.org/10.5524/101054</a>,</li> <li><a href="http://dx.doi.org/10.5524/101055">Bambara Groundnut (Vigna subterranea)</a>, <a href="http://dx.doi.org/10.5524/101055">http://dx.doi.org/10.5524/101055</a></li> <li><a href="http://dx.doi.org/10.5524/101056">Hyacinth Bean (Lablab purpureus)</a>, <a href="http://dx.doi.org/10.5524/101056">http://dx.doi.org/10.5524/101056</a></li> <li><a href="http://dx.doi.org/10.5524/101057">Marula (Sclerocarya birrea)</a>, <a href="http://dx.doi.org/10.5524/101057">http://dx.doi.org/10.5524/101057</a></li> <li><a href="http://dx.doi.org/10.5524/101058">Horseradish Tree (Moringa oleifera)</a>, <a href="http://dx.doi.org/10.5524/101058">http://dx.doi.org/10.5524/101058</a></li> <li><a href="http://dx.doi.org/10.5524/100642">African eggplant (Solanum aethiopicum)</a>, <a href="http://dx.doi.org/10.5524/100642">http://dx.doi.org/10.5524/100642</a></li> </ul> </li> </ul> <p>Two genomes have been published in Planta and sequence available on ORCAE database: <ul style="list-style-type: none"> <li><a href="https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arthe">Jackfruit (Artocarpus heterophyllus)</a>, <a href="https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arthe">https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arthe</a></li> <li><a href="https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arta">Breadfruit (Artocarpus altilis)</a>, <a href="https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arta">https://bioinformatics.psb.ugent.be/orcae/aocc/overview/Arta</a></li> </ul> </p> <ul style="list-style-type: none"> <li><b>Multiple origins and a narrow genepool characterize the African tea germplasm: Concordant patterns revealed by nuclear and plastid DNA markers</b> Despite the highly economic value of tea in Africa, its genetic and geographic origins remain largely unexplored. Results published in <i>Nature Scientific Reports</i> (Wambulwa et al. 2017, <a href="https://www.nature.com/articles/s41598-017-04228-0">https://www.nature.com/articles/s41598-017-04228-0</a>). The results highlighted and guided that Chinese Assam tea will be important for the enrichment of African tea gene pools.</li> <li><b>Genomic prediction unifies animal and plant breeding programs to form platforms for biological discovery:</b> To achieve higher, sustainable rates of improvement in yield levels in order to feed a predicted global population of 9 billion by 2050, renewed genetic interventions and dramatic improvement of agricultural practices is required. Genomic prediction of breeding values has the potential to improve selection, reduce costs and provide a platform that unifies breeding approaches, biological discovery, and tools and methods. A study published in <i>Nature Genetics</i> (Hickey et al. 2017, <a href="https://www.nature.com/articles/ng.3920?WT.feed_name=subjects_genetics">https://www.nature.com/articles/ng.3920?WT.feed_name=subjects_genetics</a>) highlights and proposes a strategy for the use of genomic selection as a unifying approach to deliver innovative 'step changes' in the rate of genetic gain at large-scale.</li> <li>Delivering perennial new and orphan crops for resilient and nutritious farming systems, breeders views and the role of genetics in the journal <i>New Phytologist</i>, 2019. <a href="https://doi.org/10.1111/nph.15895">https://doi.org/10.1111/nph.15895</a>.</li> </ul>
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Original targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	<ul style="list-style-type: none"> <li>• Fruit Tree Portfolios targeting dietary diversity through ag-biodiversity has been upscaled in several sites in East Africa (McMullin et al. <a href="http://www.worldagroforestry.org/project/food-trees-diversified-diets-improved-nutrition-and-better-livelihoods-smallholders-east">http://www.worldagroforestry.org/project/food-trees-diversified-diets-improved-nutrition-and-better-livelihoods-smallholders-east</a>) and published for further mainstreaming (McMullin et al., <b>2018</b>. Fresh Fruit and Vegetables: Contributions to Food and Nutrition Security. <i>Elsevier Encyclopedia of Food Security and Sustainability</i>).</li> <li>• Priority Food Tree and Crop Food Composition Database (2019) <a href="https://doi.org/10.34725/DVN/FIPP7F">https://doi.org/10.34725/DVN/FIPP7F</a> and a user-Guide <a href="http://old.worldagroforestry.org/downloads/Publications/PDFS/B17984.pdf">http://old.worldagroforestry.org/downloads/Publications/PDFS/B17984.pdf</a> has been developed to support the portfolio approach–methodology for providing year-round micronutrients to smallholder farmers by mainstreaming African orphan crops into food systems for nutrition (2019) <a href="https://doi.org/10.1007/s12571-019-00970-7">https://doi.org/10.1007/s12571-019-00970-7</a></li> </ul>

## 7. Cluster-of-activity-level targets: Delivery systems

Original FTA CRP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
National extension partners, private companies and others involved in agroforestry and restoration initiatives in 10 countries have adopted best practices for sourcing planting material	2	2	<p>In the Cluster on Delivery Systems, no project is also supported by less than 5 bilateral projects—depending on the region. On average each cluster has about 100 outputs in the three-year period. All outputs can be reviewed in the traffic light reports. <u>The same approach as described for Cluster-Domestication will be used to assess the contributions to impact and outcomes.</u></p> <p><b>Below are some highlights for this cluster of indicators:</b></p> <ul style="list-style-type: none"> <li>Suitability modelling of tree species to current and future climates has developed further in 2018, in the form of theory, tools, and field application. An article on the methodology</li> </ul>

Original FTA CRP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
National partners, on protected public land, have established new breeding/production seed orchards for 20 tree species globally	3	2	was published early in the year (Kindt, <b>2018</b> , <a href="https://www.sciencedirect.com/science/article/pii/S1364815217305303?via%3Dihub">https://www.sciencedirect.com/science/article/pii/S1364815217305303?via%3Dihub</a> ), following the publication of the atlas for 54 species in Central America late 2017 (de Sousa et al. 2017, <a href="http://www.worldagroforestry.org/atlas-central-america">http://www.worldagroforestry.org/atlas-central-america</a> ), providing a tool for species selection. The methodology has been mainstreamed into a development program in Ethiopia to guide implementation of a multiple species breeding programme based on the principle of multiple population breeding; 5 orchards were established in 2018 and 14 in 2019.
Policy-makers have incorporated appropriate certification standards into delivery systems in five countries	2	2	<ul style="list-style-type: none"> <li>This work was embraced <i>Nature</i> news feature "How to Plant A Trillion Trees" (Cernasky, August <b>2018</b>, <a href="https://www.nature.com/articles/d41586-018-06031-x">https://www.nature.com/articles/d41586-018-06031-x</a>).</li> </ul> <p><b>Enhanced capacity:</b></p> <p>Through development programmes like PATSPO, partnerships like AOCC, and in collaboration with regional networks and FAO.</p>

Original FTA CRP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Farmers have adopted user-friendly online and mobile phone decision support tools to support tree planting choices in conjunction with market information services in five countries	2-3	2	<ul style="list-style-type: none"> <li>• Regional workshops on prioritization, conservation and use of Forest Genetic Resources in Sub-Saharan Africa and Asia.</li> <li>• Capability of stakeholders to manage genetic resources/seed enhanced through continuous updating of knowledge (decision support tools, databases, etc.) that are in the public domain, such as:               <ul style="list-style-type: none"> <li>- Vegan (Downloads: 2,116,154) <a href="https://cran.r-project.org/package=vegan">https://cran.r-project.org/package=vegan</a></li> <li>- Tree Diversity Manual (Downloads: 1,128)                   <ul style="list-style-type: none"> <li>o <a href="http://www.worldagroforestry.org/downloads/publications/PDFs/kindt%20b2005.pdf">http://www.worldagroforestry.org/downloads/publications/PDFs/kindt%20b2005.pdf</a></li> </ul> </li> <li>- Tree Seeds for Farmers: A Toolkit and Reference Source (Downloads: 7,368) <a href="http://www.worldagroforestry.org/downloads/publications/PDFs/MN14476.PDF">http://www.worldagroforestry.org/downloads/publications/PDFs/MN14476.PDF</a></li> </ul> </li> </ul>

Original FTA CRP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
National extension partners have determined and adopted improved context-specific delivery approaches for priority tree species in 10 countries, with the roles of the various actors involved properly aligned	2	2	<ul style="list-style-type: none"> <li>- BiodiversityR (Downloads: 160,087)                             <ul style="list-style-type: none"> <li>o <a href="https://cran.r-project.org/package=BiodiversityR">https://cran.r-project.org/package=BiodiversityR</a></li> </ul> </li> <li>- vegan3d (Download: 67,349) <a href="https://cran.r-project.org/package=vegan3d">https://cran.r-project.org/package=vegan3d</a></li> <li>- WorldFlora - 2020 (Downloads: 4,337) <a href="https://cran.r-project.org/package=WorldFlora">https://cran.r-project.org/package=WorldFlora</a></li> </ul> <ul style="list-style-type: none"> <li>• Capacity building through TRI, Diversity 4 Restoration; Two regional workshops on prioritization, conservation and use of Forest Genetic Resources in Sub-Saharan Africa and Asia: For strengthening tree seed systems.</li> </ul> <p style="text-align: right;"><b>Information relevant for policy briefs generated:</b></p>

Original FTA CRP targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Changes in policies and strategies by national governments and implemented by national extensions services have resulted in entrepreneurial suppliers becoming more engaged in delivery (supplying at least 20% more material than 2016 levels) in five countries	2	2	<p>Documenting the lack of adoption of appropriate tree germplasm portfolios in productive systems for large scale climate mitigation and landscape restoration; and suggesting approaches for change.</p> <ul style="list-style-type: none"> <li>• Conservation Letters (Jalonen et al. 2018, <a href="http://onlinelibrary.wiley.com/doi/10.1111/conl.12424/full">http://onlinelibrary.wiley.com/doi/10.1111/conl.12424/full</a>),</li> <li>• Climate and Development (Roshetko et al. 2018, <a href="http://www.tandfonline.com/doi/full/10.1080/17565529.2017.1334620">http://www.tandfonline.com/doi/full/10.1080/17565529.2017.1334620</a>) are the the first studies to verify and document that many plantings and regenerations for restoration and/or conservation do not pay adequate attention to the genetic quality of the reproductive material. This is likely to be one of the most important factors of success for the huge global agenda of forest landscape restoration and with very significant implications for conservation of biodiversity. A third paper published in <i>Development Policy Review</i> (Lillesø et al 2018, <a href="http://onlinelibrary.wiley.com/doi/10.1111/dpr.12233/full">http://onlinelibrary.wiley.com/doi/10.1111/dpr.12233/full</a>) goes on to analyse reasons for and suggest measures to mitigate the lack of adoption in productive systems and for landscape restoration.</li> <li>• Dissemination through conferences, debates, etc. at international events.</li> </ul>

## Annex 5.2. FP2: Livelihood Systems

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised Phase II proposal (copied below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached.*

#### Any significant changes to the ToC since 2016?

The diagram shown is not relevant as the original FP2 proposal was not funded.

[This annex now shows the revised ToC]

We revised our ToC in 2017 (see new diagram and narrative attached to better reflect two distinct impact pathways one direct via place-based research where the research is embedded in development praxis (options by context within a Research in Development 'RinD' modality), and the other diffuse via outputs being taken up by other actors beyond the areas covered by RinD.

**2. Please indicate the degree to which you judge your FP to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

*Feel free to do this electronically or by hand on a printout. Kindly use this rating scale:*

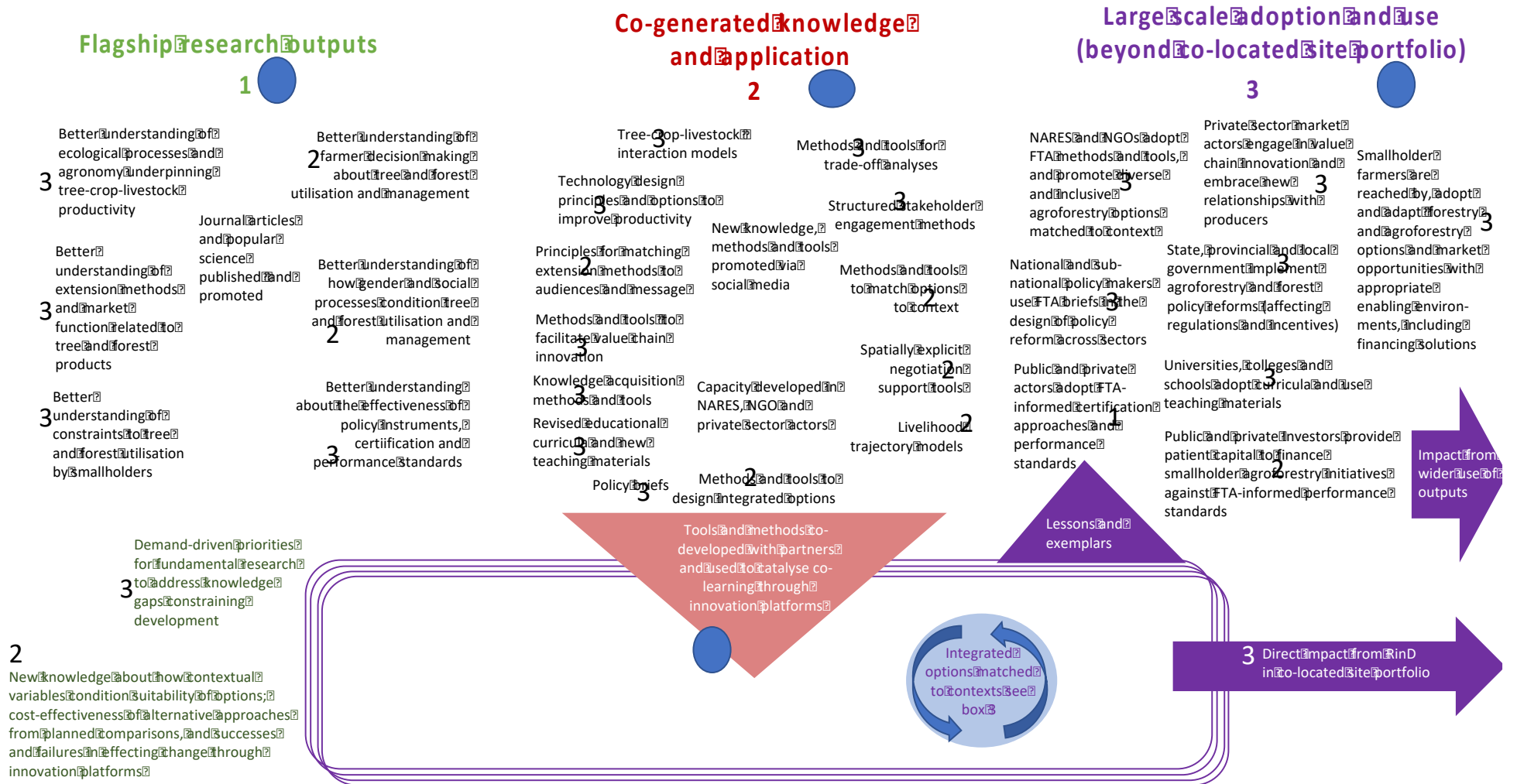
- *Mark a box or other text with the number "3" if you feel that what is described **has already happened** in line with your expectations;*
- *With "2" if you feel that what is described in the box **has started to happen** in line with your expectations;*
- *With "1" if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or*
- *With "0" if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)***

**3. Please add brief explanations for any "0"s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**



### Comments on progress along the ToC

- a) While RinD has yielded much information on farmer decision making a project funded by France on adoption of agroecological practices across Africa that started in 2020, is anticipated to yield a step change in understanding why they are and are not adopted by different people in different contexts.
- b) Initial research on gender led to adoption of a gender transformative approach which is now endorsed and will produce results over the next two years.
- c) Development of methods and tools to match options to contexts, model livelihood trajectories etc. is on course but these aspects coming later in the research process will be complete over the next couple of years.
- d) While we have contributed to certification schemes in some contexts, early phase research led to a course correction to focus more on the development of participatory guarantee systems and a new project starting in 2021 will focus on development of holistic performance metrics for agriculture (DEVCO) with targets for adoption from 2022 onwards.
- e) Impacts are covered in the table below.
- f) We estimate a 1:5 ratio of direct to diffuse impact BUT the latter dependent on the former that ensures that outputs are fit for purpose.



**PART B. Feedback on targets**

*We would also like to get your views on the degree to which your FP has contributed (and is expected to contribute) to targets set in the Phase II proposal.*

*We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider FP-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the last column as well). It is fine if this remains exemplary, we don't expect such backup for each target.*

*For those FPs that have formulated adjusted targets for the ISC outcome/impact workshop last year, kindly still make your progress assessment against the original Phase II proposal targets. We will review the adjusted targets in those workshop documents separately.*

#### 4. Flagship-level targets

[Remark by the FP: We actually had more traceable indicators in the proposal that we track – but for this table see as follows]

FP2 outcome targets (by 2022)	Degree to which you expect FTA to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 1. No contribution 2. Some contribution 3. Significant contribution 4. Target will be reached 5. Target will be exceeded	Scale: 1. No contribution 2. Some contribution 3. Significant contribution 4. Target already reached 5. Target already exceeded	
1. Improved food security and livelihood opportunities for 100 million people in smallholder households and more productive and equitable management of natural resources over an area of at least 50 million ha. This outcome integrates some outputs from other research clusters through their scaling.	4	3	Given the target is 'opportunities' and 100 million people this will be exceeded – the GCA year of action in 2020 alone involves improved access to agroecological practices for 60M farmers (based on FTA research) which by itself would exceed 100 million people when family size is factored in. Direct tracking of RinD activities indicates a reach of 2.25 M households (>11M people) across our global portfolio (see impact case on oxc that I shared) and with a ratio 1:5 direct to diffuse impact this would also exceed the target

FP2 outcome targets (by 2022)	Degree to which you expect FTA to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
<p>2. Improved livelihood opportunities involving timber, fruit and NTFPs contributing a 25% increase in income for over 5 million people and more equitable management of natural resources, including a 25% increase in women's participation in decisions involving tree and forest management and utilization and improvement in substantive representation of women in community forest management institutions</p>	<p>Scale:</p> <ol style="list-style-type: none"> <li>1. No contribution</li> <li>2. Some contribution</li> <li>3. Significant contribution</li> <li>4. Target will be reached</li> <li>5. Target will be exceeded</li> </ol> <p>3</p>	<p>Scale:</p> <ol style="list-style-type: none"> <li>1. No contribution</li> <li>2. Some contribution</li> <li>3. Significant contribution</li> <li>4. Target already reached</li> <li>5. Target already exceeded</li> </ol> <p>2</p>	<p>This is a composite target – we are achieving &gt;25% increase income from several widely adopted practices (tree tomato, stakes for climbing beans, son tra, oilpalm, cocoa and coffee diversification) but have yet to collate numbers of farmres associated with each across our reach. In respect of gender we will be able to make a huge qualitative leap through quantifying the impact of gender transformative actions on greening outcomes but this will be realized in 2022</p>

<b>FP2 outcome targets (by 2022)</b>	<b>Degree to which you expect FTA to contribute to these targets by year-end 2022</b>	<b>Contribution already achieved by year-end 2019</b>	<b>Comments, explanations, readily available evidence</b>
	Scale: 1. <b>No contribution</b> 2. <b>Some contribution</b> 3. <b>Significant contribution</b> 4. <b>Target will be reached</b> 5. <b>Target will be exceeded</b>	Scale: 1. <b>No contribution</b> 2. <b>Some contribution</b> 3. <b>Significant contribution</b> 4. <b>Target already reached</b> 5. <b>Target already exceeded</b>	
3. Diversified tree-crop production systems covering 5 million ha and improving diets and livelihood opportunities for 20 million people in smallholder producer households	3	2	On target with diversification for coffee, cocoa and oilpalm in Vietnam, China, Uganda, Kenya, Tanzania, Rwanda, Cote d'Ivoire, Ghana, Cameroon, Brazil, Peru and Indonesia

FP2 outcome targets (by 2022)	Degree to which you expect FTA to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
<p>4. Increased access to diverse, nutrient-rich food for 20 million people by closing yield gaps by trees in agricultural systems, improving and maintaining soil health, intensifying system interactions (fodder and fuelwood), directly contributing to production, reducing and reversing land degradation, and increasing the resilience of smallholder livelihoods</p>	<p>Scale:</p> <ol style="list-style-type: none"> <li>1. No contribution</li> <li>2. Some contribution</li> <li>3. Significant contribution</li> <li>4. Target will be reached</li> <li>5. Target will be exceeded</li> </ol>	<p>Scale:</p> <ol style="list-style-type: none"> <li>1. No contribution</li> <li>2. Some contribution</li> <li>3. Significant contribution</li> <li>4. Target already reached</li> <li>5. Target already exceeded</li> </ol>	<p>This is a composite target – we will have a measure of dietary contributions from the resilient food systems programme in 2022 that will together with DryDev, Trees4FoodSecurity and Regrteening Africa meet the target if achieved</p>

<b>FP2 outcome targets (by 2022)</b>	<b>Degree to which you expect FTA to contribute to these targets by year-end 2022</b>	<b>Contribution already achieved by year-end 2019</b>	<b>Comments, explanations, readily available evidence</b>
	Scale: 1. <b>No contribution</b> 2. <b>Some contribution</b> 3. <b>Significant contribution</b> 4. <b>Target will be reached</b> 5. <b>Target will be exceeded</b>	Scale: 1. <b>No contribution</b> 2. <b>Some contribution</b> 3. <b>Significant contribution</b> 4. <b>Target already reached</b> 5. <b>Target already exceeded</b>	
5. Closing yield gaps through improved pasture management and animal husbandry on over 15 million ha and 1 million animals and contributing to reducing and reversing land degradation on over 5 million ha	2	1	The silvopastoral systems work was a response to the first evaluation of FTA but the hiatus in w1/w2 funding for FP2 in 2017 and then less than expected w1/w2 funds since has meant slower progress than anticipated

### 5. Cluster-of-activity-level targets

(There seem to be no CoA-level targets in the revised Phase II proposal for this flagship)



## Annex 5.3. FP3: Sustainable Value Chains and Investments

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised Phase II proposal (copied below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached.*

#### Any significant changes to the ToC since 2016?

The ToC for FP3 was changed in 2020 to reduce the end of program outcomes (EOPO) from 4 to 3. As well the 3 EOPO indicators and targets were revised to be clearer and to reduce the scope to reflect the shorter implementation period (ending in 2021) and reduced budget. Please see the appended document, « ISC Workshop\_FP3 Background Paper 2020 final draft », which contains the updated ToC and EOPOs.

**2. Please indicate the degree to which you judge your FP to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

*Feel free to do this electronically or by hand on a printout. Kindly use this rating scale:*

- *Mark a box or other text with the number "3" if you feel that what is described **has already happened** in line with your expectations;*
- *With "2" if you feel that what is described in the box **has started to happen** in line with your expectations;*
- *With "1" if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or*
- *With "0" if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)***

**3. Please add brief explanations for any "0"s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**

### Comments on progress along the ToC

CoA1: Enabling sustainable commodity supply chains

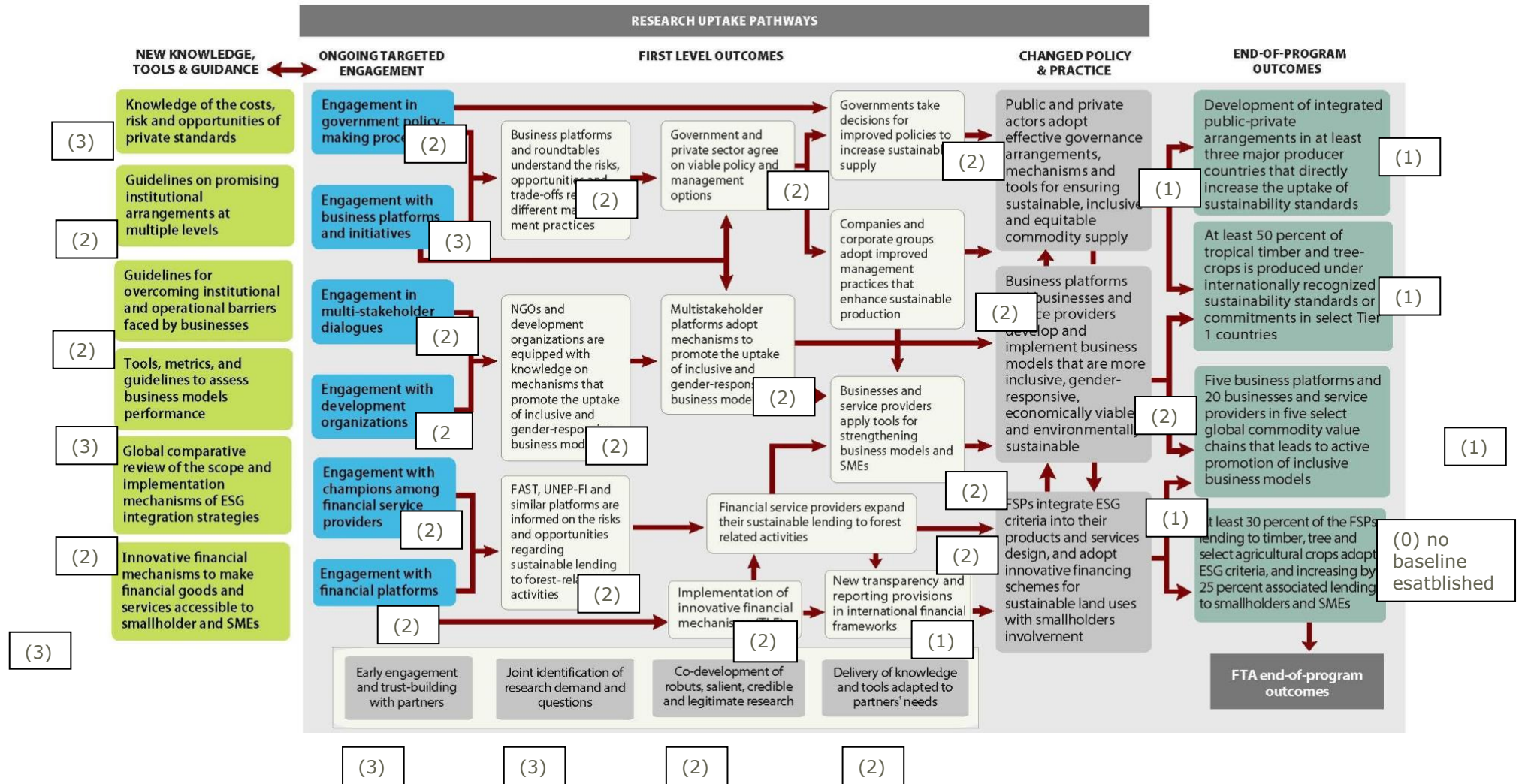
- P18. Public and private commitments to zero deforestation **(2)**
- P2. Plantations and tree crop commodities **(2)**
- P20. Effectiveness of approaches to sustainable supply **(2)**

CoA2: Business models in timber and tree-crop value chains

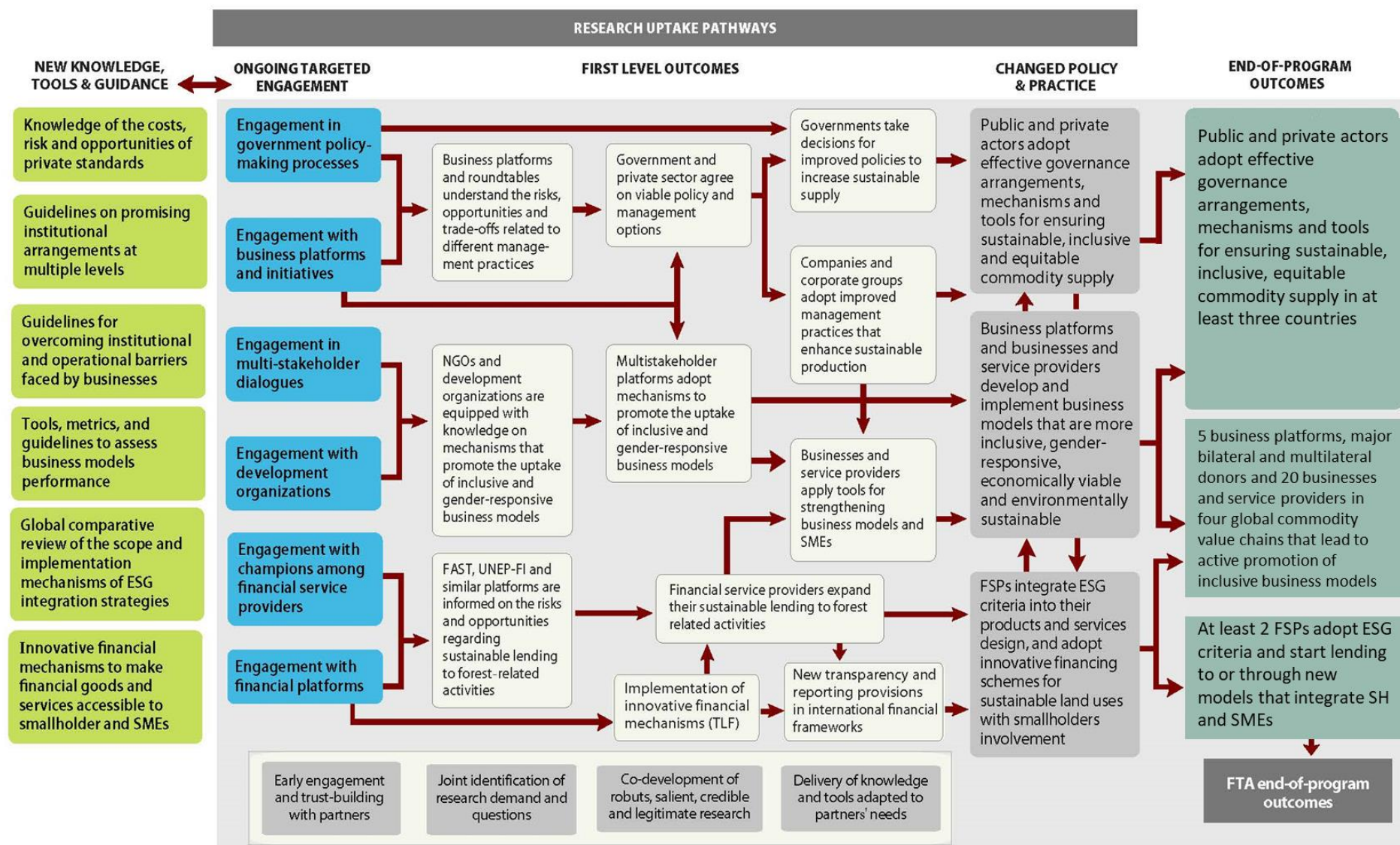
- P16. Inclusive finance and business models **(3)**

CoA3: Scaling through responsible finance and investments

- P17. Innovating finance for sustainable landscapes **(2)**



2020 Revised Theory of Change for Flagship 3 (note different EOPOs). [The ToC below was revised by the FP in 2020 to reflect adjusted end-of-program targets but is otherwise identical to the original Phase II ToC. In line with the other self-assessments, the review team asked the FP to assess progress based on the Phase II ToC above]





## **PART B. Feedback on targets**

*We would also like to get your views on the degree to which your FP has contributed (and is expected to contribute) to targets set in the Phase II proposal.*

*We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider FP-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the las column as well). It is fine if this remains exemplary, we don't expect such backup for each target.*

*For those FPs that have formulated adjusted targets for the ISC outcome/impact workshop last year, kindly still make your progress assessment against the original Phase II proposal targets. We will review the adjusted targets in those workshop documents separately.*

#### 4. Flagship-level targets

Original FP3 targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
(Impact) By 2022, FP3 will have contributed to an additional 25 million ha of forests becoming subject to sustainable forest management practices, avoiding the deforestation of 2 million ha.	1, but not included in ToC. Refer to table 3 in the appended document, « ISC Workshop_FP3 Background Paper 2020 final draft », which contains an Assessment of Contribution to System Level Outcomes (SLOs).	0	
(Impact) In addition, FP3 will support adoption of improved management practices by 5 million smallholders, out of which 3 million will be assisted to exit poverty.	1, but not included in ToC. Refer to table 3 in the appended document, « ISC Workshop_FP3 Background Paper 2020 final draft », which contains an Assessment of Contribution to System Level Outcomes (SLOs).	1	
<p>(Outcome) Public and private actors adopt effective governance arrangements, mechanisms and tools for ensuring sustainable, inclusive, equitable commodity supply in at least three countries</p> <p>(this was also described as) promoting the development of integrated public-private arrangements in at least three major producer countries that directly increase the uptake of sustainability standards</p>	2, included in 2017 and 2020 ToC	1	
<p>(Outcome) ensuring that at least 50% of tropical timber and tree crops is produced under internationally recognized sustainability standards or commitments in Tier 1 countries</p> <p><i>(this target is only mentioned on p. 108 but not in Table 1 on p. 109 like for the other outcome targets)</i></p>	0, Removed from 2020 ToC as the indicator and target provide no baseline reference and are thus not achievable.	0	

<b>Original FP3 targets (by 2022)</b>	<b>Degree to which you expect your FP to contribute to these targets by year-end 2022</b>	<b>Contribution already achieved by year-end 2019</b>	<b>Comments, explanations, readily available evidence</b>
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
<p>(Outcome) Five business platforms and 20 businesses and service providers develop and implement business models that are more inclusive, gender-responsive, economically viable and environmentally sustainable</p> <p>(this was also described as) engaging with five business platforms and 20 businesses and service providers in five select global commodity value chains that leads to active promotion of inclusive business models</p>	3, Indicator and target same in 2017 and 2020 ToC.	1	
<p>(Outcome) At least 30% of financial service providers lending to timber, tree and agricultural crops adopt ESG criteria and increase by 25% in the lending to models that integrate smallholders and SMEs</p> <p>(this was also described as) creating an enabling environment so that at least 30% of the FSPs lending to timber, tree and select agricultural crops adopt ESG criteria and increase by 25% of associated lending to smallholders and SMEs in Tier 1 countries, drawing on lessons from TLF in three countries.</p>	3. Rewritten in 2020 ToC to be more measurable and achievable.  See revised EOPO in tables 1 and 2 in the appended document, « ISC Workshop_FP3 Background Paper 2020 final draft »	1	

**5. Cluster-of-activity-level targets: Enabling sustainable commodity supply chains**

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale:  1. No contribution 2. Some contribution 3. Significant contribution 4. Target will be reached 5. Target will be exceeded	Contribution already achieved by year-end 2019  Scale:  1. No contribution 2. Some contribution 3. Significant contribution 4. Target already reached 5. Target already exceeded	Comments, explanations, readily available evidence
A global comparative analysis, bases on a systematic comparison across case studies, identifying the political, economic and social factors (including gender) enabling or preventing the adoption and implementation of private sustainability initiatives in their interaction with public policies	3	2	For each output/deliverable see table 2 in the appended document, « ISC Workshop_FP3 Background Paper 2020 final draft », which contains an assessment of contribution to End of Program Outcomes (EoPOs). It also their measurement methodology, data source, existing evidence base informing each outcome as well as key assumptions.
A comparative assessment of the challenges and opportunities and effectiveness for improving sustainability across disparate voluntary standards (e.g. certification, zero deforestation)	3	2	



Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale:  1. No contribution 2. Some contribution 3. Significant contribution 4. Target will be reached 5. Target will be exceeded	Contribution already achieved by year-end 2019  Scale:  1. No contribution 2. Some contribution 3. Significant contribution 4. Target already reached 5. Target already exceeded	Comments, explanations, readily available evidence
Guidelines on innovative solutions for addressing implementation gaps to improving sustainability and social outcomes through changes in incentive structures, supply chain management and business processes and operations across diverse value chain configurations	3	1	
Guidelines and tools on the most promising public-private institutional arrangements at Different levels for achieving sustainability that combine State and privately-driven interventions, and opportunities for developing 'hybrid' public-private approaches	2	2	
A decision-support tool based on a global comparative analysis of costs, benefits and trade-offs of improved natural forest management practices with regard to planted forests and tree crops and strengthened capacities for co-developing the most appropriate practices and models	1	1	

**6. Cluster-of-activity-level targets: Business models in timber and tree-crop value chains**

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
Guidelines for overcoming institutional and operational barriers and obstacles faced by businesses in integrating smallholders into their operations and respective value chains	4	2	
A typology of business models for timber and tree-crop commodities, based on their economic, environmental, social performance and related trade-offs, with emphasis on women and youth	3	2	
Best practice guidelines, tools and metrics for the design, implementation and assessment of business models that are more socially inclusive, economically viable, environmentally sustainable and can potentially produce greater impact at scale	3	1	
Guidelines for organizations providing technical, business and financial services to value chains for strengthening the capacity of smallholders and SMEs to engage with businesses on an equal footing	3	1	

## 7. Cluster-of-activity-level targets: Scaling through responsible finance and investments

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Three regional comparative reviews of the scope and implementation mechanisms of ESG integration strategies for different types of FSPs products and services	2	1	
Analysis of the conditions and mechanisms that incentivize FSPs to more explicitly integrate ESG or similar criteria into their products in different institutional and economic contexts	3	1	
Analysis of the impacts of ESG-conditional finance on the social and environmental performance of different types of corporate value chain actors across disparate socio-ecological contexts	3	1	
Metrics and tools that enable FSPs to better screen prospective corporate clients and evaluate the social and environmental performance of their financial portfolios	3	1	
Analysis of innovative financial mechanisms implemented by FSPs to make financial goods and services more accessible to smallholder and SMEs in timber and tree-crop value chains	4	2	

## Annex 5.4. FP 4: Landscape Dynamics, Productivity and Resilience

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised Phase II proposal (copied below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached.*

#### Any significant changes to the ToC since 2016?

(your input here)

The ToC has been relatively string and stable in terms of a pathway with very little qualitative changes. The only changes that affected the targets have been explained in the impact paper of the FP, given reduced duration of the programme, W1 & W2 funding shortfalls as well as bilateral shortfalls.

**2. Please indicate the degree to which you judge your FP to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

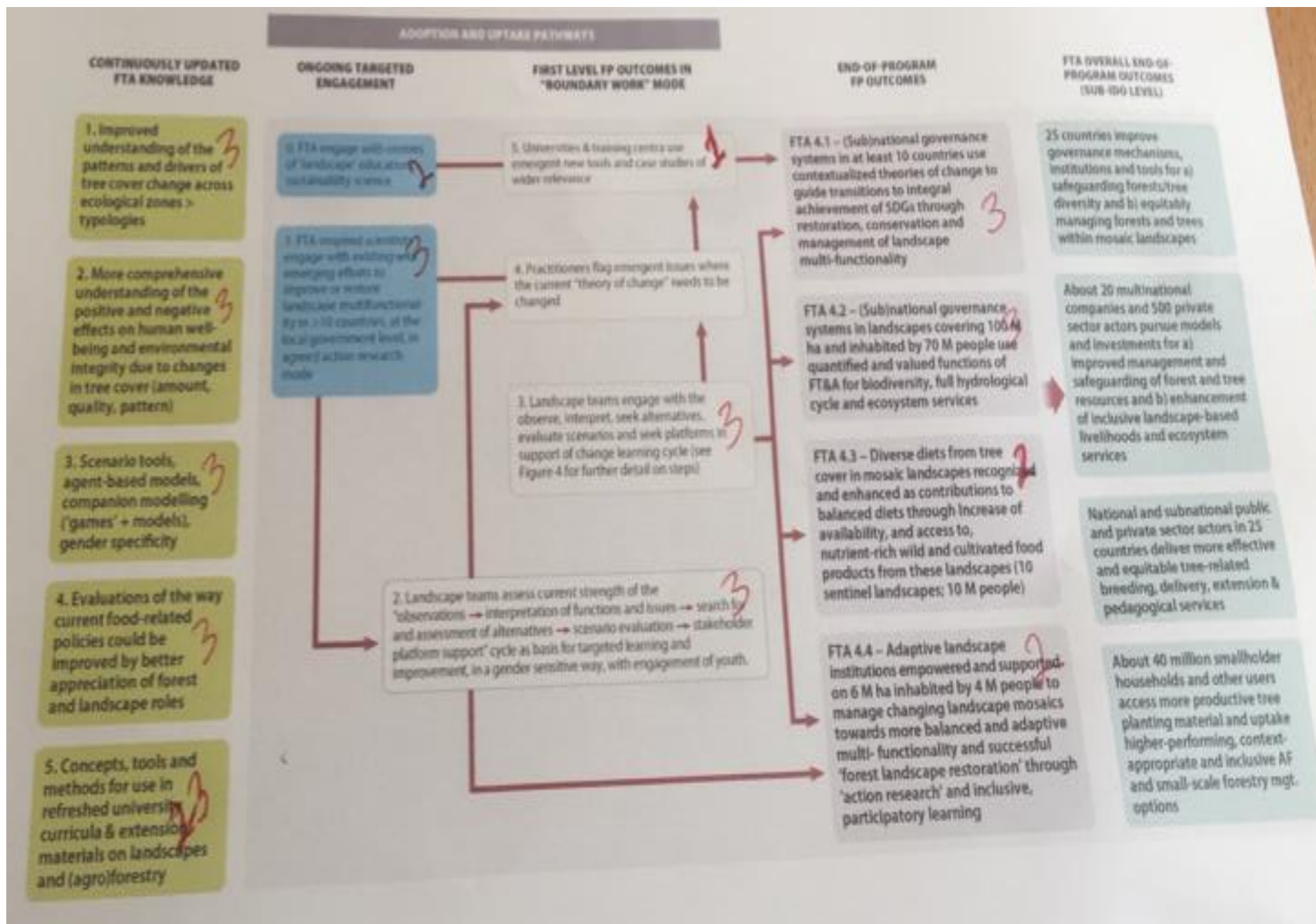
*Feel free to do this electronically or by hand on a printout. Kindly use this rating scale:*

- Mark a box or other text with the number **"3"** if you feel that what is described **has already happened** in line with your expectations;
- With **"2"** if you feel that what is described in the box **has started to happen** in line with your expectations;
- With **"1"** if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or
- With **"0"** if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)**

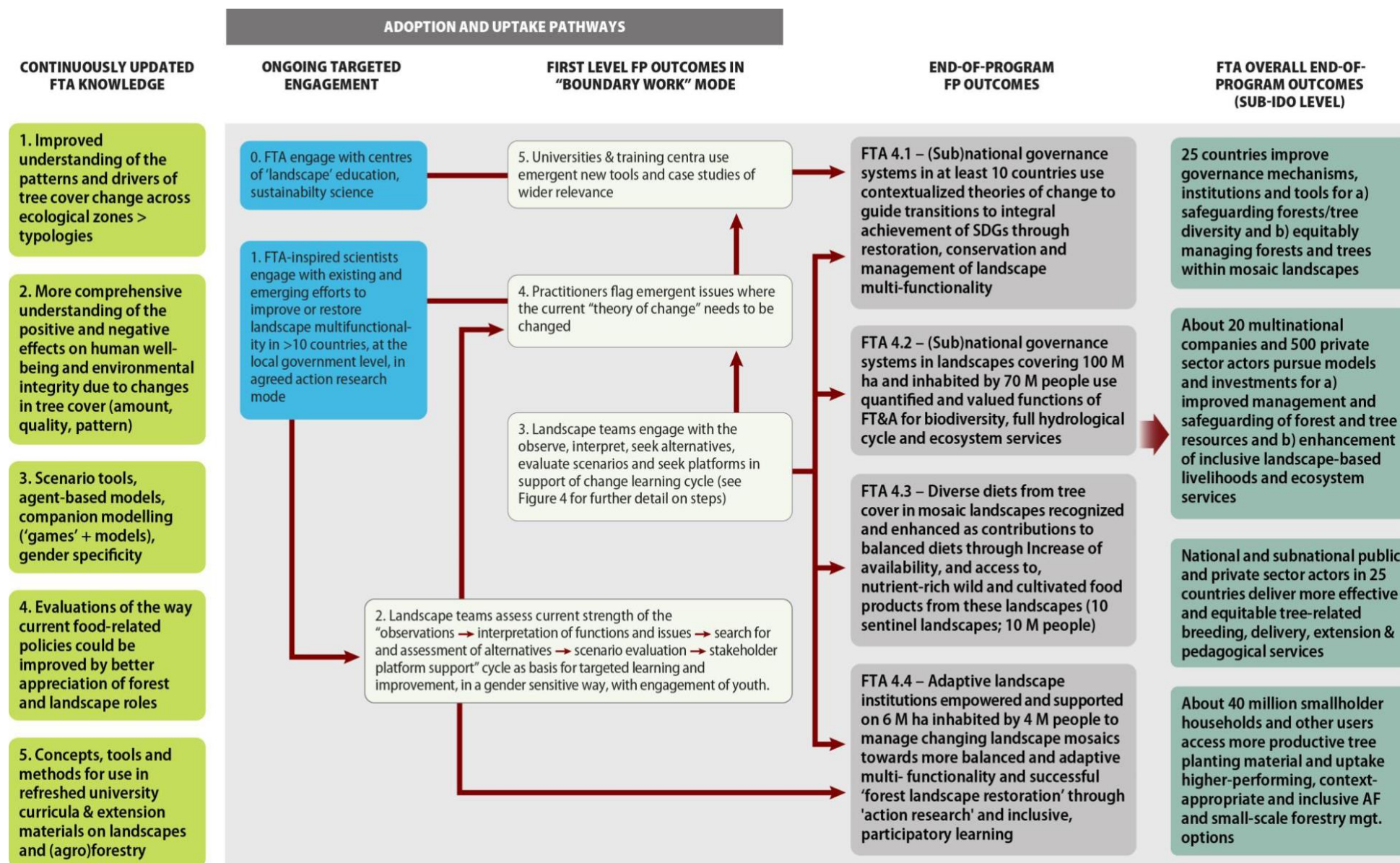
**3. Please add brief explanations for any "0"s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**

#### Comments on progress along the ToC

Except for the engagement with education and training where progress has been slow, we have made reasonable progress on all parts of the ToC. Especially regarding uptake and use of outr tools, methods and approaches in landscape approaches so far.







## **PART B. Feedback on targets**

*We would also like to get your views on the degree to which your FP has contributed (and is expected to contribute) to targets set in the Phase II proposal. We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider FP-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the last column as well). It is fine if this remains exemplary, we don't expect such backup for each target. For those FPs that have formulated adjusted targets for the ISC outcome/impact workshop last year, kindly still make your progress assessment against the original Phase II proposal targets. We will review the adjusted targets in those workshop documents separately.*

#### 4. Flagship-level targets

Original FP4 targets (by 2022)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
(Sub)national governance systems in at least 10 countries use contextualized theories of change to guide transitions to integral achievement of SDGs through restoration, conservation and management of landscape multi-functionality, using similarity domains based on patterns and intensities of forest and tree cover change in space and time in landscape observatories understood on the basis of 'drivers' that operate at larger scales.	3	2	We have already achieved this in a number of countries namely Indonesia, Vietnam, India, Nepal, Cameroon, Gambia, Peru and Kenya on various policy domains.
(Sub)national governance systems in landscapes covering 100 M ha and inhabited by 70 M people use quantified and valued functions of FT&A for biodiversity, full hydrological cycle and ecosystem services analyzed across knowledge domains and available for policy-level synthesis and planning	3	3	We have formally supported sub-national level planning in at least 9 provinces in Indonesia, Ucayali and San Martin in Peru, 2 provinces in Vietnam, 1 municipality in Cameroon, 4 regions in the Gambia, 2 states in India, 10 counties in Kenya on various issues
Diverse diets from tree cover in mosaic landscapes recognized and enhanced as contributions to balanced diets through Increase of availability, and access to, nutrient-rich wild and cultivated food products from these landscapes (10 landscapes; 10 M people)	2	2	Evidence on contributions is available for landscapes Tanzania, Uganda, Kenya, Zambia, Malawi, Indonesia, and others albeit on specific nutritional dimensions



<b>Original FP4 targets (by 2022)</b>	<b>Degree to which you expect your FP to contribute to these targets by year-end 2022</b>	<b>Contribution already achieved by year-end 2019</b>	<b>Comments, explanations, readily available evidence</b>
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
Adaptive landscape institutions empowered and supported on 6 M ha inhabited by 4 M people to manage changing landscape mosaics towards more balanced and adaptive multi-functionality and successful 'forest landscape restoration' through 'action research' and inclusive, participatory learning. This is aligned with efforts in PIM.5.2 "6 million hectares of shared landscapes under more productive and equitable management"	3	3	We have strong evidence on strengthening institutional abilities in more than 90 Community forests (including hutan desa) in Cameroon, the Gambia and Cameroon. Some watershed management institutions in Indonesia, forest management unit levels in Vietnam, Kenya and Tanzania Cooperative management levels in Peru and more

**5. Cluster-of-activity-level targets: Landscape observatories: Forests, trees, farm and settlement dynamics**

Original deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2017: Identified similarities (tier 1 & 2) connected to 10 Sentinel Landscape data sets, used as basis for planned impact studies of interventions across all FTA FP's, and linked with SDG performance planning and monitoring in 10 countries. Decision support tools for approaches (natural regeneration or planting), species (seed sources) for landscape restoration adopted within three countries with Bonn Challenge pledges.	1-2	1	Some progress has been made with this largely from others. But with main contributions are mainly from our databases and also PENN study data

Original deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2018: Adjustments to portfolio of Sentinel Landscapes for round-2 characterization based on explicit account of representativeness for wider domains, track record of connecting results to local development planning (local governments and external supporting agencies) and interventions balancing livelihood opportunities and reversal of land degradation and deforestation. Decision support tools for sites and objectives for restoration of forests, at the landscape and local scale, tested and adopted in three priority countries.	2	1-2	Sentinel Landscapes stock taking shows that FTA programmes have co-located and collaborated in several landscapes as a result of the programme efforts in the area with major changes and impacts coming through though not deliberate

Original deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2019: Second round surveys of conditions and trends in at least 10 Sentinel Landscapes, tailoring surveys to the integral SDG portfolio and its internal tradeoffs, with strong roles for local partners	1	1	Largely adhoc from various co-located projects with cumulative effect, but not systematic investments as in Phase 1
2020: Second round surveys of conditions and trends in Sentinel Landscapes completed, changes documented, interpreted, and linked to national SDG reporting systems.	1	1	Largely adhoc from various projects with cumulative effects but not systematic investment from FTA programme W1 /W2, but bilaterals largely
2021: Scenario studies and participatory development planning results for at least 10 Sentinel Landscapes that make use of rounds 1 + 2 results, aligned with national goals and international commitments (incl. Aichi targets of CBD, UNCCD and UNFCCC modalities)	2	2	Has happened via multiple projects in many places covering largely REDD+, Biodiversity and restoration

Original deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2022: Use of FTA research results in evaluation of SDG performance and adjustments to the goals and means of implementation. Countries in Africa, Latin America and Asia, guided by FTA-informed practices and policies, successfully establish on degraded land millions of ha of self-sustaining forest that benefit local communities.	3	2	Evidence of use of FTA results in Restoration, REDD+ planning in more than 15 countries via Manual produced with WB and direct involvement in national processes in Cameroon, Peru, Vietnam, Indonesia, Kenya and others.

**6. Cluster-of-activity-level targets: Landscape mosaics, biodiversity and ecosystem services**

Original CoA deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
2017: Assessment of effects of tree cover change on rainfall patterns and variability at continental scales, combining global circulation models with qualified tree cover data, quantified water balance data, dendrochronological evidence of past change and vulnerability of livelihoods	3	1-2	Largely led by larger FTA partnership with universities with some contributions from FTA Core work
2018: Synthesis of options for achieving Aichi targets of biodiversity conservation through managed transition zones around protected areas, landscape connectivity and ecological corridors and development zoning utilizing full spectrum of FT&A land use systems	3	2	Work on community forests and REDD+, Agroforestry and REDD+ and protected areas and associated evidence in landscapes
2019: Valuation studies that relate human and social capital benefits across scales to changes in forest and tree cover as indicators of ecosystem services in local context, as contributions to national and international debate (incl. IPBES)	2	2	Includes contributions to TEEB AG studies and other Tree Commodity landscapes across the humid topics. FTA involvement and contributions in IPBES assessments and ongoing values assessment (See PES Book)

Original CoA deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2020: Reevaluation of co-benefit relations among global conventions (CBD, UNCCD, UNFCCC) at landscape scale, utilized in international discourse	2	2	Synergy studies and case studies at interface and increasingly cited
2021: Impact study of shifts in gender-equitable control of productive FT&A assets and resources. Policy options to favor sustainable restoration of tree-based ecosystems adopted by at least 3 countries that have made pledges to meet international agreements	2	1-2	Gender team has done some work. But expecting acceleration in 2021
2022: Re-assessment of new evidence of effects of tree cover change on rainfall patterns and variability at continental scales, combining global circulation models with qualified tree cover data, quantified water balance data and dendrochronological evidence	2	1-2	Mostly met through partnerships with universities, with modest FTA contributions (Gottingen, Norway and others)

**7. Cluster-of-activity-level targets: Healthy diets from diverse landscapes**

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	<p>Scale:</p> <p>0. No contribution                      1. Some contribution                      2. Significant contribution                      3. Target will be reached                      4. Target will be exceeded</p>	<p>Scale:</p> <p>0. No contribution                      1. Some contribution                      2. Significant contribution                      3. Target already reached                      4. Target already exceeded</p>	
<p>2017: Stock taking of statistical data sets that link dietary diversity to species-level and genetic diversity of agricultural and associated landscapes and process-level models that interpret this in terms of availability, access and behavioral patterns, setting priorities for further work by FTA and partners</p>	<p>3</p>	<p>1-2</p>	<p>Several papers published based on data as well as through collaborative efforts with, universities, FAO and partners</p>
<p>2018: Analysis of priorities and options for developing capacities of value chain actors (including input suppliers, producers, processors, retailers and traders) on production, post-harvest handling, processing, marketing and consumption of nutrient-</p>	<p>3</p>	<p>3</p>	<p>Achieved through analysis in key performance-based finance projects such as Dryad in Cameroon and others in Indonesia</p>



rich foods derived at  
landscape scale

2019: In at least 5 landscapes: Increased on-farm production of a diversity of fruits, nuts, vegetables and legumes, and increased amount of collected wild resources including wild fruits, vegetables, bush meat, mushrooms, insects and fish from forests	3	3	Tremendous progress recorded in intensification and diversification of systems and landscapes in Indonesia, Cameroon, and India
2020: In at least 5 countries: Increased value capture by producers/collectors of nutrient-rich food; reduced post-harvest losses of wild and cultivated nutrient-rich food; increased incomes and employment	3	2	Several papers published indicating evidence for for Uganda, Kenya, Zambia, Indonesia and Vietnam
2021: In at least 5 countries: Increased dietary diversity of low-income rural and urban consumers using a variety of nutrient-rich wild and cultivated nutrient-rich food available during economic, social and/or environmental shocks	3	2	Evidence through various studies in Kenya, Uganda, Tanzania, Indonesia and Zambia
2022: Impact study of the effectiveness of interventions by development partners aimed at supporting dietary diversity through diverse landscapes	3	2	Several studies in CoA 3

**8. Cluster-of-activity-level targets: Adaptive landscape institutions**

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2017: Exchange of lessons learned across the various learning landscapes associated with FTA, including a further review of existing typologies of 'payment for watershed services' settings and as basis for new action research efforts.	3	2	Special issue paper on Community Forestry in Africa and a special issue on certification Cover Lessons Across Commodities and Places. As well as PES Book
2018: Reflection on the multi-scale character of the 'common but differentiated responsibility' phrase that so far is primarily used at international negotiation tables but that may increase space for local adaptive landscape management.	3	2	Policy papers so far embody the reflection including current work on Tracking Global Goal on Adaption

Original outputs/deliverables	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
2019: Compilation of lessons learned at landscape scale across the learning landscape networks for reporting on Aichi targets to CBD.	3	2	See publication on Sentinel Landscapes & See special issue on Certification in Tree Commodities
2020: Impact study of the further development and use of the LUMENS tool for participatory planning of land uses providing multiple environmental services. Cost-effective, multi-scale and participatory protocols for monitoring viability of restored forests developed and adopted by key countries and other stakeholders.	3	2	Some studies particularly in Indonesia, but not yet elsewhere
2021: Documented investment action of development support partners on the basis of the shared learning that links issues to places and action perspectives	3	2-3	PES Book and special issues (Certification, E&S, Land) document these
2022: Next-level stock taking of how the 'payment for environmental services' debate has progressed conceptually (combining behavioral economics, applied ecology and institutional political ecology) and in evolving practice.	3	2-3	PES Book shows stock take

Listing of Evidence: Books:

- Namirembe S, Leimona B, van Noordwijk M, Minang P A, eds. (2018) Co-investment in ecosystem services: global lessons from payment and incentive schemes Nairobi: World Agroforestry Centre (ICRAF). <http://www.worldagroforestry.org/sd/environmental-services/PES>
- Agroforestry at 40: How Agroforestry Science has changed the World <http://apps.worldagroforestry.org/downloads/Publications/PDFS/B19029.pdf>
- Operationalizing integrated landscape approaches in the tropics <https://doi.org/10.17528/cifor/007800>
- Special Features [Twenty Years of Community Forestry in Cameroon: Opportunities and Challenges for Sustainable Development](#)
- Ecology and Society Journal, 2018–2019
- Certifying environmental social responsibility [International Journal of Biodiversity Science, Ecosystem Services & Management Volume 13, 2017 - Issue 1](#)
- Agroforestry-Based Ecosystem Services” in Land (editor MvN), [https://www.mdpi.com/journal/land/special\\_issues/agroforestry\\_ES](https://www.mdpi.com/journal/land/special_issues/agroforestry_ES), with 11 papers published so far.
- Jurisdictional Approaches to Sustainability in the Tropics <https://www.frontiersin.org/research-topics/10050/jurisdictional-approaches-to-sustainability-in-the-tropics#articles>

## Annex 5.5. FP 5: Climate Change Mitigation and Adaptation

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised Phase II proposal (copied below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached.*

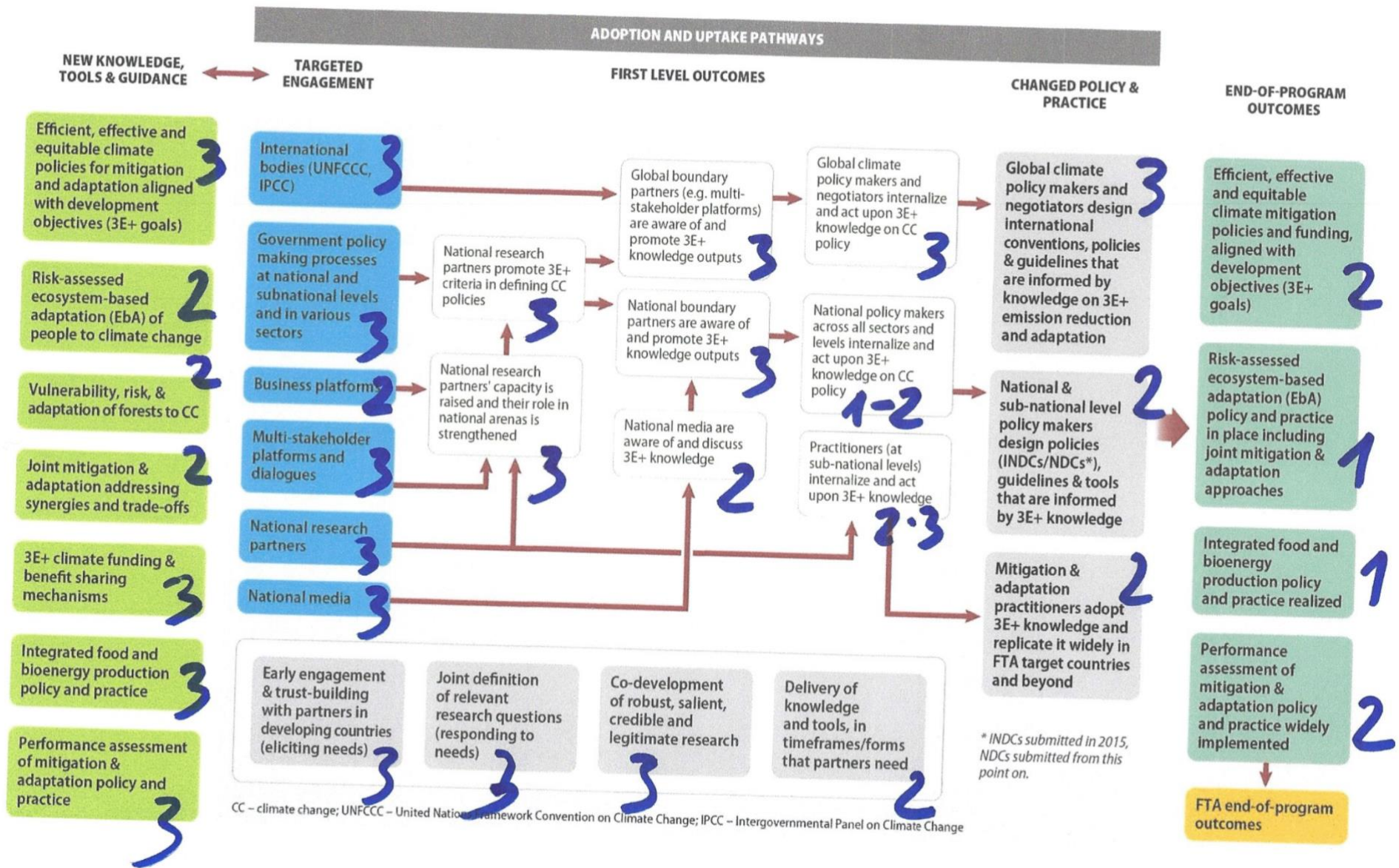
#### Any significant changes to the ToC since 2016?

Actually, I feel that over the years the ToC has been remarkably resilient. The only point where I see a little change is in the overly formal distinction between national policy makers and practitioners, because often there is no real distinction between the two groups. Otherwise I see that we are working aceatcly along those lines.

**2. Please indicate the degree to which you judge your FP to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

*Feel free to do this electronically or by hand on a printout. Kindly use this rating scale:*

- Mark a box or other text with the number **"3"** if you feel that what is described **has already happened** in line with your expectations;
- With **"2"** if you feel that what is described in the box **has started to happen** in line with your expectations;
- With **"1"** if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or
- With **"0"** if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)**

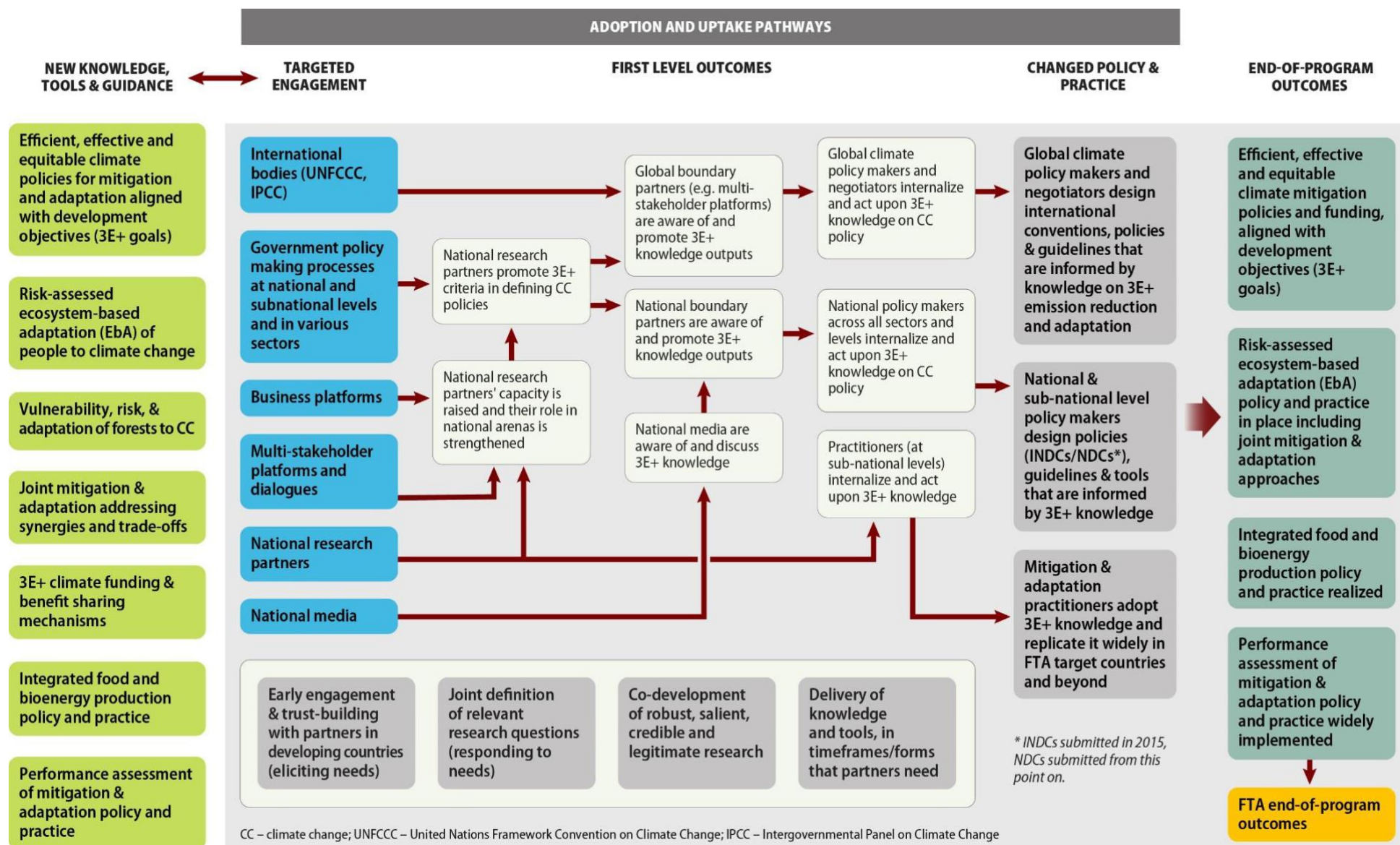


**3. Please add brief explanations for any “0”s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**

**Comments on progress along the ToC**

I think progress is well advanced along the ToC. Of course, there are always differences related to progress in different countries, and also our adaptation work has not progressed as much to impact as we would liked to have seen (but this also depended mainly on additional bilateral funding which did not materialize).







## **PART B. Feedback on targets**

*We would also like to get your views on the degree to which your FP has contributed (and is expected to contribute) to targets set in the Phase II proposal.*

*We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider FP-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the last column as well). It is fine if this remains exemplary, we don't expect such backup for each target.*

*For those FPs that have formulated adjusted targets for the ISC outcome/impact workshop last year, kindly still make your progress assessment against the original Phase II proposal targets. We will review the adjusted targets in those workshop documents separately.*

#### 4. Flagship-level targets

Original targets	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
<p>FP5 efforts address 3E+ mitigation policies that should contribute to reducing deforestation by 10–30% in six countries with 55% of global tropical forest cover (Brazil, Cameroon, Democratic Republic of the Congo [DRC], Indonesia, Peru and Vietnam). Users of the knowledge generated in the program would achieve this through better policy formulation and more efficient climate action.</p>	2, perhaps 3	1-2	<p>See also explanation in next point. These targets have been achieved by others, but we have made significant contributions. National policymaking is also taking a backseat (e.g. Brazil) due to policy swings beyond our control, and in spite of our efforts.</p>
<p>Through this, 0.5–1.6 million ha of forests could be saved annually, resulting in annual avoided emissions of approximately 0.2–0.6 Gt CO<sub>2</sub> (5–15% of the total annual land-use emissions of 3.3 Gt CO<sub>2</sub>) positively affecting at least 0.5 million forest-dependent people directly and 1.5 million people indirectly (i.e. those depending on remote forest products and services).</p>	2, perhaps 3	1-2	<p>I don't have figures on the saved forest area or people affected right now, but the GCF Pilot Programme has now approved payments for REDD+ 'results' to 6 countries for forest related emission reductions of 72 Mt carbon. That's about 35% of the over target of 0.2 Gt. World Bank is funding other countries, too. That's of course their achievements to which we can claim intellectual contribution.</p>
<p>We expect our adaptation research to support 1 million rural poor people and our bioenergy research to support 0.5 million directly bioenergy dependent people and 0.7 million indirectly dependent people.</p>	1	1	<p>These are long term objectives that will not be reached until 2021 (2022 is not a project year anymore).</p>

### 5. Cluster-of-activity-level targets: Achieving climate change mitigation with forests, trees and agroforestry

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
(Outcome) Efficient, effective and equitable national and international climate mitigation policies and funding, aligned with development objectives (3E+ goals)	4	3	REDD+ policies in Vietnam, Peru, Indonesia, Guyana, and other countries have been influenced for greater 3E+ outcomes; Work will continue
5.1.1. Comparative analysis of best, 3E+ options for policies and practices for emission reduction in support of country-level development and implementation of NDCs (including REDD+18, NAMAs, SFM, and JMA) and international climate change policy-making, using FT&A resources; and including analysis of ways to reduce complexity and 3E+ goals in LEDS (e.g. governance of multi-level and multi-sectoral integration of local, national and regional climate change, restoration and development agendas)	2	2	The work on LEDS has not started as planned.

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
5.1.2. Research on policy and practice of forest restoration and on enhancing the forest carbon sink capacity (supporting the Bonn Challenge), e.g. in collaboration with the 20x20 initiative	3	3	Work on carbon source/sink dynamics is underway for tropical forests, peatlands and land use in Indonesia, Peru, and globally
5.1.3. Research on the complex challenge of forest fire policies, with particular reference to Indonesia	3	2	Fire studies have been undertaken (many are in report stage)

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
5.1.4. Research on the effectiveness and efficiency of results-based climate finance and incentive mechanisms, including through the Green Climate Fund, in affecting policy and behavioral change towards mitigation and adaptation outcomes	4	3	We did work on climate finance and are developing the sectoral guidance in the forests, land use and ecosystems "results areas" of the GCF; work will continue
5.1.5. Studies of the enabling policy architecture and public-private partnership mechanisms that can enhance performance of corporate zero deforestation commitments and other mitigation initiatives, addressing standards and certification (with FP3)	1	1	Some work on the private sector has been done, but larger projects have been slow to materialize

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
5.1.6. Support for evidence-based decision-making in NDC planning and implementation (e.g. in support of the Facilitative Dialogue set in the Paris Agreement) and develop policy learning from country-level to the international policy arena	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded  3	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded  2	Much work has been done on a host of actions proposed to support evidence-based decision making in support of NDCs (REDD+, restoration, nature-based solutions), and learning from countries to international arena has been promoted at all UNFCCC SBSTA and COPs during this FTA phase

**6. Cluster-of-activity-level targets: Adaptation of people and forests to climate change**

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
(Outcome) Risk-assessed ecosystem-based adaptation (EbA) policy and practice including joint mitigation and adaptation approaches	3	2	Policy contributions in Peru, The Gambia and Vietnam
5.2.1. Continued work on understanding the synergies/trade-offs between mitigation and adaptation in support of the Paris Agreement (link to CCAFS)	3	3	A significant body of work was developed related to synergies between mitigation and adaptation
5.2.2. Assessment of potential impacts of climate change on biodiversity, ecological functions and ecosystem services to assess risks and vulnerability of both people and forests, systematize experiences where FT&A has strengthened local responses to climate change, equitably reducing risk and increasing resilience and to contributing analysis to the 'loss and damage' debate	2	2	We are writing the sectoral guidance for the GCF in the areas of forests, land use and ecosystems, addressing these points about adaptation

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
5.2.3. Identifying options to reduce climate-related risks, analyzing trade-offs, exploring adaptation economics, using and demonstrating ecosystem-based adaptation (EbA), developing adaptive capacity of social groups and exploring the interface to climate-smart agriculture (CSA)	2	2	We are writing the sectoral guidance for the GCF in the areas of forests, land use and ecosystems, addressing these points about EbA
5.2.4. Comparison of policy mechanisms that strengthen local capacity to respond with EbA to expected climate change and variability (e.g. land-use planning, multi-stakeholder dialogues, encounters of knowledge), and their integration into national development and adaptation plans (NAP, NAPAs) across scales	4	3	Policy contributions in Peru, The Gambia and Vietnam
5.2.5. Development and testing of approaches to measure and monitor effectiveness and efficiency of EbA actions in reducing vulnerability and increasing resilience to inform national and international policies and priority setting. Setting apart unsuccessful, business-as-usual tree- and land-based interventions from successful EbA requires a tool set integrating vulnerability assessments of socioeconomic and ecological systems to increase resilience	2	1	CIFOR-ICRAF have started work on a so-called Flagship Product on assessing adaptation (GAMA)



Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
5.2.6. Experimentation with and development of flexible, data-driven approaches that emphasize flexibility and heterogeneity as risk reduction strategies and feedback-based policy responses	4	1	CIFOR and partners have undertaken work on independent monitoring globally, and work on transparent monitoring in 4 countries is starting (4 years late) and work will continue (sustainability)

**7. Cluster-of-activity-level targets: Bioenergy**

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale:  0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale:  0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
(Outcome) Integrated food and bioenergy production policy and practice	3	2	Several papers on circular forest-based bioeconomy and
5.3.1. Analysis of the current status of bioenergy types, including the relative benefits, disadvantages and the extent of their use in different regions	3	2	a PhD on bioenergy will be concluded in 2021
5.3.2. Analysis of international and national drivers of bioenergy development to understand how markets and standards (e.g. EU Renewable Energy Directive) affect land allocation for bioenergy production	3	1	Work is starting end 2020 on this subject with a special focus on biomass in Serbia
5.3.3. Assessments of potential of bioenergy production on degraded land using spatially explicit data about the area, type and extent of degradation, tree species' suitability, growth and yield at national and subnational level in Indonesia	3	2	Work on this is available for Indonesia, Africa and will be available in Serbia

Original deliverables (“research activities”)	Degree to which you expect your FP to contribute to these targets by year-end 2022  Scale:  0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Contribution already achieved by year-end 2019  Scale:  0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	Comments, explanations, readily available evidence
5.3.4. Analysis of the impact of bioenergy on social and environmental outcomes (e.g. health, poverty, migration, gender, biodiversity) to support equitable, sustainable energy generation	1	1	One study on the social impacts of the circular bioeconomy (which includes bioenergy) is completed
5.3.5. Studies of demand and supply, costs, social and environmental impacts, carbon footprints and synergies/trade-offs with food production and variation by region, feedstock types and scale of bioenergy production	1	1	Only in Serbia
5.3.6. Scenario development: Analysis of how bioenergy extraction links to landscape configuration, as people's practices of wood extraction depend on a landscape, but also shape it; assessment of how future energy developments may affect the role of biofuels, retaining flexibility to include new developments (e.g. lignocellulosic fuels) and investigate how they may benefit stakeholders	1	1	The Gambia, Indonesia work

**8. Cluster-of-activity-level targets: Performance assessment: Carbon, emissions, ecosystem services and policies**

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale:	Scale:	
	0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
(Outcome) Widely implemented performance assessment of mitigation and adaptation policy and practice	1	1	Performance assessment is growing (e.g. GCF) but not already widespread
5.4.1. Determine reference levels: Research that supports the setting of country targets, baselines/reference levels/points of departure regarding FT&A resources, carbon stocks and other ecosystem services for REDD+, NAMAs, INDCs and LEDS; develop criteria and tools to measure and contribute to private-sector assessment	3	2	Work on reference levels is underway for tropical forests, peatlands and land use in Indonesia, Peru, and globally
5.4.2. Basic research to understand carbon source/sink dynamics to improve regional and global models (link to SP1) and feed into IPCC processes aiming to implement the Paris Agreement	3	2	Work on carbon source/sink dynamics is underway for tropical forests, peatlands and land use in Indonesia, Peru, and globally

Original deliverables ("research activities")	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale:	Scale:	
	0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
5.4.3. Measuring non-carbon benefits (biodiversity, governance and livelihood outcomes, social equality, and informing the implementation of safeguarded information systems). Use of innovative methods, such as qualitative comparative analysis and quasi-experimental methods to identify causal change	3	2	Work is underway
5.4.4. Impact assessment of REDD+ policy and practice, building on 8 years of comparative research and longitudinal data sets			
5.4.5. Identify and develop approaches to cost-efficient, transparent, reliable MMRV, including independent monitoring approaches. We specifically aim for more integrated landscape monitoring approaches (e.g. including climate modeling) to assess multifunctional performance (linked to 5.4.3.) building on existing methods and approaches, so that countries find support in their multiple monitoring needs under Paris (INDCs), SDGs and the like. Linking MMRV for forest- and agriculture-related mitigation should create important synergies for mitigation planning and implementation	2	2	A new project on transparent monitoring is starting after a 4 year delay and will therefore not allow to fully create the expected impact

Original deliverables (“research activities”)	Degree to which you expect your FP to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	Scale: 0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
5.4.6. Coupled bio-economic modeling to understand emergent properties, complexity and conditions of landscape systems. Develop decision-making tools; e.g. landscape management for LEDS: models of future scenarios and climate/carbon outcomes under different land-use policies; spatial economic analyses to assess the cost and equity implications of policy mix options	1	0	The work has not developed as planned but will be taken up in 2021 in the context of the incipient circular bioeconomy work

## Annex 5.6. FTA/Program-Level

### PART A. Feedback on the Theory of Change (ToC)

**1. Are there any significant changes you feel have become necessary to the ToC from the revised Phase II proposal (copied further below) in view of what has been learned since it was written up in 2016? If yes, please outline them briefly in the box below.**

*Please focus on how FTA activities contribute qualitatively to intended outcomes, not about the degree to which quantitative targets are realistic or can be reached (we'll ask you about that later).*

#### Any significant changes to the ToC since 2016?

Since the beginning of FTA phase 2, the main significant change was to FP2 which had been entirely re-written to address ISPC's comments, which have all been considered. The FP2 theory of change was revisited in order to better explain the ways and claims, and the circumstances and hypothesis under which trees can benefit smallholders' livelihoods in a diversity of systems, including agroforestry systems. The revised ToC starts from the smallholder livelihoods and then introduces trees amongst many other decisions a farmer can make, when originally the ToC started from the trees and then introduced farmers. Apart from FP2, there was no significant change the overall ToC but FTA clarified the positioning of it research within the ToC through its priority-setting process. The priority setting process screened the 100+ questions (knowledge gaps) from the FTA Phase II proposal against major development demands and introduced the comparative advantage of FTA and its partners. As a result, a subset of operational priorities was identified where the positioning of research would be more effectiveness and impactful.

**2. Please indicate the degree to which you judge FTA to have contributed to activities and changes described in each of the boxes and elsewhere in the ToC diagram (copied further below).**

*Feel free to do this electronically or by hand on a printout. Kindly use this rating scale:*

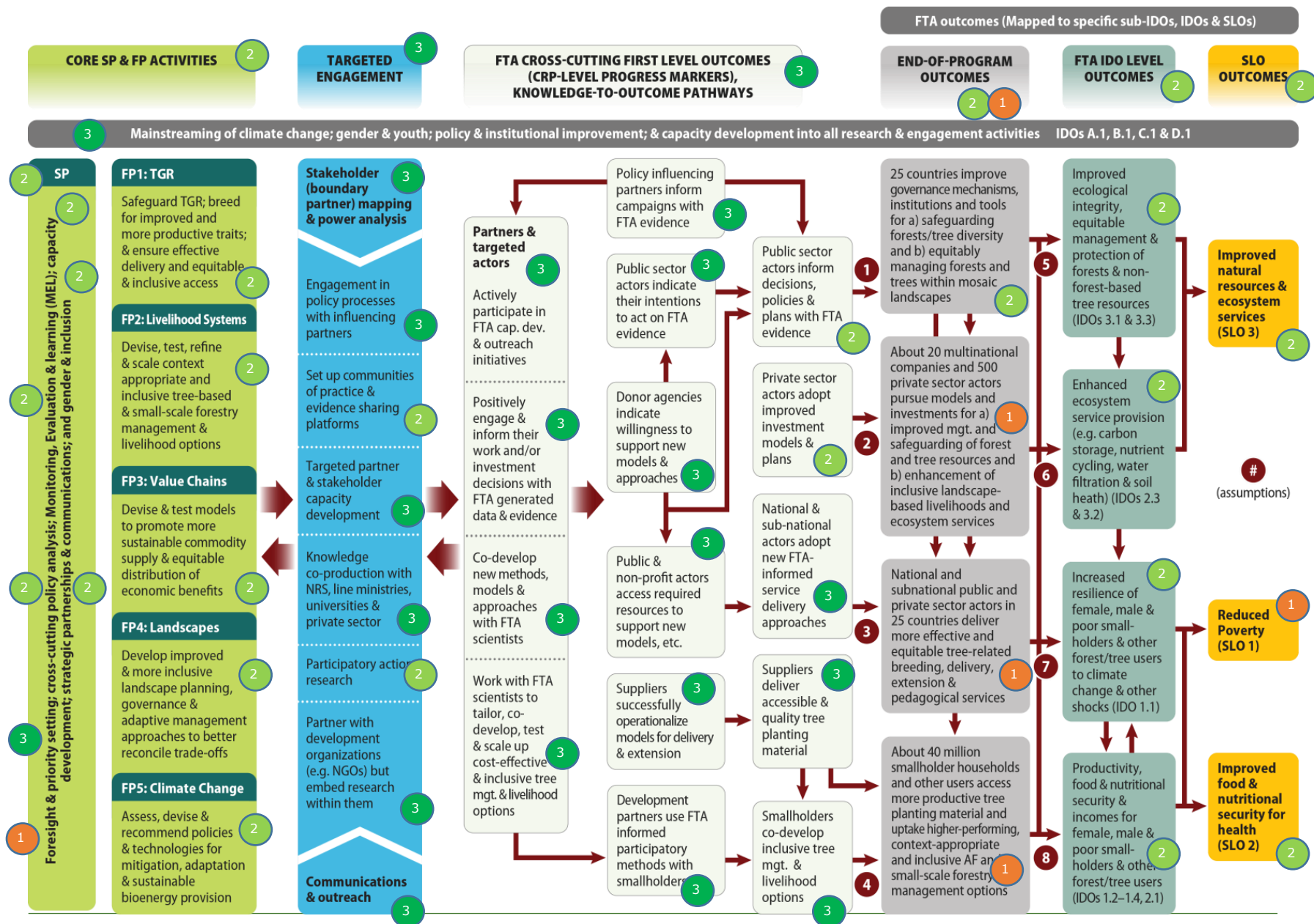
- Mark a box or other text with the number **"3"** if you feel that what is described **has already happened** in line with your expectations;
- With **"2"** if you feel that what is described in the box **has started to happen** in line with your expectations;
- With **"1"** if you feel that what is described in the box **has not yet happened (but will happen until 2022)**; or
- With **"0"** if you feel that what is described in the box **has not yet happened (and will also not happen until 2022)**

**3. Please add brief explanations for any "0"s in the previous exercise. Also add any additional comments on progress along the ToC you would like to share with us.**

### Comments on progress along the ToC

I have not put any 0 as in fact change has started to happen with FTA contributions in all the areas of the ToC. However, in some areas, especially those that are more challenging or where time-scale for adoption or implementation are longer, it is impossible to write a 3. For instance, even when a policy change at national level clearly results from a key contribution of FTA research (e.g. agroforestry policy in India and Nepal, forest law in Vietnam), the effect of the policy change on the ground takes time to materialize (for some we just starting devising an assessment exercise). For most of the original End-Of-Program outcomes I have put the « 1 » mark. We still hope the 2 mark can be put but some of the EoPOs will be revised as part of the current revision exercise. The difference between 1 and 2 here is mostly a question of what has started to change where: the number of countries, actors influenced is currently being re-examined as part of the EoPOs revision process.





## **Feedback on targets**

*We would also like to get your views on the degree to which FTA has contributed (and is expected to contribute) to targets set in the Phase II proposal.*

*We are aware that there are reasons within and beyond FTA's control for why the original Phase II targets may not be realistic anymore. Reasons mentioned during interviews were for example related to funding levels, funding structure, reduced program lifetime, introduction of operational priorities, staff changes, etc. You can indicate these and other reasons in your feedback (and we will consider these factors in our report).*

*For this assessment, we consider program-level targets from the revised Phase II proposal and kindly ask you to provide your own estimates and feedback, for each target, regarding:*

- ***Progress made until year-end 2019 towards the target;***
- ***Expected progress until year-end 2022 towards the target;***
- ***Comments and explanations for your estimates, whenever relevant.***

*If you have documented evidence for progress towards some of the targets readily available, kindly point us to it (in the last column as well). It is fine if this remains exemplary, we don't expect such backup for each target.*

## **4. FTA CRP aspirational targets (contribution to SRF 2022 targets)**

FTA contribution to CGIAR SLO targets (by 2022)	Degree to which you expect FTA to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
<p>Scale:</p> <p>0. No contribution 1. Some contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded</p> <p>Scale:</p> <p>0. No contribution 1. Some contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded</p>			
(SLO1) 31 million more farm/smallholder households have adopted improved varieties, breeds or trees, and/or improved management practices	2	1	<p>It's difficult to give a 2 in absence at this time of a quantitative modeling. We are currently trying to address this in our integrative studies. However, our influence there has been significant, through two upscaling pathways: (i) the "R-in-D" approach where large-scale development programs (ex. IFAD) are using FTA research, (ii) a policy pathway, especially for agroforestry policies or land restoration policies. This has happened on all continents.</p> <p>OICR 3479. Options by context approach to agronomic innovation profoundly changed international, government, NGO and private sector policy and practice across 14 countries.</p> <p>Evidence of improved innovations in management for community forests policy and practice in Cameroon over the last 20 years, impacting more than 71,400 households (approximately 500,000 people) in 400 CF communities. Major innovations identified are the introduction of pre-emption rights and steps toward sustainable forest management (ban on industrial logging, development of certification standards, and the introduction of the environmental notice in lieu of a full environmental impact assessment for CF activities).</p>

			<p>Evidence: Minang, P. A., L. A. Duguma, F. Bernard, D. Foundjem-Tita and Z. Tchoundjeu. 2019. Evolution of Community Forestry in Cameroon: An Innovation Ecosystems Perspective. <i>Ecology and Society</i> 24 (1):1. [online] URL: <a href="https://www.ecologyandsociety.org/vol24/iss1/...">https://www.ecologyandsociety.org/vol24/iss1/...</a></p> <p>10,000 farmers adopted options x context land restoration techniques in Kenya, Ethiopia, Mali and Niger  <a href="http://www.adansonia-consulting.ch/document/restoration_of_degraded_land.pdf">http://www.adansonia-consulting.ch/document/restoration_of_degraded_land.pdf</a></p> <p>69,540 farmers adopted CG-informed agroforestry innovations in Western Kenya. Hughes,K., Morgan,S., Baylis,K., Oduol,J., Smith-Dumont,E., Vågen,T., Kegode,H., 2020. Assessing the downstream socioeconomic impacts of agroforestry in Kenya. <i>World Development</i>. 128: 104835.  <a href="https://doi.org/10.1016/j.worlddev.2019.104835">https://doi.org/10.1016/j.worlddev.2019.104835</a></p> <p>145,274 households in Senegal, Mali, Ghana, Niger, Ethiopia, Kenya, Rwanda, Somalia adopted farmer managed natural regeneration through options by context greening Africa project  <a href="https://www.dropbox.com/s/n2zf9f7b1ukkzz8/regreening%20year%202020AnnualReport_EXTERN_AL_EMAIL.pdf?dl=">https://www.dropbox.com/s/n2zf9f7b1ukkzz8/regreening%20year%2020 AnnualReport_EXTERN_AL_EMAIL.pdf?dl=</a></p> <p>6159 farmers planted trees across 3 African countries (with 35,134 people reached through wider dissemination and training but adoption not tracked) through option x context engagement  <a href="http://apps.worldagroforestry.org/sites/default/files/outputs/Muthuri%20et%20al,%202019.%20T4FS-2%20project%20Overview%20and%20Project%20magazine.pdf">http://apps.worldagroforestry.org/sites/default/files/outputs/Muthuri%20et%20al,%202019.%20T4FS-2%20project%20Overview%20and%20Project%20magazine.pdf</a></p> <p>219,694 farmers adopted practices through the options by context approach developed by FTA/ICRAF used to promote sustainable agriculture in Burkina Faso, Mali, Niger, Ethiopia, and Kenya.  <a href="https://www.dropbox.com/s/qr79maco6iveizh/DryDev%20End%20Programme%20report2020123.docx?dl=0">https://www.dropbox.com/s/qr79maco6iveizh/DryDev%20End%20Programme%20report2020123.docx?dl=0</a></p> <p>In Andhra Pradesh over 190,000 farmers reached with nearly 27,000 practicing at least one innovation (treatment of seed and soil with beejamrutha or jeevamruthamas).  <a href="https://www.dropbox.com/s/cdypml5za3y6qkn/2018-19_data_collection_round_-_Performance_Evaluation_19_02_20.pdf?dl=0">https://www.dropbox.com/s/cdypml5za3y6qkn/2018-19_data_collection_round_-_Performance_Evaluation_19_02_20.pdf?dl=0</a></p> <p>6159 farmers planted trees across in Ethiopia, Rwanda and Uganda (with 35,134 people reached through wider dissemination and training but adoption not tracked) through option x context engagement.  <a href="http://apps.worldagroforestry.org/sites/default/files/outputs/Muthuri%20et%20al,%202019.%20T4FS-2%20project%20Overview%20and%20Project%20magazine.pdf">http://apps.worldagroforestry.org/sites/default/files/outputs/Muthuri%20et%20al,%202019.%20T4FS-2%20project%20Overview%20and%20Project%20magazine.pdf</a></p>
(SLO1) 19 million people, 50% women,	2	1	<p>It's difficult to give a 2 in absence at this time of a quantitative modeling. We are currently trying to address this in our integrative studies. However, in key places, in all continents, significant policy and program changes have happen influenced by FTA research.</p>

assisted to exit poverty			<p>OICR 2808. Changed understanding of key actors from governments, NGOs, academia, and international agencies. and more informed policy, governance, and implementation of Agroforestry concessions in Peru.</p> <p>OICR 3328. FTA and PIM research informs the renewal of community forest concessions in the Maya Biosphere Reserve (Guatemala)</p> <p>OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia</p> <p>OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</p>
(SLO2) Improve the rate of yield increase by 0.1845%/year in FT&A systems	1	1	It's difficult to give a 2 in absence at this time of a quantitative modeling. The yield increase indicator is not the most relevant for us. Often what farmer seek is resilience and yield stability, and also quality, rather than pure yield increase. However, there has been key progresses esp. in cacao, coffee, rubber systems (e.g rubber agroforestry systems) informed by FTA research.
(SLO2) 17 million people, 50% women, meeting minimum dietary requirements or experience increased dietary diversity	1	1	<p>It's difficult to give a 2 in absence at this time of a quantitative modeling. We are currently trying to address this in our integrative studies. However, we have contributed to policy pathways contributing to a better understanding of the multiple roles of trees and forests to food security and nutrition. We are currently involved in setting up a range of indicators for this contribution. We are also developing technical guidelines at farm level (e.g. fruit tree portfolios) to develop the contribution.</p> <p>OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia</p> <p>OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</p>
(SLO3) 0.225% increase in either water or nutrient use efficiency is achieved	0	0	There may be some incidental contribution (cf our work on tree planting density to improve ground water recharge), but our contribution addresses water in a more holistic way. This indicator is at plant level and not pertinent for us: rather than improving the water efficiency of say, wheat or maize, FTA rather looks at water availability for farming at farm or landscape scale (or even continental level) and what trees can do for this. If the indicator would be change to this: availability of water at different scales, then our contribution would be 1 or even 2.
(SLO3) FT&A GHG emissions reduced by 0.2	1	1	It's difficult to give a 2 in absence at this point in time of a quantitative modeling. We are currently trying to address this in our integrative studies.

Gt CO <sub>2</sub> -e yr <sup>-1</sup> compared with the business-as-usual scenario			I've given a 1 here in 2022 mainly because there is a fundamental uncertainty whether policy enforcement will happen on the ground. Some countries (e.g. Brazil) have seen important setback in deforestation prevention despite progresses at sub-regional level (Acre) informed and influenced by FTA research. Some other countries have seen significant progresses (e.g. Indonesia and the payment from Norway) and despite many actors are involved, we can claim some contribution to this.
(SLO3) 30 million ha of degraded land area under restoration	2	1	<p>Restoration has been a key emphasis for FTA's work. It's difficult to give a 2 in absence at this point in time of a quantitative modeling. We are currently trying to address this in our integrative studies.</p> <p>OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia</p> <p>OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</p> <p>OICR 3482. Ten-Year Uganda National Bamboo Strategy and Action Plan enabled by Research from FTA</p> <p>OICR 3479. Options by context approach to agronomic innovation profoundly changed International, Government, NGO and private sector policy and practice across 14 countries</p> <p>64,050 ha restored through agroforestry innovations in Western Kenya Hughes,K., Morgan,S., Baylis,K., Oduol,J., Smith-Dumont,E., Vågen,T., Kegode,H., 2020. Assessing the downstream socioeconomic impacts of agroforestry in Kenya. <i>World Development</i>. 128: 104835. <a href="https://doi.org/10.1016/j.worlddev.2019.104835">https://doi.org/10.1016/j.worlddev.2019.104835</a></p> <p>162,697 ha across eight African countries under restoration through options by context greening Africa project evidenced in project annual report <a href="https://www.dropbox.com/s/n2zf9f7b1ukkz8/regreening%20year%202020%20AnnualReport%20EXTERNAL_EMAIL.pdf?dl=0">https://www.dropbox.com/s/n2zf9f7b1ukkz8/regreening%20year%202020%20AnnualReport%20EXTERNAL_EMAIL.pdf?dl=0</a></p> <p>85,556 ha restored in Niger (10,491 upper watershed, 75,065 assisted natural regeneration) evidenced in Resilient Food Systems annual report p66) <a href="http://www.resilientfoodsystems.co/assets/resources/pdf/rfs_annual-report_2019.pdf">http://www.resilientfoodsystems.co/assets/resources/pdf/rfs_annual-report_2019.pdf</a></p> <p>265,902 ha restored through the options by context approach across 5 African countries as evidenced in the DryDev end of program report (122,850 ha of degraded communal land rehabilitated, 90,058 ha of farmland managed under improved practices and climate smart practices adopted on 52,994 ha of farmland). <a href="https://www.dropbox.com/s/qr79maco6iveizh/DryDev%20End%20Programme%20report2020123.docx?dl=0">https://www.dropbox.com/s/qr79maco6iveizh/DryDev%20End%20Programme%20report2020123.docx?dl=0</a></p>

			Assisted Natural Regeneration (ANR) on 1400 ha in the Kiang West National Park in the Gambia. Included fire tracing for the entire perimeter and for trees. Protecting over 30000 Trees. <a href="http://www.worldagroforestry.org/blog/2020/03/03/gambia-controlling-wild-fire-offers-nature-based-solution-diminishing-wild-food-and">http://www.worldagroforestry.org/blog/2020/03/03/gambia-controlling-wild-fire-offers-nature-based-solution-diminishing-wild-food-and</a>
(SLO3) 2.5 million ha of avoided deforestation	2	1	<p>It's difficult to give a 2 in absence at this point in time of a quantitative modeling. We are currently trying to address this in our integrative studies.</p> <p>I've given a 1 here in 2022 mainly because there is a fundamental uncertainty whether policy enforcement will happen on the ground. Some countries (e.g. Brazil) have seen important setback in deforestation prevention despite progresses at sub-regional level (Acre) informed and influenced by FTA research. Some other countries have seen significant progresses (e.g. Indonesia and the payment from Norway) and despite many actors are involved, we can claim some contribution to this.</p> <p>OICR 2808. Changed understanding of key actors from governments, NGOs, academia, and international agencies. and more informed policy, governance, and implementation of Agroforestry concessions in Peru.</p> <p>OICR 3328. FTA and PIM research informs the renewal of community forest concessions in the Maya Biosphere Reserve (Guatemala)</p> <p>OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia</p> <p>OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</p> <p>OICR 3481. FTA Research informs the development of a Monitoring and Evaluation System for Vietnam's national Payment for Forest Environmental Services (PFES) system</p> <p>OICR 3482. Ten-Year Uganda National Bamboo Strategy and Action Plan enabled by Research from FTA</p> <p>96,000 ha of community forests protected from deforestation by being put on pathway to sustainable forest management in Cameroon under the Financing Sustainable community forest enterprises in Cameroon (Dryad) project. Bernard, F. and P. A. Minang. 2019. Community forestry and REDD+ in Cameroon: What future? <i>Ecology and Society</i> 24 (1):14. [online] <a href="https://www.ecologyandsociety.org/vol24/iss1/art14/">https://www.ecologyandsociety.org/vol24/iss1/art14/</a></p>

## 5. FTA end-of-program outcome targets

End-of-program outcomes (by 2022)	Degree to which you expect FTA to contribute to these targets by year-end 2022	Contribution already achieved by year-end 2019	Comments, explanations, readily available evidence
	Scale:	Scale:	
	0. No contribution 1. Small contribution 2. Significant contribution 3. Target will be reached 4. Target will be exceeded	0. No contribution 1. Small contribution 2. Significant contribution 3. Target already reached 4. Target already exceeded	
25 countries improve governance mechanisms, institutions and tools for a) safeguarding forests/tree diversity and b) equitably managing forests and trees within mosaic landscapes	2	2	Quantitative targets are now being assessed as part of our EOPO work
About 20 multinational companies and 500 private sector actors pursue models and investments for a) improved mgt. and safeguarding of forest and tree resources and b) enhancement of inclusive landscape-based livelihoods and ecosystem services	2	2	Quantitative targets are now being assessed as part of our EOPO work
National and sub-national public and private sector actors in 25 countries deliver more effective and equitable tree-related breeding, delivery, extension & pedagogical services	2	2	Quantitative targets are now being assessed as part of our EOPO work
About 40 million smallholder households and other users access more productive tree planting material and uptake higher performing, context appropriate and inclusive AF and small-scale forestry management options	2	2	Quantitative targets are now being assessed as part of our EOPO work



## 6. Contribution to CGIAR sub-IDOs by FTA CRP

Because no quantitative targets were set for contributions to IDOs and sub-IDOs, kindly assess against the expectations you have/had for FTA Phase II. Priority IDOs/sub-IDOs for FTA from the Phase II proposal are marked in **bold face**.

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  <i>Scale:</i> 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
SDG1 (no poverty)	2 Enhanced smallholder market access	2.1 Improved access to financial and other services	4	We have made this area a priority (P17) and have considerably developed work compared with original plans and expectations. There are plans for developing smallholder and women access to landscape and green finance in several countries. Work is starting but very promising. See the IMLAFF innovation.
		2.2 Reduced market barriers	3	OICR 2804. Cocoa of Excellence Programme provided visibility and improved processing techniques and final quality
	<b>3 Increased incomes and employment</b>	3.1 Diversified enterprise opportunities	3	Community forestry (ex in Cameroon.) Agroforestry policies. Bamboo development.

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
		<b>3.2 Increased livelihood opportunities</b>	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  OICR 3479. Options by context approach to agronomic innovation profoundly changed International, Government, NGO and private sector policy and practice across 14 countries  OICR 2804. Cocoa of Excellence Programme provided visibility and improved processing techniques and final quality
		3.3 Increased value capture by producers	3	

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  <i>Scale:</i> 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
		3.4 More efficient use of inputs	3	FTA FP1 developing context-specific delivery systems for the best available planting materials including orchards > 20 species
	4 Increased productivity	4.3 Enhanced genetic gain	1	The yield increase indicator is not the most relevant for us. Often what farmer seek is resilience and yield stability, and also quality, rather than pure yield increase. However, there has been key progresses esp. in cacao, coffee, rubber systems (e.g rubber agroforestry systems) informed by FTA research.  FTA FP1 combining new and available tree domestication approaches > 10 species
	4.4 Increased conservation and use of genetic resources	3	FTA FP1 applying optimal combinations of safeguarding measures specific to ecological, geographical and societal contexts at different levels > 200 species	

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
		4.5 Increased access to productive assets, including natural resources	4	Adoption results of SH forest concessions in some places have been more than expected (e.g agroforestry concession in Peru), and lower in other places (e.g. social forestry in Indonesia). In case of lower uptake, the problem is not FTA research but political economy.
SDG2 (zero hunger)	5 Improved diets for poor and vulnerable people	<b>5.2 Increased access to diverse nutrient-rich foods</b>	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  OICR 3479. Options by context approach to agronomic innovation profoundly changed International, Government, NGO and private sector policy and practice across 14 countries

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
	7 Improved human and animal health through better agricultural practices	7.1 Improved water quality	3	
SDG15 (life on land)	<b>8. Natural capital enhanced and protected, especially from climate change</b>	<b>8.1 Land, water and forest degradation (including deforestation) minimized and reversed</b>	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  OICR 3479. Options by context approach to agronomic innovation profoundly changed International, Government, NGO and private sector policy and practice across 14 countries

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
				OICR 3481. FTA Research informs the development of a Monitoring and Evaluation System for Vietnam's national Payment for Forest Environmental Services (PFES) system
		8.2 Enhanced conservation of habitats and resources	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  FTA FP1 integrated tree genetic resource management programmes implemented > 10 countries
		8.3 Increased genetic diversity of agricultural	3	FTA FP1 integrated tree genetic resource management programmes implemented > 10 countries

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  <i>Scale:</i> 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
		and associated landscapes		
	9. Enhanced benefits from ecosystem goods and services	9.1 More productive and equitable management of natural resources	3	OICR 3328. FTA and PIM research informs the renewal of community forest concessions in the Maya Biosphere Reserve (Guatemala)
		9.2 Agricultural systems diversified and intensified in ways that protect soils and water	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  OICR 3479. Options by context approach to agronomic innovation profoundly changed International,

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  <i>Scale:</i>  0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
				Government, NGO and private sector policy and practice across 14 countries
		9.3 Enrichment of plant and animal biodiversity for multiple goods and services	3	
	<b>10 More sustainably managed agroecosystems</b>	<b>10.1 Increased resilience of agroecosystems and communities, especially those including smallholders</b>	3	OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia  OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF  OICR 3479. Options by context approach to agronomic innovation profoundly changed International,



Sustainable Development Goals (SDGs)	IDO	Sub-IDO	<p><b>Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.</b></p> <p><i>Scale:</i></p> <p>0. No contribution  1. Small contribution  2. Significant contribution (but less than expected)  3. Contribution in line with expectations  4. Contribution exceeding expectations</p>	<p><b>Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)</b></p>
				Government, NGO and private sector policy and practice across 14 countries
		<p><b>10.2 Enhanced adaptive capacity to climate risks</b></p>	4	<p>We have particularly stepped up our climate change adaptation work at global level, in particular two joint key policy publications with FAO that will feed into national level planning:  <a href="http://www.fao.org/documents/card/en/c/cb1203en">http://www.fao.org/documents/card/en/c/cb1203en</a>  <a href="http://www.fao.org/3/ca7064en/CA7064EN.pdf">http://www.fao.org/3/ca7064en/CA7064EN.pdf</a>, as well as a key publication for the global commission on adaptation: <a href="https://cdn.gca.org/assets/2019-12/TheContributionsOfAgroecologicalApproaches.pdf">https://cdn.gca.org/assets/2019-12/TheContributionsOfAgroecologicalApproaches.pdf</a></p> <p>Also at national level, FTA is supporting the government of Sri Lanka in a major Global Climate fund project, GEF project in the Gambia, community based adaptation in the Sahel etc.</p>

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  <i>Scale:</i>  0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
SDG13 (climate action)	A. Mitigation and adaptation achieved (climate change)	<b>10.3/A1 Reduced net greenhouse gas emissions from agriculture, forests and other forms of land use</b>	3	
		A3 Improved forecasting of impacts of climate change and targeted technology development	3	FTA FP1 suitability modelling for more than 200 species and climate analyses for 5-10 countries
		A4 Enhanced capacity to deal with climatic risks and extremes	3	OICR 2829. Creation of an enabling environment for improved land tenure reform in Uganda

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
SDG5 (gender equality)	<b>B. Equity and inclusion achieved (gender and youth)</b>	<b>B1 Gender-equitable control of productive assets and resources</b>	3	OICR 3328. FTA and PIM research informs the renewal of community forest concessions in the Maya Biosphere Reserve (Guatemala)  OICR 3369. Engagement strategy has seen FTA's research and recommendations inform the gender-responsive design and implementation of global policy processes
		B2 Technologies that reduce women's labor and energy expenditure developed and disseminated	3	Especially key work by INBAR on Bamboo based bio-energy development in Africa (cf FTA key innovation)
		<b>B3 Improved capacity of women and young people to</b>	3	OICR 3369. Engagement strategy has seen FTA's research and recommendations inform the gender-responsive design and implementation of global policy processes

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale: 0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
		<b>participate in decision-making</b>		
SDG16 (peace, justice and strong institutions)	C. Enabling environment improved (policies and institutions)	C1 Increased capacity of beneficiaries to adopt research outputs	4	We have invested in multistakeholder platforms in various sectors, with an emphasis of sectors with significant gaps in terms of scientific uptake with respect to sustainability policies, e.g. Rubber (with the Global Platform on Sustainable Natural Rubber and with IRSG), and palm oil (We organized a policy dialogue at national level in Indonesia). Also, we stepped up our influence in global multistakeholder platforms, like the Committee on World Food security, and use their constituencies (e.g private sector mechanism, civil society mechanism) to channel our research results.
		<b>C3 Conducive agricultural policy environment</b>	4	We have also significantly stepped-up our work in this area. This concerns guidelines to Agroforestry policies development in Asia, agroforestry laws in India and

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale:  0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDs marked in bold)
				<p>Nepal, but especially in creating an operational priority on agroecology, and taking the lead of the HLPE report. As a result, the Committee on World Food Security (CFS) is currently adopting a set of global policy recommendations to support agroecological transitions in all countries in the world.</p> <p>OICR 3354. ASEAN Guidelines for Agroforestry Development set to revolutionize land use in Southeast Asia</p> <p>OICR 3367. Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</p> <p>OICR 3481. FTA Research informs the development of a Monitoring and Evaluation System for Vietnam's</p>

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale:  0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
				national Payment for Forest Environmental Services (PFES) system  OICR 3482. Ten-Year Uganda National Bamboo Strategy and Action Plan enabled by Research from FTA
SDG17 (partnership for the goals)  SDG4 (quality education)	<b>D. National partners and beneficiaries enabled (capacity development)</b>	<b>D1 Enhanced institutional capacity of partner research organizations</b>	2	At international level, we have reinforced our institutional partnership with IUFRO and their partners. This has translated into co-organizing policy debates in big international conferences such as the FAO conference on halting deforestation, and preparation of the World Forestry Congress 2021.  OICR 2808. Changed understanding of key actors from governments, NGOs, academia, and international agencies. and more informed policy, governance, and implementation of Agroforestry concessions in

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.  Scale:  0. No contribution 1. Small contribution 2. Significant contribution (but less than expected) 3. Contribution in line with expectations 4. Contribution exceeding expectations	Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)
				Peru.
		D2 Enhanced individual capacity in partner research organizations through training and exchange	2 (but now growing to 4)	It is an important area. We are contributing now to MOOC development. Online courses are now getting more popular and this is an opportunity for the future. We are positioning ourselves into this also through GLFx, with support to peer-to-peer and farmer-to-farmer exchange. So, until 2019 I would give a 2 but now a 4.  OICR 2808. Changed understanding of key actors from governments, NGOs, academia, and international agencies. and more informed policy, governance, and implementation of Agroforestry concessions in Peru.  OICR 2829. Creation of an enabling environment for improved land tenure reform in Uganda

Sustainable Development Goals (SDGs)	IDO	Sub-IDO	<p><b>Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.</b></p> <p><i>Scale:</i></p> <p>0. No contribution                      1. Small contribution                      2. Significant contribution (but less than expected)                      3. Contribution in line with expectations                      4. Contribution exceeding expectations</p>	<p><b>Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)</b></p>
		D3 Increased capacity for innovation in partner research organizations	3	<p>At national level, I think there should be in the future more emphasis into linking our research with national level partners. Not that it s not the case already of course: in nearly all projects there is a substantial amount of national research partners invoved, as shown by the FTA science conference where 60% of the abstracts were co-signed by national partners. However, this should be increased in the future. It is however limited by funding available.</p> <p>OICR 3482. Ten-Year Uganda National Bamboo Strategy and Action Plan enabled by Research from FTA</p>
		D4 Increased capacity for innovation in partner development Organizations and in	3	<p>This is a significant area of work of FTA, especially through the innovations platforms in <a href="https://www.worldagroforestry.org/project/developing-">https://www.worldagroforestry.org/project/developing-</a></p>



Sustainable Development Goals (SDGs)	IDO	Sub-IDO	<p><b>Degree to which you expect FTA to contribute to this sub-IDO by year-end 2022.</b></p> <p><i>Scale:</i></p> <p>0. No contribution</p> <p>1. Small contribution</p> <p>2. Significant contribution (but less than expected)</p> <p>3. Contribution in line with expectations</p> <p>4. Contribution exceeding expectations</p>	<p><b>Comments, explanations, readily available evidence (e.g. for sub-IDOs marked in bold)</b></p>
		poor and vulnerable communities		<p><a href="#">value-chain-innovation-platforms-improve-food-security-east-and-southern-africa</a> Key partnerships with ACIAR on thematter.</p> <p>OICR 3479. Options by context approach to agronomic innovation profoundly changed International, Government, NGO and private sector policy and practice across 14 countries</p> <p>OICR 3482. Ten-Year Uganda National Bamboo Strategy and Action Plan enabled by Research from FTA</p>

## **Annex 6: Feedback on Things to Keep and Change**

After interviews, the review team asked FTA interviewees to briefly describe the one thing they felt should be maintained, and the one thing that should be changed, both on the level of FTA and on the CGIAR system level.

## Annex 6.1: FTA-Level

Maintain/FTA	Change/FTA
<p>FTA as a program and partnership</p> <ul style="list-style-type: none"> <li>- Large coordinated efforts towards global goals such as FTA require massive investments and focused action. These are irreplaceable. Only few donors take risks for long-term engagements and this is a great problem.</li> <li>- If I were to choose only one thing that I would like to move forward the it is absolutely the partnership. FTA brought together the partners that now eagerly work together and these partnership without FTA would not be possible. We may even say that ICRAF-CIFOR merge in terms of science was so much facilitated by FTA as the ICRAF and CIFOR scientists started collaborating together in FTA (thanks to FTA).</li> <li>- Affirmative actions in FTA management to make CATIE feel an active member of the consortium, with voice and vote. This, together with close contacts with flagship leaders in frequent, regular meetings created the friendly environment needed for a successful cooperation among all members of the CRP</li> <li>- Excellent collaborations and networks, cross-center work allowing us to have more visibility, reach and impact</li> <li>- The integrated Flagship Projects are extremely important for maintaining a coherent holistic programme across the institutions and partners engaged, making it a much more valuable whole than the individual pieces would be. The whole of FTA is the largest international research programme on the subject that exist.</li> <li>- The partnership between FTA scientists and the sense of a common agenda that is bigger than any centre alone could handle. Freedom to challenge the central tenets of each centre, in search of a bigger picture.</li> <li>- The partnerships built overtime. Without them FTA is not credible/legitimate and simply cannot function. The partners contribute complementary expertise and a diversity of different viewpoints that enrich FTA and result in more meaningful outputs and outcomes.</li> <li>- The scientific R4D partnership: 10 years doing research together has created trust, alignment, mutual understanding of comparative advantages and complementarities. It took time and effort to build but now saves a lot of transaction costs when it comes to devising, planning and undertaking jointly new research. It is also key to what our beneficiaries, and development need: an effective consortium of research actors to help them, and not having to deal with separate institutions one by one.</li> <li>- The partnership and its core modalities of management and oversight that ensure deep exchanges, peer review of orientations and findings, build common understanding, trust and collaboration and ultimately play a key role to increase quality of research.</li> <li>- A contribution of all CGIAR and non CGIAR partners through an open dialogue with a representative of each partner on the MT, to give a voice and input to strategic planning and development of research program.</li> <li>- The RinD and OxC innovations in method that shift from innovation as an external imposition to supporting local innovation as a process.</li> <li>- The partnerships and working relationships that have been developed within FTA. They have been very valuable in expanding research horizons.</li> </ul> <p>CapDev</p> <ul style="list-style-type: none"> <li>- Greater investment in young(-er) scientists employed by/affiliated with CGIAR centres and programs. Increase opportunities to support CapDev through longer-term partnerships with universities and college offering both professional and technical-level training in the Global South.</li> </ul> <p>Resource allocation</p> <ul style="list-style-type: none"> <li>- More transparent resource allocation processes across centers (e.g., in some FPs – Where the lead center has the power to retain many of the resources).</li> </ul> <p>Marketing</p> <ul style="list-style-type: none"> <li>- The outreach and communications are very thorough and well organized, such that FTA is well known globally in the sector. This should somehow be continued.</li> </ul> <p>Focus on smallholders</p> <ul style="list-style-type: none"> <li>- The focus on the small producer, their livelihoods and trying to get them out of poverty by helping them in adding value to their products. FTA has the power of really exerting a change with all their expertise and carefully designed Flagship Programs.</li> </ul>	<p>Integration</p> <ul style="list-style-type: none"> <li>- I'd like to see more integration between the parts. We should have had annual interactions of the "science conference" type to also provide more space for the younger scientists to engage and interact.</li> <li>- The individual elements of FTA (flagships, clusters, priorities) tend to operate somewhat in isolation. The funding 'glue' (provided by the CGIAR) -constituting only about 10% of the total budget - is too small to completely avoid that. It should ideally constitute about 20% to allow the support of solid collaborative activities cutting across the individual elements of FTA.</li> </ul> <p>Targeting</p> <ul style="list-style-type: none"> <li>- We could have more regionally targeted activities to maximize impact (but need to keep the international scope of the work up).</li> <li>- Give more attention to search for opportunities to co-locate activities of all flagships in certain geographies to benefit from synergies when working together. Working in separate territories tends to create silos and this should be avoided.</li> <li>- FTA builds upon several legacy projects that are their main strengths. I would like to see a broadening scope both disciplinary and geographical.</li> </ul> <p>Funding</p> <ul style="list-style-type: none"> <li>- More 'core' (program) funding instead of the current 90% co-funding from bilateral projects which turns the program on its head.</li> <li>- What I definitely wouldn't like was the funding situation uncertainty, we are told about the W1/W2 budget for a current year only at the end of it. And then of course budget cuts.</li> <li>- (Repeated from above) The individual elements of FTA (flagships, clusters, priorities) tend to operate somewhat in isolation. The funding 'glue' (provided by the CGIAR) -constituting only about 10% of the total budget - is too small to completely avoid that. It should ideally constitute about 20% to allow the support of solid collaborative activities cutting across the individual elements of FTA.</li> <li>- Imbalance between budgets and reporting commitments.</li> <li>- The extremely low percentage of W1-2 is really not sustainable. Increasing it to around 15% would allow FTA to function more effectively.</li> <li>- Program-level funding has been very low in the CGIAR and even lower for FTA as it oscillated between 8 and 12% of the budget. It's a minimal amount. Keeping a critical mass of bilateral projects is important. I would also build, in parallel to the ISC, a group and committee of donors around the program and organize a separate trust fund.</li> <li>- The importance of bilateral funding is a recognition of the quality of the work. It needs to be accompanied by a corresponding significant programmatic funding with increased visibility to facilitate engagement of partners and value addition.</li> <li>- Unstable annual budgeting.</li> <li>- W1 / W2 are confirmed and approved on time. This will enable proper planning and delivery in FTA.</li> </ul> <p>Efficiency</p> <ul style="list-style-type: none"> <li>- Much less top-down bureaucracy and much more targeted, content-oriented oversight.</li> </ul> <p>Capdev</p> <ul style="list-style-type: none"> <li>- High unit cost fellowship programs that provide opportunities for postgraduate study (Masters and above) at universities in the Global North. CGIAR centres are reduced to being conduits for donor funding, with high-cost and low-budget (partial) supervisory roles.</li> </ul> <p>Relationship with national partners</p> <ul style="list-style-type: none"> <li>- FTA also needs a stronger relationship with and accountability to national partners in the target countries.</li> </ul> <p>Program management</p> <ul style="list-style-type: none"> <li>- The role of the Flagship Leaders is challenging as there is no accountability from the five Priority Leads. To manage the Flagships effectively, it would help if the Priority Leads had some sort of agreement for the role with the FTA management. Often, the Priority Leads are at separate centers and around the globe.</li> <li>- Directorship that is not hosted/aligned to a single Center (CIFOR). There is an imbalance in communications, allegiance and visibility to the host centre that undermines an equitable and fair transaction environment, leading to a lack of collaborative spirit.</li> <li>- Time horizons for impact and evaluation criteria.</li> </ul>

## Annex 6.2: CGIAR System-Level

Maintain/CGIAR	Change/CGIAR
<p>Type and quality of Research</p> <ul style="list-style-type: none"> <li>- Demanding researchers to deliver high quality, relevant research forces every one "to stand on our toes".</li> <li>- Commitment of researchers to accepting the complexity of real-world issues ('Type 3').</li> <li>- High potential to collaborate across geographies and conduct comparative work with partners.</li> <li>- The quality of science in the system and the collaborations that are encouraged across centres, across regions, with non CGIAR institutions. Both quality of science and collaborations and partnerships need an environment which nurtures and values them.</li> <li>- A research agenda that links forest trees and agroforestry to sustainable agriculture and food systems. The research of the CRP is fundamental to sustainable development and impact, so if lost from CGIAR will leave a huge gap. This will be of negative consequence to overall impact of CGIAR to deliver outcomes.</li> <li>- Diversity of Centre approaches and interactions with governments and placed-based action research. Because its enhanced legitimacy and applicability of research with connections to NARs.</li> </ul> <p>Collaborative programs</p> <ul style="list-style-type: none"> <li>- The collaborative, programmatic element, with a time horizon of 5-6 years. CGIAR Research is too much project based, centers are "project-hopping". Project-based, shorter term (2-3 yr) research will remain the bread and butter, and the CGIAR is very good at spending time to devise longer term (10-12 years) strategies, but the oneCGIAR has removed the "middle" programmatic layer. It is a strategic mistake as R4D needs this longer perspective, it takes time for an idea to translate into innovation and then development outcomes. The programmatic aspect give focus, readability, coherence, enables to create synergies and learning.</li> <li>- Research programs of a size, scope and length that allows a systematic approach and significant progress on complex issues, going beyond single projects, with a decentralized governance in a clear mandate. Five to six years is a good length, providing enough time to orient significantly research while allowing flexibility inside it if the right management and oversight mechanisms are in place to periodically reexamine priorities.</li> <li>- The CRP concept is a very useful way of doing large scale and inclusive science, effectively involving many partner organizations. It is unfortunate that it will not continue, although my organization, CIFOR-ICRAF, intends to use the FTA model into the future.</li> <li>- Need to keep the broad discipline coverage and wide geographical scope. However, the centers need to relate to each other much more. This has been one of the accomplishments of FTA however often centers do not relate to each other well enough.</li> <li>- Encouragement of cross flagship and cross CRP collaboration.</li> </ul> <p>Reporting</p> <ul style="list-style-type: none"> <li>- Common reporting parameters and indicators (aligned with relevant global agendas, like SDGs, Aichi targets, NDCs, LDNs, etc.).</li> </ul> <p>Capdev</p> <ul style="list-style-type: none"> <li>- The CGIAR's role as a key capacity development institution in the land use and development world is much underrated and risks being thrown under the bus if not actively documented and fostered.</li> <li>- Increase opportunities to support CapDev (explicit in project objectives) through longer-term partnerships with universities and colleges offering both professional and technical-level training in the Global South (cf. CIFOR's experience with University of Kisangani, Democratic Republic of Congo until end of Forests and Climate Change in the Congo phase of EC support).</li> </ul>	<p>CGIAR programs</p> <ul style="list-style-type: none"> <li>- Large concerted efforts towards global goals require massive investments and focused action. Replacing large CRPs with the shorter new programs hands more oversight to the System Office but does not provide a smart approach to global problems which need engagement and trust building.</li> </ul> <p>Goals and targets, and operational modalities, budgeting</p> <ul style="list-style-type: none"> <li>- Too much uncertainty in budgets, and in operations and delivery of products and outcomes. Many years, budget in a given year was known with certainty in October or later. Reductions in budgets at such a late time in the year could be retroactive.</li> <li>- The uncertainty of budget where the system at present only is able to provide the annual budget at the end of the year when all activities have been implemented; and where the total size of the project is only known when it is completely over is not an efficient and sustainable way of operating.</li> <li>- Planning systems that pretend that solving 'Type 1' issues is the yardstick of progress, competing with national research systems.</li> <li>- Unhealthy focus on business as usual agricultural improvement with monocultures as opposed to food system transformation.</li> </ul> <p>How the CGIAR Is organized</p> <ul style="list-style-type: none"> <li>- Too much change in goals, operational model and budget.</li> <li>- CGIAR and other donors often pursue too simplistic impact objectives which would be adequate for production lines in factories (simple input, linear output) but are not adequate for the complex development transformations needed until 2030. There must be greater risk appetite and willingness to learn from failure.</li> <li>- The recent trend towards extreme centralization of decision-making in just a few individuals and in a more and more bureaucratic way of functioning. Centralization of decision-making and bureaucracy have never resulted in stronger science and more effective development, up until now.</li> <li>- The CGIAR is becoming too narrow, too inward looking, with power in the hands of a very small set of actors. These protagonists have undermined CRPs without justification, even dismissing the self-assessment that CRPs did.</li> <li>- The funding modalities with uncertainties not resolved until the end of the implementing year. This leads to a lot of transaction costs and inefficiencies to deal with the uncertainties.</li> <li>- Reform the governance of the CGIAR system to make it more transparent, inclusive and accountable to end users with appropriate bodies and mechanisms to ensure the separation between the 3 functions of management, research quality oversight, and political orientations and the proper involvement of non CG partners, stakeholders, end users.</li> <li>- From my experience there has been little interaction with CGIAR management and communications. I do not recall any CGIAR promotion of FTA. I have also had little contact with other CRPs, but I am vaguely aware of some common interests amongst several.</li> <li>- Vertical, top down decision making, even when asking for input from a variety of stakeholders. In my opinion they do what they want guided by the advice of the people they trust but this is an extremely small circle.</li> <li>- The hierarchical aspects of CGIAR governance that seems to be too political and leads to disillusion among scientists in the organizational structure.</li> <li>- I.e the scientists believe in their work despite the CGIAR system not because of it.</li> </ul> <p>Capdev</p> <ul style="list-style-type: none"> <li>- High unit cost fellowship programs that provide opportunities for postgraduate study (Masters and above) at universities in the Global North. CGIAR centres are reduced to being conduits for donor funding, with high-cost and low-budget (partial) supervisory roles for CGIAR scientists.</li> </ul> <p>Transaction costs</p> <ul style="list-style-type: none"> <li>- Reduce transactions costs, too much time spent strategizing, constant reforms that represent huge costs in terms of staff time, too many meetings and travel (pre-COVID) and now online – leading to too little time to conduct research.</li> <li>- Huge reporting burdens. Simplified yet useful reporting would enable effectiveness and efficiency.</li> </ul>

## Annex 7: OICR Analysis

### Annex 7.1: OICR Analysis - Nepal Agroforestry Policy

<b>CRP: FTA</b> <b>OICR 3367: Nepal becomes the second country in the world to have a national agroforestry policy, with support from ICRAF</b>		
CRP Lead: FTA		
Phases of report: New		
Policy contribution: 252 - Agroforestry Policy for Nepal Innovations: N/A		
Year reported: 2019	Maturity level: 2	# Years of programmatic work: 6 (since 2014)
Geographic location(s): Nepal		
Populations covered, estimated size and socio-demographic categories (e.g., subsistence farmers, women, adolescents, etc.):  This policy has the potential to affect a significant share of Nepal's total land area and of its rural population (see below).		
<b>Key contributors to the outcome</b>		
<ul style="list-style-type: none"> <li>CGIAR partners: ICRAF (the work is mapped to FTA FP4)</li> </ul>		
External partners: <ul style="list-style-type: none"> <li>Nepal Ministry of Forests and Environment (until 2018: Ministry of Forests and Soil Conservation)</li> <li>Nepal Ministry of Agriculture and Livestock Development (until 2018: Ministry of Agriculture and Ministry of Agricultural Development)</li> <li>CTCN - Climate Technology Centre and Network</li> </ul>		
<b>Links to the CGIAR Strategic Results Framework:</b>		
The OICR indicates contributions to: <ul style="list-style-type: none"> <li>2 sub-IDOs (Increased availability of diverse nutrient-rich foods; Increased resilience of agro-ecosystems and communities, especially those including smallholders)</li> <li>2 SRF 2022/2030 targets: (# of more farm households have adopted improved varieties, breeds or trees; # of people, of which 50% are women, assisted to exit poverty)</li> </ul> <p>The policy development process and the policy itself are however also likely to contribute to several additional objectives and targets (SDGs, SLOs, IDOs, sub-IDOs, FTA program-level, and FTA FP4 level; see analysis section below).</p>		
<b>FTA contributions to the outcome</b>		

<p><b>Innovations:</b> The OICR does not list any innovations but, naturally, the concept of agroforestry adapted to the different types of landscapes (i.e. the choice of species and their interactions) can be considered innovations.</p>
<p><b>Policies:</b> The agroforestry policy of Nepal (OICR 252 - Agroforestry Policy for Nepal).</p>
<p><b>Key CRP publications supporting the OICR:</b> Cited in the OICR:</p> <ol style="list-style-type: none"> <li>1. Kathmandu Declaration on Agroforestry. 2015, <a href="http://tinyurl.com/y82qqztj">http://tinyurl.com/y82qqztj</a></li> <li>2. Technical Project Report: <a href="http://tinyurl.com/ydq4vq79">http://tinyurl.com/ydq4vq79</a></li> <li>3. Policy Document - An Agroforestry Policy for Nepal, Government of Nepal. 2019 (only available in Nepalese, <a href="https://www.foreststreesagroforestry.org/docs/Nepal_Agroforestry_Policy.pdf">https://www.foreststreesagroforestry.org/docs/Nepal_Agroforestry_Policy.pdf</a>)</li> <li>4. Media coverage:       <ol style="list-style-type: none"> <li>a. <a href="https://www.ctc-n.org/news/ctcn-nepal-new-national-agroforestry-policy">https://www.ctc-n.org/news/ctcn-nepal-new-national-agroforestry-policy</a></li> <li>b. <a href="http://tinyurl.com/ycd4kxtz">http://tinyurl.com/ycd4kxtz</a></li> <li>c. <a href="https://www.ctc-n.org/news/ctcn-nepal-developing-national-agroforestry-policy">https://www.ctc-n.org/news/ctcn-nepal-developing-national-agroforestry-policy</a></li> <li>d. <a href="http://blog.worldagroforestry.org/index.php/2018/01/17/nepal-makes-progress-towards-a-national-agroforestry-policy/">http://blog.worldagroforestry.org/index.php/2018/01/17/nepal-makes-progress-towards-a-national-agroforestry-policy/</a></li> </ol> </li> </ol> <p>Further supporting documents and publications are cited in the review report.</p>
<p><b>OICR relationship with CGIAR cross-cutting issues</b></p>
<p><b>Capacity development:</b> The OICR marks this as zero (i.e. not targeted), but there have been several capacity development elements (as described in the review report)</p>
<p><b>Climate change:</b> The OICR marks this as zero (i.e. not targeted), but the policy contributes to several SDG, SLO and IDO and sub-IDO targets related to climate change (mitigation).</p>
<p><b>Gender:</b> The OICR marks this as zero (i.e. not targeted), but the policy itself highlights the potential for women in terms of “less laborious self-employment opportunities” (Government of Nepal 2019). The policy includes subsidies for women farmers and, according to interviews, will contribute to the production and use of tree-related products, especially wood, that are of special importance to women.</p>
<p><b>Youth:</b> The OICR marks this as zero (i.e. not targeted), but one of the drivers for the policy was that “[t]he youth are forced to leave to the city and other countries due to the limited job opportunities in the villages” and “the trend of fertile land remaining barren is increasing due to [...] lack of workers due to migration of youth” (Government of Nepal 2019). The policy includes “subsidies to organize youth [...] in the degraded forest area, agroforestry area and barren and semi-barren arable land while implementing the policy” and, according to interviews, will contribute to retaining young people in rural areas through increased agroforestry livelihood options.</p>
<p><b>Key implementing organization</b> (e.g. institute, partner):</p> <ul style="list-style-type: none"> <li>• Nepal Ministry of Forests and Environment (until 2018: Ministry of Forests and Soil Conservation)</li> <li>• Nepal Ministry of Agriculture and Livestock Development (until 2018: Ministry of Agriculture and Ministry of Agricultural Development)</li> </ul>
<p><b>Partnerships:</b> Key partners (FTA’s engagement with each partner, and extent to which partner expectations/needs were met or not)</p> <p>The policy development process was overseen by the Inter-Ministerial Coordination Committee (IMCC). The Ministry of Forests and Environment and the Ministry of Agriculture and Livestock</p>

Development were the two Nepalese government entities driving the process. The Climate Technology Centre and Network (CTCN) provided technical support and funding.

During seven policy consultation workshops in different cities of Nepal, more than 500 participants of NGOs, civil society organizations, farmer and forest users' associations participated.

**Brief reviewer's description of the outcome (based on OICR report, documents cited, original data collected/interviews and other references) *One paragraph summary***

ICRAF has significantly contributed to the National Agroforestry Policy of Nepal of 2019 and played an important role throughout this entire process. As an institution, ICRAF was considered the "backbone of the policy development process from starting to end". Without ICRAF's contributions, the policy might have come years later, and might have looked different, for example with less focus on deregulation. On the level of individuals, the Director of ICRAF's South Asia Regional Office played a central and pivotal role, inter alia as member of the IMCC

This policy itself has the potential to affect a significant share of Nepal's total land area and of its rural population (see below). The work in Nepal also contributes to ongoing policy and strategy development processes in other countries in the region.

**Analysis**

**Relevance within FTA.** ICRAF's contributions to Nepal's agroforestry policy have high relevance in FTA and CGIAR, contributing to all three SLOs and several IDOs and sub-IDOs related to poverty reduction, nutrition, restoration/avoided deforestation and also to diversification, resilience, and a conducive policy environment (see the program-level self-assessment of effectiveness in Annex 4). On the flagship level, the OICR directly addresses the central problem FP4 aims to address: "Public policy often has contradictory impacts in either reducing or fostering deforestation and degradation of forests and of species-rich landscapes" (FTA 2017a).

**Quality of Science (focus on credibility and legitimacy).** In interviews and documentation of the policy development process, the quality of ICRAF's scientific contributions was perceived as very high. Rather than pointing to individual publications, feedback focused on the overall scientific credibility and academic standing of ICRAF as an institution, and the key ICRAF personnel involved in the policy development process. ICRAF's involvement was considered legitimate because it supported the Nepalese-owned policy process that included broad stakeholder consultations.

**Contribution analysis (ICRAF's contribution to the policy).** According to interviews as well as FTA and external documentation, ICRAF played a critical role in the policy development process. This involvement drove the entire process, shaped elements of the policy, and likely accelerated the policy development process by several years. ICRAF's involvement in 2014 fell on fertile ground as there was a realization in the involved Nepalese ministries that especially the rural-to-urban migration of young Nepalese needed to be addressed. Another important contributing factor was ICRAF's involvement in India's agroforestry policy, both before and after it was launched in 2014. Interviews and document analysis confirm that the Director of ICRAF's South Asia Regional Program played a pivotal role as scientist, networker and facilitator and became the only non-governmental member of the Inter-Ministerial Coordination Committee (IMCC).

**Potential impact of the policy.** Interviews indicate that the Nepalese government has formulated programs and budgets on agroforestry activities in all seven provinces of Nepal, and the annual policy and programs of the Government of Nepal have prioritized agroforestry as one of the priority programs in the country.

In terms of reach, the policy principally covers all land in Nepal suitable for agroforestry. A recent study found that close to 70 percent of the total land area of 147,181 km<sup>2</sup> had a high suitability for trees that was not reached by current tree cover. More than 90 percent of Nepal's irrigated agricultural landscape area had nil trees, although to a large extent potentially suitable for trees. The study identified the land of 862 villages (22 percent of all villages in Nepal) to be highly suitable for integrated agroforestry practices (Ahmad et al 2020).

**Conclusions**  
 This OICR describes ICRAF’s contributions to Nepal’s 2019 agroforestry policy. Additional interviews and document review conducted by the review team confirmed that ICRAF has made a significant contribution to the policy, both in terms of accelerating the policy development process as well as in shaping the content of the policy.

ICRAF’s contributions have been manifold and extended over time. In the words of one interviewee, ICRAF has been “the backbone” of the policy development process from start to end. In addition to financial and scientific support in Nepal since 2014, ICRAF’s earlier work related to India’s 2014 agroforestry policy has played an important role. In addition to financial and scientific support, ICRAF’s reputation and strong relationships on the institutional and personal level have been of critical importance. Much of the success hinged on a single individual and his reputation and skills as scientist, networker and facilitator.

Further observations:

- Cross-cutting issues were systematically underreported in the OICR.
- ICRAF’s reputation was important and the center featured heavily in interviews and documents. In contrast, references to FTA were virtually absent.

## Annex 7.2: OICR Analysis - M&E for Vietnam’s Payment for Forest Environmental Services (PFES)

<b>CRP: FTA</b> <b>OICR: 3481: FTA Research informs the development of a Monitoring and Evaluation System for Vietnam's national Payment for Forest Environmental Services (PFES) system</b>		
CRP Lead: FTA		
Phases of report: New		
Policy contribution: 519 - Support to national Payment for Ecosystem Services policy in Vietnam Innovations: 1522 - Payment for Forest Environmental Services policy learning tool		
Year reported: 2019	Maturity level: 2	# Years of programmatic work: about a decade (GCS REDD+, of which the M&E work is one element, launched in 2009 but CIFOR was active on PFES in Vietnam since 2006)
Geographic location(s): Vietnam		
Populations covered, estimated size and socio-demographic categories (e.g., subsistence farmers, women, adolescents, etc.):  Since 2008, PFES has provided significant funding for forest protection and development throughout the country. A 2018 publication estimated that PFES payments accounted for 22% of government spending on the forestry sector and have helped to protect 55% of the total forest area in the country.		



<b>Key contributors to the outcome</b>	
CGIAR partners: <ul style="list-style-type: none"> <li>• FTA FP5, CIFOR</li> </ul>	
External partners: <ul style="list-style-type: none"> <li>• MARD - Ministry of Agriculture and Rural Development (Vietnam)</li> <li>• VTV - Vietnam Television</li> <li>• Vietnamese government agencies at all levels</li> <li>• Agroforestry stakeholders</li> <li>• USAID (Delta project)</li> </ul>	
<b>Links to the CGIAR Strategic Results Framework:</b>	
Sub-IDs: <ul style="list-style-type: none"> <li>• Land, water and forest degradation (including deforestation) minimized and reversed</li> <li>• Conductive agricultural policy environment</li> </ul>	
<b>FTA contributions to the outcome</b>	
Innovations: 1522 - Payment for Forest Environmental Services policy learning tool (Stage 3)	
Policies: 519 - Support to national Payment for Ecosystem Services policy in Vietnam (Level 2)	
Key CRP publications supporting the OICR:	
<b>Publications cited in OICR document</b>	<b>Reviewer's notes</b>
1. Pham, T. T., Bui, T. M. N., Pham, H. L., & Nguyen, V. D. (2018). The potential of REDD+ to finance forestry sector in Vietnam. CIFOR Infobrief, (226). <a href="https://www.cifor.org/knowledge/publication/6970">https://www.cifor.org/knowledge/publication/6970</a>	CIFOR infobrief (with references) describing the challenges REDD+ faces in Vietnam, arguing for the following measures in order to increase the potential for REDD+ to financially contribute to forestry in Vietnam: <ul style="list-style-type: none"> <li>- better coordination across sectors and amongst donors and government agencies;</li> <li>- enhanced capacity building on the tracking and management of REDD+ finance;</li> <li>- development and effective implementation of REDD+ policies and measures, so that the government can access result-based payments from different international funding sources</li> </ul>

<p>2.  <a href="http://tinyurl.com/ybcohtmd">http://tinyurl.com/ybcohtmd</a></p>	<p>Online news item on the USAID website. Some elements:</p> <ul style="list-style-type: none"> <li>Over the last 10 years, USAID has been supporting Vietnam to develop and implement its national Payment for Forest Environmental Services (PFES) system. Through the PFES system, downstream forest's service users, including hydropower companies, pay upstream communities for protecting watersheds so that those companies have stable water supply to produce electricity. <b>Since 2011, PFES has generated more than \$500 million, which has been paid to thousands of upstream households to protect forests in 44 provinces.</b></li> <li>In order to understand the impact of these payments on forests and communities, over the past year USAID's Vietnam Forests and Deltas Program (VFD) and the Vietnam Forest Protection and Development Fund (VNFF) have <b>developed a comprehensive monitoring and evaluation (M&amp;E) system</b>. In November 2019, VFD successfully rolled out a <b>new web-based M&amp;E platform</b> and <b>trained 50 technical staff from the Lam Dong, Thanh Hoa, and Son La provinces</b> to input 2019 PFES data and use the platform. Developed in partnership with Microsoft and based on input from provincial officers, <b>the platform allows PFES managers to generate automated reports with the click of a button and access data to analyze the impacts of PFES</b>. VFD and VNFF are now working together to <b>finalize M&amp;E guidelines that standardize M&amp;E practices across the 44 PFES provinces</b>. It is expected to be deployed nationwide in 2020.</li> <li>So What? <b>This improved M&amp;E system, together with the approximately \$120 million of domestic resources mobilized annually through the PFES system, will help Vietnam to more effectively manage their natural resources, thereby helping advance Vietnam to the next level of self-reliance in the natural resource management sector.</b></li> </ul> <p>In this news item, CIFOR/FTA/CGIAR are not mentioned.</p>
<p>3.  <a href="http://tinyurl.com/y9yoqn94">http://tinyurl.com/y9yoqn94</a></p>	<p>VNFF website content in Vietnamese, dated July 2018, describes the need for PFES M&amp;E system and mentions CIFOR as one institution supporting the process</p>
<p><b>Other publications</b></p>	
<p>4.  <a href="http://vnff.vn/news/local-news/2018/7/son-la-leads-on-development-and-piloting-pfes-m-e">http://vnff.vn/news/local-news/2018/7/son-la-leads-on-development-and-piloting-pfes-m-e</a></p>	<p>Probably #3 in English but lacks the charts the vietnamese version has.</p> <p>Son La province in Vietnam</p> <p>Describes Son La as one of the first two pilot provinces to implement PFES policy since 2008. Current main issues:</p> <ol style="list-style-type: none"> <li>No monitoring and evaluation mechanism for quality and quantity of PFES;</li> <li>No mechanism for monitoring and evaluating cash flow, whether PFES payments are delivered to the right beneficiaries. Is it used correctly? effective;</li> <li>No mechanism for monitoring and evaluation of impacts on the social, economic and environmental life.</li> </ol> <p>In addition, the policy framework lacks a feedback mechanism between stakeholders: people with state agencies; between the local government and the government and between the state agencies and state agencies.</p> <p>Pilot implementation August/2016 to May/2018 (set up a mechanism, set of indicators and pilot implementation evaluation of PFES) with the support of</p> <ul style="list-style-type: none"> <li>Vietnam Forest and Delta Project (VFD)</li> <li><b>CIFOR</b></li> </ul> <p>The indicator set has been developed and approved with four basic indicators (institutional/policy, environmental, economic and social) and 31 indicators</p>
<p>5.  <a href="http://vnff.vn/news/central-news/2017/4/indicators-">http://vnff.vn/news/central-news/2017/4/indicators-</a></p>	<p>VNFF news, April 2017.</p> <p>Indicators for PFES monitoring and reporting (i.e. a list of 17 indicators in 4 categories is provided)</p>

<a href="#">for-pfes-monitoring-and-reporting</a>	CIFOR is mentioned as an international organization working on these indicators,, together with Pannature.
6. (several reports on earlier work on VNFF website, e.g 2015 workshops)	CIFOR mentioned as supporter and contributor
7. <a href="http://vnff.vn/news/forestry-news/2019/7/vietnam-shared-experiences-in-implementing-the-policy-on-payment-for-forest-environmental-services-with-asean-countries">http://vnff.vn/news/forestry-news/2019/7/vietnam-shared-experiences-in-implementing-the-policy-on-payment-for-forest-environmental-services-with-asean-countries</a>	Forestry news (VNFF website), July 2019 Vietnam shared experiences in implementing the policy on payment for forest environmental services with ASEAN countries CIFOR mentioned as a partner, alongside others.
8. <a href="http://vnff.vn/news/central-news/2018/7/workshop-on-monitoring-and-evaluation-for-pfes-in-vietnam">http://vnff.vn/news/central-news/2018/7/workshop-on-monitoring-and-evaluation-for-pfes-in-vietnam</a>	Central news (VNFF website), July 2018 Workshop on monitoring and evaluation for PFES in Vietnam CIFOR mentioned for sharing experiences from Son La province, as well as in attendance: the workshop was attended by over 40 representatives from VNFOREST, VNFF, FPDFs of 16 provinces and cities and some international organizations USAID, <b>CIFOR</b> , VFD, RECOFTC, PANNATURE, VFD, Green Truong Son and a number of units, individuals, consultants involved.
9. MARLO report: Innovation 1522	Stage: 3 Type: Social Science  This policy learning tool is primarily designed for policy makers and government officers who need to carry out M&E and report on the progress and impact of payment for forest environmental services (PFES) policies. The tool enables learning processes in which information and experience are used to acquire new knowledge on the impacts of a PFES program and opportunities and challenges for PFES implementation.
10. Policy learning tool (case study Vietnam): <a href="https://www.cifor.org/knowledge/publication/7412/">https://www.cifor.org/knowledge/publication/7412/</a>	Website content and comprehensive downloadable report/guide on the policy learning tool.
10. Draft GCS REDD+ "Vietnam Story of Change" (part of an ongoing FTA evaluation effort)	Comprehensive summary of activities and evidence for contributions to change. Because an early draft, only to be used for background information.
<b>OICR relationship with CGIAR cross-cutting issues</b>	
<i>Capacity development:</i> The OICR marks this as zero, but from interviews and other documentation there has been significant capacity development with a range of stakeholder groups (see below). The related policy (MARLO code 519) is rated as principally targeting capacity development.	
<i>Climate change:</i> The OICR marks this as zero, but PFES has very high relevance for climate change. The related policy (MARLO code 519) is rated as principally targeting climate change.	
Gender: The OICR marks this as zero, but from interviews and other documentation the M&E tool was developed with a gender-sensitive approach (e.g. disaggregated data, separate gender	

<p>groups, inclusion of women’s unions). Especially recent work on payment distribution has high relevance for women. The related policy (MARLO code 519) is rated as significantly targeting gender.</p>
<p>Youth: The OICR marks this as zero, but from interviews and other documentation the M&amp;E tool was developed with attention to youth (e.g. inclusion of youth unions). Especially recent work on payment distribution has high relevance also for youth. The related policy (MARLO code 519) is however also rated as not targeting youth.</p>
<p><b>Key implementing organization</b> (e.g. institute, partner): See partners above</p>
<p><b>Partnerships:</b> Key partners ([CRP]’s engagement with each partner, and extent to which partner expectations/needs were met or not)</p> <p>The close engagement with the Vietnamese government at the national, provincial and community level was critical.</p>
<p><b>Brief reviewer’s description of the outcome (based on OICR report, documents cited, original data collected/interviews and other references) <i>One paragraph summary</i></b></p> <p>Within CIFOR’s wider engagement with the forestry sector and PFES in Vietnam since about 2006, the M&amp;E tool responds to the need for evidence and transparency on progress and impact of PFES policies. It has been piloted in some provinces and is part of a national guideline.</p> <p>Effects of the M&amp;E tool on the effectiveness of Vietnam’s PFES policies and related environment and development impacts have not yet materialized but are also only expected to accrue over the next couple of years.</p> <p>A critical “soft” achievement was the generation of government demand for evidence on the effectiveness of current PFES policies. PFES being an object of pride and civil servant career impact initially stood in the way of transparent M&amp;E, especially on sensitive issues such as the distribution of benefits. In this context, CIFOR’s engagement with Vietnam’s state television, with journalists and further outreach activities played an important awareness-raising role.</p>

### Analysis

**Relevance within FTA.** CIFOR's contributions to the M&E tool specifically and to Vietnam's PFES policies in general have high relevance in FTA and CGIAR, potentially contributing to all three SLOs and several IDOs and sub-IDOs related to poverty reduction, nutrition, restoration/avoided deforestation and also to a conducive policy environment. The OICR also contributes directly to PFES and its mapping to FP5 is therefore relevant.

**Quality of Science (focus on credibility and legitimacy).** The review team has not directly assessed the credibility of the listed scientific publications. Indirectly, the close collaboration and reception of CIFOR's contributions point to high credibility and legitimacy.

**Contribution analysis (CIFOR's contribution to the M&E tool).** According to interviews and reviewed documents, CIFOR has been the primary scientific driver behind the development of the present M&E tool. This contribution was enabled by CIFOR's existing track record in Vietnam dating back to 2006, and close professional working relationships between the key individuals involved. A very important "soft" contribution was the careful generation of demand for transparent and evidence-informed M&E with government stakeholders. Among consultations and dialogue, this was achieved through training of more than 100 individuals from sub-national provincial agencies, 30 journalists, and additional trainees from civil society, researchers, and staff of central government agencies.

**Potential impact of the M&E tool.** Effects of the M&E tool on the effectiveness of Vietnam's PFES policies and related environment and development impacts have not yet materialized but are also only expected to accrue over the next couple of years. Potentially, the M&E tool can inform future PFES policies and benefit sharing towards increased overall PFES effectiveness, resulting in nation-wide environmental and livelihood-related benefits.

PFES payments in Vietnam 2011-2020 have almost equaled the total state budget investments (17.580 billion VND) over the same period and the PFES-covered land area has grown to 6.8 million ha by 2020.

### Conclusions

This OICR describes CIFOR's general contributions to Vietnam's PFES policy and its implementation. Specifically, it focuses on the development of a PFES M&E tool, a process largely driven and managed by CIFOR. The tool has been piloted and is now rolled out. Potential impact is expected to begin accruing in several years but may be difficult to establish because the tool is used internally by government agencies, and because of many other factors contributing to PFES policies and their implementation.

Sensitivity to perceptions around M&E of PFES in Vietnam was critical and could be addressed through intense collaboration, trust-based relationships, and by how the tool was designed for internal application by Vietnamese authorities.

Further observations:

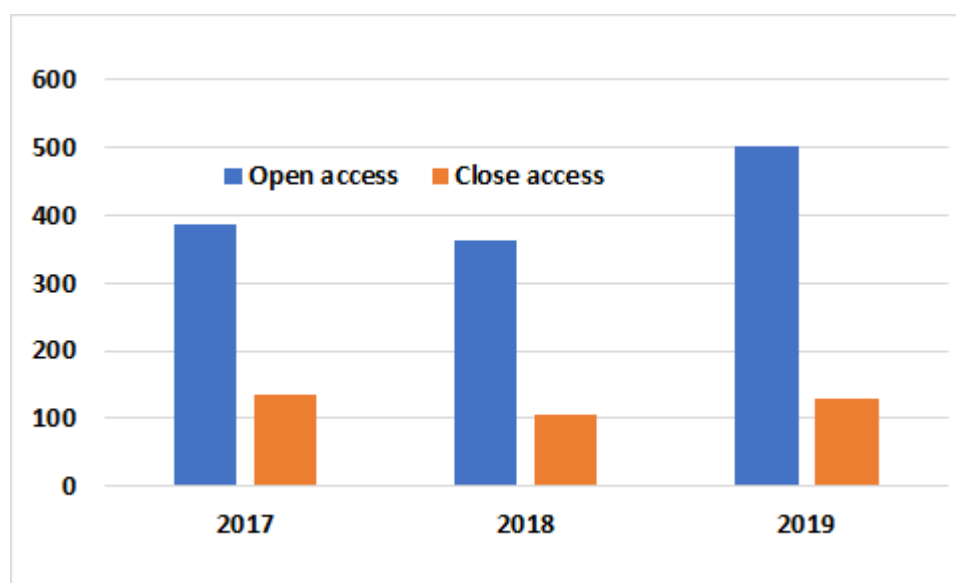
- Cross-cutting issues were systematically underreported in the OICR. In interviews, this was acknowledged and explained by a narrow focus on the degree to which cross-cutting issues had been part of the tool development activities themselves.
- CIFOR's reputation was important and the center featured heavily in interviews and documents. In contrast, references to FTA were less frequent.

## Annex 8: Additional Material Regarding the Quality of Science

### Annex 8.1. Access to FTA Research Products

A vast majority of FTA publications are in open access journals as illustrated in Figure 1. The open access journals are dominated by Institute for Scientific Information (ISI) journals. This is crucial to end users who need access to this scientific information to inform their decision-making process at the policy, technological, technical and field intervention levels.

**Figure 1: FTA open and close access research products**



Source: FTA Annual Reports and publication database 2017–2019, Team analysis

### Annex 8.2. FTA Research Partnerships

The table below the four kinds of FTA research partnerships at the internal (FTA Partners) and external levels (CRP Partners, upstream and downstream research partners).

**Table 3. Examples of FTA Research Partnerships, by Flagship and Gender- as cross-cutting theme**

FP	Lead	FTA Partners	FTA CRP Partners	Examples of Upstream Research Partners	Example of Downstream Research Partners
FP1	ICRAF	Biodiversity-CIAT	RTB, PIM, CCAFS, PIM,	Universities: UC Davis, UC Berkeley, New Hampshire, JHI-UK, UCPH, SRUC, JKUAT, Copenhagen Research: KALRO, IITA, CRIG, IRSG, IUFRO	CNSF, EFCCC, AAK, Mars, Darvis, GIZ, Feed the children- Kenya, AVRDC, FAO, IUCN, Genebank Platform, FOERDIA, World Vision, EEFRI, TMP Systems

FP	Lead	FTA Partners	FTA CRP Partners	Examples of Upstream Research Partners	Example of Downstream Research Partners
FP2	ICRAF	CIFOR, CIRAD, CATIE	A4NH, WLE, GLDC, PIM, CCAFS, RTB	Simulistics, CSIRO, UNEP, INRA, IRD, ASEAN Universities: Reading University, Bangor, SLU, Cornell, Columbia, Adelaide, Makerere, Mekele	FAO, Biovision Government of Andhra Pradesh, Azim Premji Philanthropic Initiatives,
FP3	CIFOR	ICRAF, CIRAD, CATIE, INBAR, Tropenbos	PIM	SEI, EMBRAPA, MPEG, Copernicus Institute, RFF, ISL, Universities/Reserach: Utrecht, Cambridge, Sao Paulo, IIASA, IRSG, IUFRO	GPSNR, FSC, CPF, FAO, GLF, SNV, SVS, UNEP-FI, FAST, IDDR, FSC, RSPO, IMD, GDA, WWF
<b>FP4</b>	ICRAF	CIFOR, Tropenbos, CATIE	WLE, PIM	IUFRO, CBD, ESP, LPFN, Cornell University, CDI	FAO, IUCN, CPF, GCF, CBD, WRI, GPFLR, Aqua Danone, ASEAN, AGN Governments: Gambia, Cameroon, Indonesia, Vietnam, Nepal, Peru, Kenya and Sri Lanka Model Forest Network, Community Forest Institutions
<b>FP5</b>	CIFOR	ICRAF, CATIE, Tropenbos, CIRAD, INBAR,	CCAFS	FAO, CODELT, ICEL, Libelula, IPCC, EII, STA, CCBA, Universities: Wageningen, Helsinki, Bonn, IIASA, IPB, Hawassa, NMBU, Columbia	VNFF, VTV2, GEMA, FAO, UNEP, Governors' Climate and Forests Task Force, Governments: Indonesia, Peru, DRC and Congo DANONE, RSPO, GFCTF, SE4A, CTCN, UN-REDD, GCF, IPAM, SIEJ, TNC, UNFCCC
<b>Gender</b>	Bioversity	CIFOR, ICRAF, CIRAD, CATIE, INBAR, Tropenbos	PIM, WLE, FISH, A4NH, WHEAT, GLDC,	Resource Equity, Fairtrade Universities: Cornell, Toronto, Singapore	UNFCCC, Foundation for Ecological Security, Gender Platform, Genebank Platform, UN Women, IUCN, WRI, RRI, PROFOR,

Sources: FTA Annual Reports 2017–2019, FTA Phase II Report, FTA Website, Team Analysis

## Annex 8.3. Flagship Leaders and Focal Points

Scientists from both ICRAF and CIFOR dominate and lead FTA flagships. The flagship leaders come from different nationalities and disciplines (Table 5.6-1). All the flagship leaders are equally playing leading roles in the implementation of FTA priorities that are under their flagships.

**Table 4. FTA Research Flagship Program Leaders and Priority Focal Points (2019)**

Flagship	Priority	Institution	Gender	Nationality	Discipline
<b>FP1</b>					
Ramni Jamnadass	P3, P4, P19, P25	ICRAF	Female	Kenyan	Biochemistry
<b>FP2</b>					
Fergus Sinclair	P11, P12, P13, P14, P15, P16	ICRAF	Male	British	Agroforestry

Flagship	Priority	Institution	Gender	Nationality	Discipline
<b>FP3</b>					
Michael Allen Brady		CIFOR	Male	Canadian	Forestry
Guillaume Lescuyer	P2, P20	CIRAD/CIFOR	Male	French	Environmental Economics
George Schoneveld	P16	CIFOR	Male	Dutch	Business Economics
Bas Louman	P17	Tropenbos	Male	Dutch	Forestry
Marie Gabrielle Piketty	P18	CIRAD	Female	French	Economics
<b>FP4</b>					
Peter Minang	P1, P9, P22	ICRAF	Male	Cameroonian	Geographer
<b>FP5</b>					
Christopher Martius	P5, P6, P7, P8	CIFOR	Male	German	Biology
<b>Other Priorities</b>					
Marlene Elias	P10	Biodiversity	Female	Canadian	Geography
Vincent Gitz	P23	CIFOR	Male	French	Land Use / Climate Policy
Federica Coccia	P21	CIFOR	Female	Italian	Development Economics
			F=4/M=8		

Table 5.6-2 shows that FTA scientists and collaborators have published scientific articles in some of the most reputable journals in the world (e.g. Nature and Science), with very high impact factors. Most of the articles are of medium to high significance or relevance to FTA. However, a very few numbers of the articles from the CGIAR dashboard and bibliometric analysis could not be directly attributed to FTA scientists or financial/technical support.

## Annex 8.4. Significant Journal Article Publications

**Table 5. Significant Journal Article Publications by Bibliometric or Altmetric Scores**

Article Title	Journal/Year	FTA Authors/Contribution	FP	Significance/Relevance to FTA
<b>Top 10 citations from 2017–2019 (Bibliometrics)</b>				
A New Subfamily Classification of the Leguminosae Based on A Taxonomically Comprehensive Phylogeny	Taxon, 2017	Dumini J	FP1	Medium



Article Title	Journal/Year	FTA Authors/ Contribution	FP	Significance/ Relevance to FTA
Capacity Shortfalls Hinder the Performance of Marine Protected Areas Globally	Nature, 2017	Coad L	FP4	High
Recent Loss of Closed Forests Is Associated with Ebola Virus Disease Outbreaks	Scientific Report, 2017	Fa JE, Gaveau D, Salim MA, Sheil D; Nasi R	FP4	High
Coupling of Pollination Services and Coffee Suitability Under Climate Change	Proceedings of the National Academy of Sciences, 2017	Imbach P; Fung E; David W. Roubik, Navarro-Racines CE; Läderach P; Locatelli B	FP5	High
Trees, Forests and Water: Cool Insights for A Hot World	Global Environmental Change, 2017	Locatelli B; Murdiyarso D; Van Noordwijk M	FP4, FP5	High
Persistent Effects of Pre-Columbian Plant Domestication on Amazonian Forest Composition	Science, 2017	No CGIAR-FTA authors; work acknowledged support from Tropenbos International	FP1	High
Fungal Diversity Notes 491-602: Taxonomic and Phylogenetic Contributions to Fungal Taxa	Fungal Diversity, 2017	Tibpromma S; Senanayake IC; Hyde Kd; Phookamsak R; De Silva NI; Phukhamsakda C; Wanasinghe Ic; Goonasekara ID	FP1	Medium
A Spatial Overview of The Global Importance of Indigenous Lands for Conservation	Nature Sustainability, 2018	Fa JE	FP4	High
Diversity and Carbon Storage Across: The Tropical Forest Biome	Scientific Report 2017	Sunderland T; Sheil D; Balinga M; Priyadi H	FP5	High
The Effectiveness of Payments for Environmental Services	World Development, 2017	Boerner J; Ezzine-De-Blas D; Wunder S	FP5	High
<b>Top 10 Altmetrics from 2019 (if not included above)</b>				
Biodiversity Recovery of Neotropical Secondary Forests	Science Advances, 2019	Moser VG	FP4	High
Extinction Filters Mediate the Global Effects of Habitat Fragmentation on Animals	Science, 2019	Somarriba E	FP4	High
The Future of Blue Carbon Science	Nature Communication	Murdiyarso D	FP5	High
Widespread Shortfalls in Protected Area Resourcing Undermine Efforts to Conserve Biodiversity	Frontier in Ecology and the Environment, 2019	Coad L	FP4	High
Wet and Dry Tropical Forests Show Opposite Successional Pathways in Wood Density but Converge Over Time	Nature Ecology & Evolution, 2019	Álvarez FS; Finegan B; Moser VG; Utrera LP	FP4	High

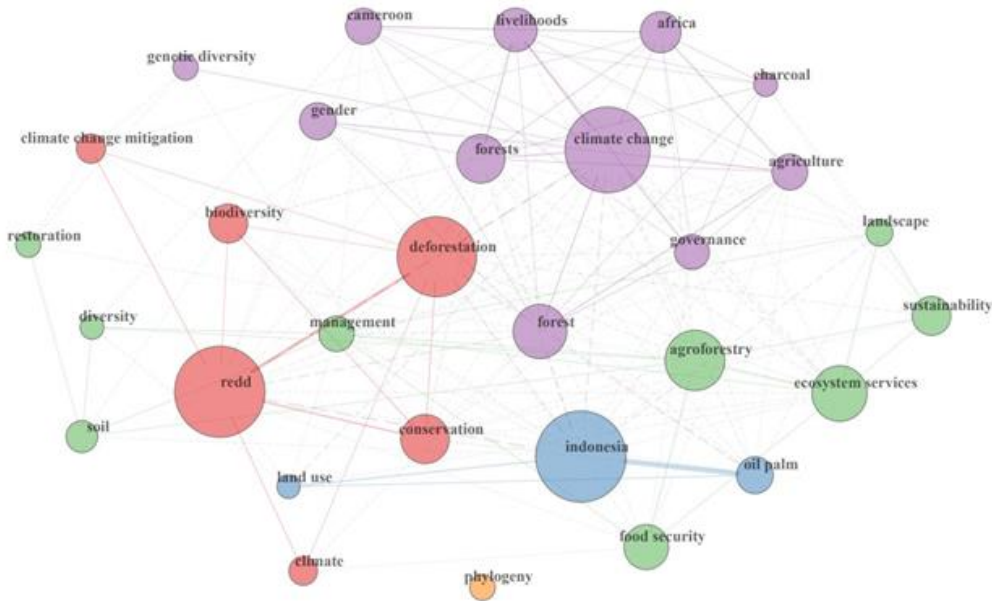
Article Title	Journal/Year	FTA Authors/ Contribution	FP	Significance/ Relevance to FTA
The Climate-Smart Agriculture Papers	Springer (Book), 2019	Rosenstock TS; Nowak A	FP5	High
Poverty Eradication and Food Security Through Agriculture in Africa: Rethinking Objectives and Entry Points	Outlook on Agriculture, 2019	Gassner A; Mausch K; Terheggen A; Finlayson RF; Dobie P	FP4	High
The Life History of Human Foraging: Cross-Cultural and Individual Variation	bioRxiv, 2019	Van Vliet N	FP4	Medium
The Forest Observation System, Building A Global Reference Dataset for Remote Sensing of Forest Biomass	Scientific Data, 2019	Sist P; Réjou-Méchain M; Blanc L; Derroire G; Hérault B; Amani C;	FP4	High
Effect of Land-Use and Land-Cover Change on Mangrove Blue Carbon: A Systematic Review	Global Change Biology, 2019	Clendenning J; Murdiyarso D	FP5	High
<b>Top 10 Altmetrics from 2018 (if not included above)</b>				
Global Demand for Natural Resources Eliminated More Than 100,000 Bornean Orangutans	Current Biology, 2018	Gaveau D	FP4	High
Assessing Africa-Wide Pangolin Exploitation by Scaling Local Data	Conservation Letters, 2018	Coad L	FP4	High
The Role of Supply-Chain Initiatives in Reducing Deforestation	Nature Climate Change, 2018	Pacheco P	FP3	High
Phylogenetic Classification of the World's Tropical Forests	Proceedings of the National Academy of Sciences, 2018	Anitha K; Laumonier Y	FP1	Medium
Carbon Stocks of Mangroves and Salt Marshes of the Amazon Region, Brazil	Biology Letters, 2018	Kauffman JB	FP5	High
Forests, Atmospheric Water and An Uncertain Future: The New Biology of the Global Water Cycle	Forest Ecosystems, 2018	Shield D	FP4	High
An Assessment of the Threats to Terrestrial Protected Areas	Conservation Letter, 2018	Coad L	FP4	High
A Global Analysis of Management Capacity and Ecological Outcomes in Terrestrial Protected Areas	Conservation Letter, 2018	Coad L; Brooks TM	FP4	High
Major Shift in Amazon Wildlife Populations from Recent Intensification of Floods and Drought	Conservation Biology, 2018	No CGIAR-FTA authors; work acknowledged support from CIFOR (CGIAR-FTA)	FP5	High
<b>Top 10 Altmetrics from 2017 (if not included above)</b>				
Data Acquisition Considerations for Terrestrial Laser Scanning of Forest Plots	Remote Sensing of Environment, 2017	Herold M	FP5	Medium

Note: Year of publication can change depending on date of online vs print publication. The PMU relies on how these publications are entered in institutional repositories and/or appears in Web of Science at the time of reporting to CGIAR in the annual report.

Source: Bibliometric analysis of citations for FTA publications, 2017-2019; CGIAR Dashboard website for articles with top 10 altmetric scores from 2017 and 2018; FTA annual report for articles with top ten altmetric scores in 2019. Altmetric scores reflect time when articles are reported to CGIAR.

### Annex 8.5. FTA Keyword Co-Occurrences

Figure 2. FTA Author Keyword Co-Occurrence



### Annex 8.6. FTA Top Journal Articles Publishers

Table 6. Researchers with the Greatest Number of Journal Articles among FTA Publications

Researcher	Gender	Articles	H Index	Researcher	Gender	Articles Fractionalized	Average no. of Co-authors
XU.J	M	42	47	XU J	M	6.80179	5.17
HYDE.KD	M	24	93	BARAL H	M	4.5004	3.44
SUNDERLAND.T	M	22	32	SUNDERLAND T	M	3.68534	4.97
HEROLD.M	M	21	52	HYDE KD	M	3.21861	6.46

BARAL.H	M	20	15	HEROLD M	M	2.97814	6.05
LOCATELLI.B	M	17	23	LOCATELLI B	M	2.9617	4.74
MORTIMER.PE	M	17	27	THOMAS E	M	2.80238	4.00
KARUNARATHNA.SC	M	16	24	VAN VLIET N	F	2.775	1.88
BROCKHAUS.M	F	14	25	NASI R	M	2.76624	4.06
MURDIYARSO.D	M	14	37	GUARIGUATA MR	M	2.71835	2.68
NASI.R	M	14	32	VAN NOORDWIJK	M	2.70819	2.32
THOMAS.E	M	14	15	VAAST P	M	2.48571	3.83
FA.JE	M	13	28	BROCKHAUS M	F	2.42302	4.78
LARSON.AM	F	13	22	LARSON AM	F	2.39841	4.42
MARTIUS.C	M	13	27	WUNDER S	M	2.37302	3.64

## Annex 8.7. Most Frequent Used Keywords in FTA Articles

**Table 7. Keyword Frequencies for 30 Most Frequently Used Keywords in FTA Journal Articles, 2017–2019**

Author Keywords (DE)	Articles	Keywords-Plus (ID)	Articles
CLIMATE.CHANGE	41	CONSERVATION	101
REDD	41	MANAGEMENT	80
INDONESIA	40	FOREST	61
DEFORESTATION	34	BIODIVERSITY	58
AGROFORESTRY	23	CLIMATE.CHANGE	53
ECOSYSTEM.SERVICES	22	DEFORESTATION	44
FOREST	22	AGRICULTURE	42

LIVELIHOODS	20	DIVERSITY	42
CONSERVATION	18	GOVERNANCE	42
FORESTS	18	LAND.USE	41
OIL.PALM	18	ECOSYSTEM.SERVICES	39
SUSTAINABILITY	16	POLICY	35
FOOD.SECURITY	15	FORESTS	34
GENDER	15	LIVELIHOODS	32
AGRICULTURE	14	DYNAMICS	31
GOVERNANCE	14	BIOMASS	30
AFRICA	13	SYSTEMS	30
BIODIVERSITY	13	CARBON	24
CAMEROON	13	GROWTH	24
MANAGEMENT	12	LAND	24
CLIMATE.CHANGE.MITIGATION	11	EMISSIONS	23
PHYLOGENY	11	TREE	23
ADAPTATION	10	AFRICA	22
LAND.USE	10	CLIMATE	22
LANDSCAPE	10	IMPACTS	22
MITIGATION	10	PATTERNS	22
SOIL	10	REDD.PLUS	22
TAXONOMY	10	SUSTAINABILITY	22
AMAZON	9	LESSONS	21
CLIMATE	9	ADAPTATION	20

Source: CAS bibliometric analysis of 675 FTA journal articles using information from the Web of Science.

Notes: Author keywords are those specified by the author. "Keywords plus" are automatically generated by Web of Science based on words that frequently appear in the titles of an article's references but do not appear in the title of the article itself.

# Annex 9: Independent Steering Committee (ISC) Analysis

## Annex 9.1: ISC Attendance Analysis

**Table 4. Attendance Analysis of the Independent Steering Committee**

Date	April 11, 2017	June 27 and 29, 2017	14 November, 2017	27 February, 2018	20 March, 2018	8 January 2019	28 January 2019	4 November 2019
Type of meeting	virtual	in person (Rome)	virtual	virtual	virtual	virtual	virtual	in person (Rome)
#	5/9	7/9	6/9	7/9	8/9	9/9	8/9 (9/9)	9/9
Independent members (1=attending, 0=excused, (1)=excused but written/oral input before the meeting)								
Anne-Marie Izac (chair)	1	1	1	1	1	1	1	1
Florencia Montagnini	1	1	1	1	1	1	1	1
Joyeeta Gupta	0	0	1	0	1			
Yemi Katerere	0	1	1	1	1	1		
Linda Colette						1	1	1
Susan Braatz						1	(1)	1
Richard Muyungi							1	1
Institutional members (1=attending, 0=excused, (1)=excused but written/oral input before the meeting)								
CIFOR, Peter Holmgreen → Robert Nasi	1	1		1	1	1	1	1
CG partners Ravi Prabhu → Stephan Weise	1	1	0	1	1	1	1	1
Non-CG partners Allain Billand → Rene Boot	0	1	1	1	1	1	1	1
FTA Director, Vincent Gitz	1	1	1	1	1	1	1	1

Source: ISC meeting minutes, FTA MSU, team analysis.

## Annex 9.2: Independent Steering Committee (ISC)

The following is cited (and slightly reformatted) from the Terms of Reference (ToR) and Rules of Procedure (RoP) of the ISC (FTA FTA 2017c and 2016, respectively).

ISC's specific responsibilities by key functions:

1. Strategic programmatic oversight
  - a. Works with the Lead Center DG to design and implement a transparent recruitment process for the FTA Director that is in the best interests of FTA, and assesses annually the performance of the FTA Director, working closely with the Lead Centre DG.
  - b. Reviews the rules, criteria and processes for the selection of FP and CCT leaders.
  - c. Approves strategic priority setting and performance-based processes for FTA programming and planning, and oversees their implementation.
  - d. Approves the process for inclusion of projects and activities into FTA, ensuring coherence with FTA's strategic directions, and oversees its implementation.
  - e. Reviews any multi-year CRP renewal proposal (the next one is expected in 2022), if need be providing inputs/requesting improvements to the document, and thereafter recommends it to the BoT for approval.
  - f. Provides guidance to the elaboration by FTA management of contingency plans to manage major risks, including financial uncertainties, in the execution of the POWB.
  - g. Ensures that advice and direction from the relevant CGIAR System entities are considered in FTA planning and implementation.
2. Monitoring FTA's delivery
  - a. Reviews FTA's Annual Report before publication.
  - b. Reviews the performance of FTA Flagship Programmes and participating partners.
  - c. Assesses the performance of the FTA Director on an annual basis in close coordination with the DG of CIFOR who is the direct supervisor of the FTA Director for all administrative issues.
  - d. Assesses the performance of ISC and its Chair according to a process designed by ISC.
  - e. Commissions specific external reviews on the above points, as appropriate.
3. Overseeing and strengthening FTA partnerships
  - a. Oversees the development and implementation of the partnership strategy of FTA, including the criteria for selecting FTA strategic partners and engagement rules of FTA's partners.
  - b. Makes recommendations to the BoT on modifications of the set of FTA strategic partners, based upon performance review and/or strategic programmatic and impact opportunities.
  - c. Recommends modification or termination of a Program Participant Agreement (PPA) if an FTA partner is in breach of its responsibilities.
4. Reviewing the FTA POWB and allocations of CGIAR and/or other program-level resources
  - a. Reviews the annual Program of Work and Budget (POWB) prepared by FTA management, if need be requesting improvements and recommends it to the BoT for approval.
  - b. Recommends to the BoT, based upon an analysis and a proposal by the Management Team, the yearly internal allocation of CGIAR and/or other program-level funding, resulting from the recommended POWB. The objective pursued is to align program-level resources with the priorities identified through the priority setting process, taking into account, if relevant, the performance of programme components.

### **FTA Management Team (MT)**

The following is cited (and slightly reformatted) from the Terms of Reference (ToR) of the FTA Management Team, approved 27 March 2019 (FTA 2019a).

**Key functions.** The management team is collectively responsible for defining the program's strategy and objectives, and ensuring that the objectives are met, under the oversight of the ISC.

The MT fulfills the following functions:

**1. Definition of strategic orientations**

- The MT defines the program's strategy and objectives, following the guidance provided by the ISC. It reviews as appropriate the strategies, theory of change and contributions to the IDOs and subIDOs of the CGIAR. It submits such strategic orientations to the ISPC for its consideration.

**2. Program level planning and reporting**

- The MT prepares and oversees the planning of the program. It defines work priorities in order to fulfill the objectives of the program given available common and bilateral resources.
- The MT prepares the annual Program of Work and Budget (POWB), including the allocations of W1-W2 funds, for submission to the ISC.
- It reviews the new bilateral projects proposed for inclusion in the program, ensuring that they fulfill minimal criteria of quality and relevance and make recommendations to the ISC.
- The MT prepares the annual report of the program for submission to the ISC.
- The MT oversees the communication strategy.

**3. Managing program performance and quality of research**

- The MT manages program performance and quality of research.
- The MT oversees the delivery of the program. It monitors periodically the delivery of the program, using the traffic light reports informed by project managers and FP leaders.
- The MT oversees the quality of the research conducted in the program and its impact.
- The MT selects the FP leaders among the candidates proposed by the managing partners and program participants.
- The MT oversees the achievement of the program performance standards. It prepares the rules, criteria and process relative to their assessment and monitors performance.

**4. Catalysing internal and external partnerships**

- The MT ensures complementarity and coherence across Centers, CRPs and partners through strategic planning and facilitation.
- It facilitates coordination of activities between FPs and between partners in order to strengthen synergies.
- It supports coordination with other CRPs.
- The MT supports the coordination and organization of FTA processes or events whenever needed, e.g. information sharing, access to documents, science meetings, etc.



# Annex 10: The Nicaragua/Honduras Sentinel Landscape and Subsequent Impact

## Forests, Trees and Agroforestry outcome stories: Pathways to impacts in the management of trees on farms in the Nicaragua-Honduras Sentinel Landscape

Case brief by Eduardo Somarriba, CATIE. Turrialba, Costa Rica, 03 November 2020

In 2021 FTA established a global network of selected territories or Sentinel Landscapes (SL) to serve as long term observatories that will help us understand and better manage the presence of forests and trees on farms in the landscape. The SL network included a bi-national SL in northern Nicaragua and Honduras (NHSL), with CATIE as local, boundary organization, responsible for the animation and coordination of the initiative.

The SL initiative provided the inspiration and leverage that resulted in the approval of a new Project with IKI funding (IKI-TonF Project, TonF standing for Trees on Farm for biodiversity conservation...and improved livelihoods) aimed at helping the Honduran government to demonstrate to the CBD its efforts to conserve biodiversity by properly using the trees present on farm land.

In close contact with both ICF (Instituto Nacional de Conservación y Desarrollo Forestal), MiAmbiente-DIBIO (Ministry of Environment, National Biodiversity Directorate), and the livestock sector (Mesa Nacional de Ganadería Sostenible, MNGS, representing all stakeholders in the livestock sector) FTA and IKI-TonF joined forces to generate impacts in two major pathways:

- 1) A "political" pathway that takes the science-based data (evidence of presence, roles and values of TonF), technologies (remote sensing, drone technology and software) and results provided by the FTA/IKI-TonF alliance, and make TonF in the Catacamas landscape (part of NHSL) visible and official, by including a new element in SIGMOF, ICF's national information system for forests and natural resources of Honduras, depicting TonF data. SIGMOF data is used by all government departments when preparing national or international reports. TonF data in SIGMOF will be used as the basis for the preparation of MiAmbiente-DIBIO's report to CBD.
- 2) A "livelihoods" pathway. TonF will be retained by farmers as long as they contribute to their livelihoods and provide key ecological services (for instances, in Catacamas, cattle ranchers clearly associate the presence of trees with the conservation of water, which is critical for animal production). Cattle ranchers plant trees in their fences, farm boundaries and along internal roads; the same rancher actively remove trees dispersed in the paddocks when tree canopy cover reaches around 15-20% of the pastureland. The national livestock strategy recommends improving live fences as a means to improve the performance of cattle ranches. The alliance FTA/IKI-TonF partnered with both MNGS and CATIE's team in charge of the preparation of a NAMA-Livestock project to steer the sector to a low carbon, sustainable, development pathway. A set of best practices is being prepared, to be available to ranchers willing to implement these innovations in their ranches. The Honduran Government, the NAMA initiative and the national banking system will provide the political (e.g. improve framework to ease the harvest of farm timber), financial and technical support provided. FTA/IKI-TonF provides science-based data, drone-based and Artificial Intelligence technology for understanding interactions between trees, pastures and animals, and new concepts and models to construct a Manual of Options for cattle ranchers to optimize the provision of valuable goods and ecosystem services from live fences and other linear tree features in livestock farms.

# Annex 11: CGIAR Advisory Services Conflict of Interest Statement for Reviewers and Evaluators

## Introduction

The CGIAR Advisory Services provide the CGIAR with external, impartial and expert advice related to strategic planning and positioning, program evaluation and impact assessment. The independent Advisory Services comprise:

- The Independent Science for Development Council (ISDC) <sup>4</sup>;
- The Standing Panel on Impact Assessment (SPIA) <sup>5</sup>;
- And evaluation workstream that implements the CGIAR System's multi-year evaluation plan <sup>6</sup>.

The CGIAR Advisory Services Shared Secretariat (CAS Secretariat) facilitates and supports these independent advisory services, delivering operational support to ISDC and SPIA and executing the System's multi-year evaluation workplan.

The ISDC is a standing panel of impartial, world-class scientific experts providing rigorous, independent strategic advice to the CGIAR System Council and other stakeholders. The ISDC contributes to the strategic and portfolio planning and positioning of CGIAR. It produces foresight work and horizon scanning that informs CGIAR's longer-term research strategy. Emerging from the foresight and horizon scanning efforts, ISDC supplies System Council with advice on its priority setting exercises and provides guidance for periodic proposal assessment processes.

The Standing Panel on Impact Assessment (SPIA) is an external, impartial panel of experts in impact assessment that is responsible for providing rigorous, evidence-based, and independent strategic advice to the broader CGIAR System on efficient and effective impact assessment methods and practices, including those measuring impacts beyond contributions to science and economic performance, and on innovative ways to improve knowledge and capacity on how research contributes to development outcomes.

The evaluation unit in the CAS Secretariat manages and supports external evaluations which aim to provide accountability, support to decision making, and lessons for improving quality and effectiveness of agricultural research for development outcomes.

To fulfill its mandate, the Advisory Services work with a wide range of partners inside and outside CGIAR. It is imperative that the Advisory Services are, and are seen to be, independent and objective. If their independence and objectivity are compromised, the quality of their advice is reduced and trust in the Advisory Services' advice is lost.

Conflicts of interest (CoI) associated with Reviewers or Evaluators working with the Advisory Services could compromise, or be perceived to compromise, the Advisory Services' independence and objectivity.

## What Is A Conflict of Interest?

A general legal definition of a conflict of interest is: *a set of circumstances that creates a risk that professional judgment or actions regarding a primary interest will be unduly influenced by a secondary interest*<sup>7</sup>. Expressed more simply, a conflict of interest is: *A situation that has the potential to undermine the impartiality of a person because of a clash between personal interest and professional or public*

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<sup>4</sup> [https://storage.googleapis.com/cgiarorg/2018/10/TOR-ISDC\\_Approved\\_04Oct2018.pdf](https://storage.googleapis.com/cgiarorg/2018/10/TOR-ISDC_Approved_04Oct2018.pdf)

<sup>5</sup> <https://storage.googleapis.com/cgiarorg/2018/10/TOR-SPIA-Approved-4Oct2018.pdf>

<sup>6</sup> <https://storage.googleapis.com/cgiarorg/2018/10/TOR-SharedSecretariat-Approved-4Oct2018.pdf>

<sup>7</sup> Lo & Field (2009), *Conflict of interest in medical research, education and practice*, National Academies Press (US); originally from Thompson (1993), *Anti-discriminatory Practice*, Macmillan 179pp.

*interest*<sup>8</sup>. At its most basic, this could be expressed as: *A situation in which an individual has competing interests or loyalties*<sup>9</sup>.

A conflict of interest may be *actual* (it exists), *potential* (it might develop into one) or *perceived* (it may be considered to exist by others).

It is well recognized that with respect to an organization having the size and complexity of the CGIAR, it would be very difficult to completely avoid all conflicts of interest. Hence, potential and actual CoIs must be effectively managed.

The aim is therefore to ensure that any potential CoIs are made open and transparent, and that processes are managed to take declared interests into account. No policy can account for every eventuality; it is the responsibility of all individuals working with the Advisory Services to declare any unforeseen associations which could be perceived as a conflict.

## **Potential Conflicts of Interest**

Conflicts of interest can be of a personal, institutional, scientific, political or ethical nature. In these, an individual is compromised by their loyalty to individuals (themselves, family members, or friends), institutions (former students or colleagues), scientific interests or political/ethical allegiance.

The potential benefit or gain accrued may be obvious, such as financial reward or employment, or subtler, such as reputational gain or access to privileged knowledge. The 'benefit' might also be negative, in the sense that a grievance or dislike is reflected by a negative opinion.

In the specific context of Reviewers or Evaluators working with the Advisory Services, common examples of when conflicts of interest may arise include:

- Reviewing proposals from, or including, family members, friends, colleagues, employers, former colleagues, former employers, competitors of current or former colleagues or employers;
- Evaluating projects/programs/proposals in which family members, friends, colleagues, employers, former colleagues, former employers, competitors of current or former colleagues or employers are involved.

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<sup>8</sup> BusinessDictionary.com (2015)

<sup>9</sup> About.com (2015)

## Conflict of Interest Statement

1. Main employer and any other organization that provides you with remuneration (which may be named participants in the project/program/proposal you are being asked to review/evaluate)

Please provide details:

2. Are you aware whether a relative, close friend, close colleague or someone with whom you have financial ties is receiving funding from or giving advice to a project/program/proposal you are being asked to review/evaluate?

Yes/No

If Yes, please provide brief details:

3. Does any project/program/proposal you are being asked to review/evaluate cite any of your own current research?

Yes/No

If Yes, please provide brief details:

4. Does any project/program/proposal you are being asked to review/evaluate name researchers with whom you have active collaborations, recently published joint papers or are in regular email correspondence?

Yes/No

If Yes, please provide brief details:

5. Does any project/program/proposal you are being asked to review/evaluate name any of your past PhD students are active participants?

Yes/No

If Yes, please provide brief details:

**Declaration:** I declare that the information provided on this statement is true and complete.

**Name:**

**Signed:**

**Date:**





Advisory  
Services

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