RESEARCH PROGRAM ON
Forests, Trees and Agroforestry
CGIAR

FTA Evaluation

FTA Management Response and Action Plan

Preamble

FTA Management welcomes the opportunity to respond to the independent evaluation of the program. The evaluation report (one main report, 156p and two volumes of annexes) was presented on July 26, 2014 to the Lead Center BOT Chair who asked the FTA Director to prepare a coordinated response to be approved and sent by the Lead Center BOT on September 1, 2014.

The Management Response (the present document) has been prepared through a consultative process involving the Lead Center BOT, the FTA Steering Committee, Flagship Projects and Cross-Cutting Themes coordinators, Senior Leaderships of CGIAR Centers and program partners under the guidance of the FTA Director.

A. OVERALL RESPONSE TO THE EVALUATION
(In this section FTA Management presents its overall views on the report and its conclusions)

FTA management is, overall, pleased with the results of the evaluation and would like to congratulate the evaluation team and the IEA management for their professionalism, transparency and willingness to dialogue over the last 12 months.

We concur with most findings and recommendations in this report, a number of which are already reflected in the evolving structures and practices of FTA program partners.

This evaluation is a very comprehensive and constructive analysis of the strength and weaknesses of FTA but clearly recognizes the high relevance of our work and the need to continue FTA as a program. Our response to the 12 recommendations is detailed in the narrative below and in the action plan table. There is therefore no need to elaborate further in this section.

If there is one thing we regret about this evaluation, it is the mechanistic nature of the process given to develop a management response to the evaluation. We have been given only four weeks to confer and submit our response to it. Given the depth and breadth of the

analyzes, we believe that it would have been very beneficial to plan for a space for dialogue post-final report between the FTA management and the Evaluation team in order to fully benefit from the immense work put into this evaluation.

B. RESPONSE TO REPORT RECOMMENDATIONS (Narrative)

FTA as an important program response to global challenges

Humankind has made significant progress regarding SLO's 1, 2 and 3. Overall food production has increased, hunger has been reduced and nutrition and health largely improved thanks in part to CGIAR research. Admittedly, this is not enough and there are still too many poor, malnourished and hungry people, but progress has been made. Unfortunately most of this progress has been achieved at the expense of natural resources. A continuation of this trajectory threatens the very basis on which future food systems and environmental services depend. The economic value equivalent of the loss of natural capital due to agricultural expansion and intensification may exceed the gains made through agricultural production.
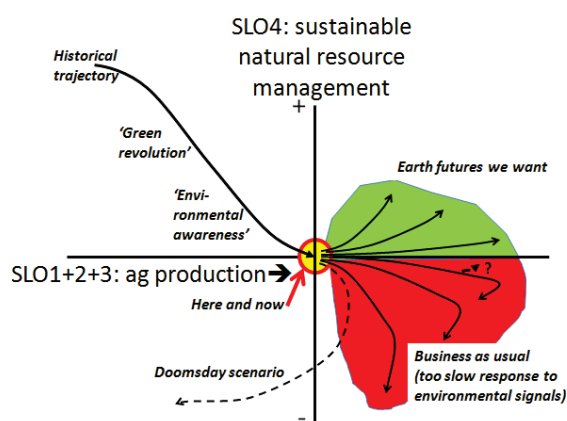
An estimated 1.6 billion people depend in part or fully on forests and tree resources for their livelihoods. More than 800 million (30% of the global rural population) live in the 9.5 million km2 of agricultural lands (45% of total area) with >10% tree cover; 180 million in the 3.5 million km2 agricultural lands with >30% tree cover; and about 350 million within or near 40 million km2 of dense forests. In 2015 world leaders will agree on a set of Sustainable Development Goals (SDGs) and set targets for simultaneous progress on poverty reduction, security of water, energy, food, diet and nutrition, climate resilience, livelihoods, governance and gender equity. They are also expected to come to a new climate agreement. Forests, trees and agroforestry (FT&A), and their integration at the landscape scale, are key to progress on all these counts. FTA conducts research that enables continued improvement and better integration of forest and agricultural production while protecting and enhancing the resource base, shifting the historical trajectory away from a "doomsday scenario" of production and environmental collapse (Fig. 1). Via its six IDOs, FTA makes a major contribution to SLO4, adding a critical sustainability dimension to support progress in the other three SLOs. FTA will contribute to the achievement of several of the post-2015 SDGs

The overarching aim of FTA is to conduct research that will enable continued improvement and better integration of agricultural and forest production while protecting and enhancing

the resource base, shifting the trajectory to avoid a "doomsday scenario" where production and environmental integrity collapse for the benefit of developing countries. FTA will make a major contribution to SLO4 and add a critical sustainability dimension to support progress in the other three SLOs. We will also contribute to the achievement of several of the post-2015 SDGs.

We take encouragement from the conclusion that "*The Evaluation Team finds that FTA's overall objectives are highly relevant, especially from the global public goods perspective. The objectives of program components and cross-cutting activities, such as Sentinel Landscapes and Gender, are also relevant. Overall, there is strong demand for a program like FTA and for the research carried out by FTA Participant Institutions. FTA's objectives and its research agenda are aligned with the SRF vision, relevant Millennium Development Goals (MDGs) and draft Sustainable Development Goals (SDGs), as well as with objectives of related global agreements and programs. FTA objectives also clearly cater to the overall objectives the CGIAR has set itself, the common Intermediary Development Outcomes (IDOs) and the CGIAR systems four System-Level Outcomes (SLOs).*"

We strongly believe in the relevance of and the need for a program such as FTA and are squarely positioning ourselves with a long term horizon for our program.

Detailed response recommendation by recommendation

In the remaining part of this section we will be addressing in detail our take on the 12 recommendations as presented in the volume I of the evaluation.

Recommendation 1. The Evaluation Team recommends that FTA's program and component-level objectives continue to be pursued programmatically because of their high global relevance. Several adjustments must be made to address emerging research themes, ensure better integration of forestry issues into the broader development agendas, and better balance current research priorities geographically.

This recommendation is addressed to: the Fund Council, the Consortium Board and their offices, the FTA Lead Center and its Board, and all other FTA Participant Institutions.

Key elements ("must have's"):
- *FTA is continued as a program and continues to receive funding from the CGIAR programmatic funding windows 1 and 2.*
- *FTA further increases its research focus on:*
  - *Africa as a whole (i.e. less relative spending on South East Asia after verification of country spending data), and dry zones everywhere in the developing world;*
  - *transformational change in the "green economy" context, addressing economic factors linked to a low carbon economy and the delivery of environmental services;*
  - *extra-sectoral drivers of deforestation and forest degradation e.g. linked to agriculture sector, including sustainable production and consumption supply chains, and opportunities related in particular to water and bio-energy; and*
  - *linking this research more effectively to those development agendas – often beyond the forest sector - appropriate for each component.*

FTA management welcomes this recommendation and is pleased to see that the value of continuing to pursue FTA's program and component (Flagship) level objectives as a single coherent program is recognized. We can only fully agree with the crucial importance of the steady flow of windows 1 and 2 funds but must also warn that for the foreseeable future these funds will not be sufficient to achieve the said objectives and FTA management will have to rely on window 3 and bilateral funds for a great part of its activities.

Regarding the question of the apparent geographic bias, we had already indicated in our response to the draft report that this was likely an artefact of the presence of the CIFOR (Lead Center) Headquarters and the largest ICRAF Regional Office in Indonesia. The map below shows the planned number of FTA milestones (outputs) for 2014 and shows clearly concentration sectors and priority countries.

FTA Milestones
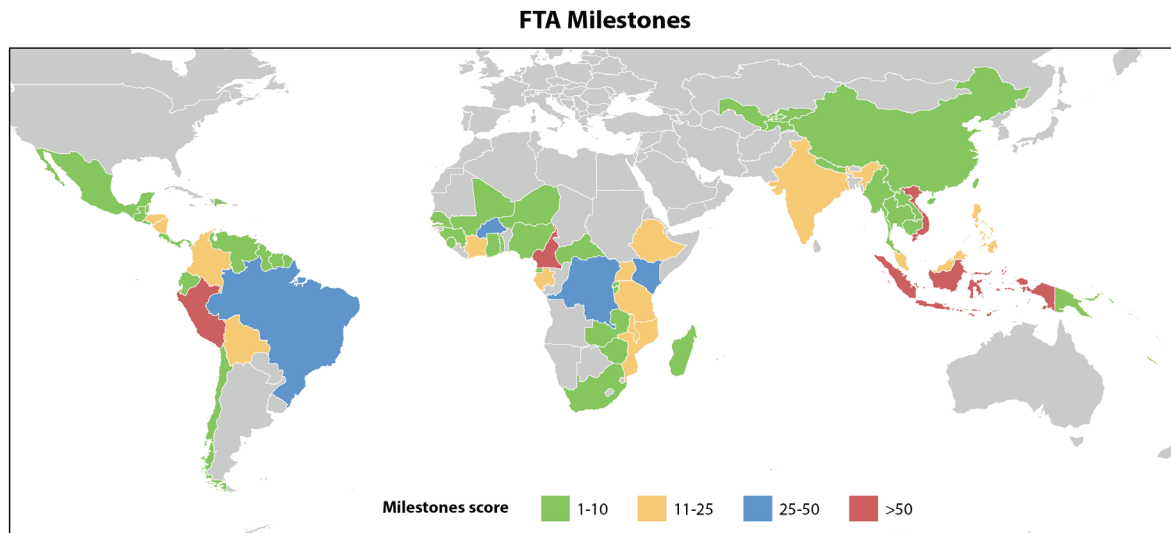
Asia (ca 30%), Latin America (<20%). FTA is currently operating in 18 countries in SSA representing all the major biomes of the Continent both dry and humid (Sudanian woodlands, Guineo-Congolian rainforests, Zambezian woodlands, Afromontane highlands)
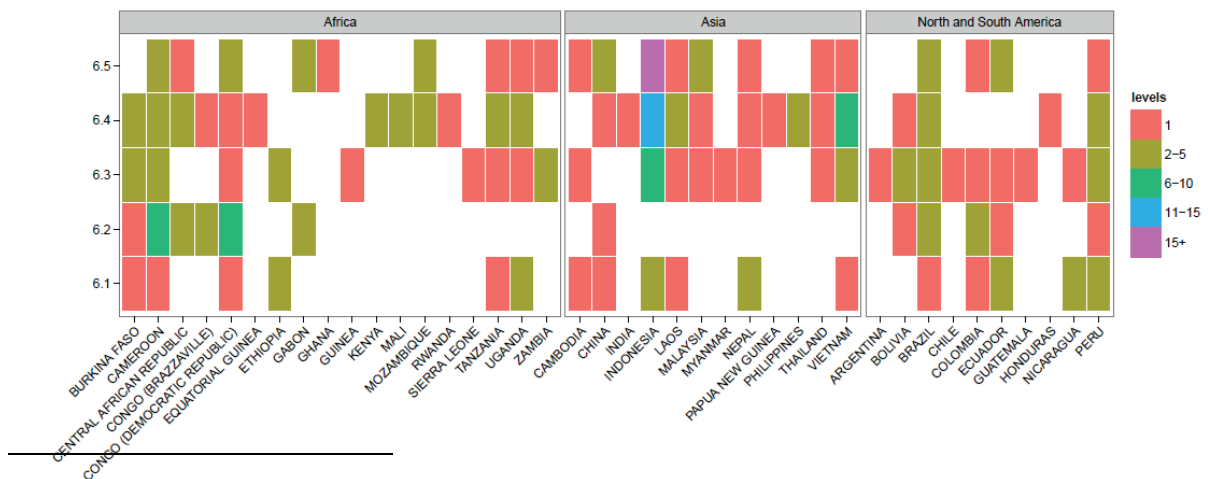
We do not work north of the Sahara and we do not see our comparative advantage here in the short or medium term. As such we do not agree with the recommendation that we should increase our focus towards Africa. We will certainly continue devoting a large part of our resources to Africa for the very reasons everyone knows and we will aim to achieve a better balance between the humid and dry biomes.

Both CIFOR and ICRAF have an extensive history of work on extra-sectoral drivers (e.g. CIFOR had for years a program on Underlying Causes of Deforestation). We continue doing significant work in FP3, Sentinel Landscapes and FP4 regarding drivers of deforestation and degradation, in FP1 and FP5 about local or global value chains (including the major causes of deforestation: oil palm, soya bean, rubber and pulp/paper plantations or production of bio-energy or small-scale agriculture). FP4 is also doing some work on the political economy of low carbon development. Hence while we agree with the importance of these topics, we consider that the evaluation report underestimates the quantity of work already done and currently on-going.

We agree with the need to link/raise the FTA agenda in the overall global development agenda and to be more active in the "green economy"/sustainable development arena. We are moving in this direction, including with the private sector (e.g. see the Forest Asia Summit[2] or the coming CGIAR Development Dialogues and Global Landscape Forum 2). We were among the first to suggest that the CGIAR instead of developing its own framework of large development goals should align with the ongoing international processes like the CBD Aichi targets and more importantly the still to come Sustainable Development Goals. We are pleased to see that this now has some traction and we will certainly continue contributing to the overall effort and increase our research related to these issues.

FTA is making an effort to address these points fully (better alignment with SDG agenda, focus on flagship interfaces to address emerging and interdisciplinary, "wicked" problems across the SDG agenda]. Balancing the research portfolio is more than a matter of geography; it also depends on the theme (e.g. climate research in countries where the highest level of climate changes are foreseen).

Immediate priority actions[3]

- Better coordinate the work on low emission development strategies (LEDs) and green economy across FTA partners;
- Continue working and increase efforts (funding dependent) on drivers of deforestation and forest degradation, sustainable local and global value chains (in partnership with CCAFS for oil palm, beef and soya beans), bio-energy including bio-fuels;

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[2] http://www.cifor.org/forestsasia/

[3] Already started at time of writing or to start in 2014 and to be completed in 2015

- Look actively for economies of scale and synergies by geographies with more co-location of work, definition – whenever possible – of priority countries (one can see such countries emerging in 2014 looking at the actual level of activities – FTA milestones map) within biomes and re-balance our relative share of actions in dry vs. humid biomes.

Short-to-medium term changes[4]

- Follow actively the SDG dialogue and contribute to raising the FTA agenda showing the importance of FTA resources to progress towards a wide range of the future SDGs, including through inter- and extra-sectoral approaches at the landscape level; increase collaboration with PIM;

- Adapt our strategic result framework to the SDG goals, indicators and targets when these are officially adopted (expected end of 2015);

- Monitor and align with the evolving needs and nature of the climate changes processes.

Longer-term developments[5]

- None presently foreseen

Recommendation 2. The Evaluation Team recommends to better balance research priorities thematically, to adjust component coverage accordingly, and to establish "tenure" as a cross-cutting activity.

This recommendation is addressed to: *the FTA Steering Committee, the FTA Director, the FTA Lead Center and its Board, and all other FTA Participant Institutions.*

Key elements ("must have's"):
- *Component 1 broadens its scope in agroforestry to include silvopastoral systems of different types beyond those limited efforts already in place at the smallholder scale, continues its efforts to improve value-chains and get more engaged with medium scale, more commercially oriented agroforestry, and enlarges its market- and policy-related research.*
- *Component 2 engages more actively in influencing international negotiations and policies on biodiversity, better addresses various forest management research issues such as resource assessment, forest silviculture, and development of socially, environmentally and financially feasible forest management models, and broadens the coverage of species for genetic conservation. Bioversity International avoids "keeping projects home"; biodiversity conservation issues must be adequately addressed across all FTA components.*
- *Component 3 strengthens its already ongoing work on restoration of degraded lands (including reforestation efforts that may involve mixed species designs, focusing on using multiple-use native species and developing new cost-effective approaches and technologies for landscape restoration), further increases its already strong involvement in community forestry with respect to landscapes, and increases its research focus on institutional, administrative and managerial challenges related to implementing the landscape approach in practice.*

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[4] To start in 2015 and be completed by end of 2016
[5] For the CRP second calls, 2017 and beyond but might need consideration earlier

- *Component 4 increases its relative research focus on degradation and carbon enhancement under REDD+, considers items beyond the current REDD+ discussion (including how to connect REDD+ with the starting discussions on Agriculture, Forestry and Other Land Use (AFOLU), the landscape approach and the green economy approach), closely collaborates and coordinates with CCAFS, conducts (to the extent possible in the current funding landscape) relatively more adaptation research, and considers national and subnational frameworks more in adaptation and mitigation research.*
- *Component 5 strengthens economic analysis and generally pays more attention to economic issues (in addition to social and environmental issues), identifies practicable solutions and evidence-based policy options for advancing investment and trade-related development agendas (such as catalyzing more forestry financing and responsible private sector investments).*
- *"Tenure" is adopted as a cross-cutting activity in a modality determined by the FTA Director and the FTA Steering Committee.*

FTA management agrees fully with the overall recommendation and recognizes the need to have better focused Flagships Projects (FPs; components in the evaluation report) with clearly recognizable boundaries (even if these cannot be rigid and clear-cut given the continuum nature of many of the problems we try to tackle).

We note that the ISPC has criticized us quite strongly for trying to address "all the potential outputs". However, this recommendation (and the previous one) by the evaluation team implies a significant increase in activities. We recognize the need to keep tightly focused as new areas of work are incorporated but there is always going to be some tension between the emergence of new issues, the importance of current ones and the donor agendas. Our aim is to use the 2015-2016 extension period (see also response to recommendation #4) to define the priorities framing the FTA "envelope" for the CRP second call in 2017 via the definition of a small set of Strategic Research Programs. This will also be the time to decide what activities need to be continued and if they need to be continued via FTA or as contribution to another CRP.

Immediate priority actions

- Explain better in the revised extension proposal for 2015-216 the overarching hypotheses for the five FPs and the overall framework wherein the FP operate. This explanation was included in the originally approved proposal, under the form of major questions, and remains largely valid but would take too much space to include fully.
- While recognizing the importance of tenure and rights as an emerging cross-cutting issue (relevant to all FPs) we are also conscious of the need to keep structures simple and we do not think that creating another cross-cutting theme (especially of this nature) is the optimal solution, particularly given the fact that we are evolving the structure of the five FPs towards greater coherence and emphasis on interactions. In responding to the evaluation and to the ISPC's comments we propose that "tenure and resource rights" have: i) a conceptual home as a cluster of activities (CA) in FP5, consistent with our work on global governance; ii) that this CA plays a coordinating

cross-cutting and cross-CRP role by backstopping FP work on tenure and rights producing IPG based on work across all FPs.

Short-to-medium term changes

- In 2015 develop a program of work for inter-CRP collaboration with PIM for their FP "*Property right regimes for management on natural resources and assets*".
- Increase the inter-FP collaboration on "intersection" issues in 2015. Promising topics (beyond tenure and rights) are the question of certification/eco-labeling, food security and nutrition, global value chains).
- Reassess FP and current interfaces between those during the phase 2 preparation work

Regarding the specific recommendations for each FP, we recognize the relevance of the propositions made by the evaluation team. We also acknowledge that most of these fields are already "in progress" with several ongoing and planned actions. We however intend to proceed with reasonable caution in order to answer as efficiently as possible the conflicting demand to address more pressing issues and need to keep the program manageable (recommendation #4) by putting in place a two-tier result framework, implementing an active project portfolio management and making a more systematic use of ex-ante impact assessments.

- **FP1** focuses on smallholder systems and has already made advances with tree fodder, new initiatives at the intersection with FP5 on certified meat products building on CATIE's work with Rainforest Alliance to develop a cattle certification scheme. Work in partnership with ILRI on extensive pastoral and agro-pastoral systems in underway (interaction with Dryland Systems and Humidtropics). During the extension phase we will explore, together with FP5, linkages between global trade, corporate business models at a range of scales and smallholder systems. Issues of scale, including bulking and collective action with respect to input supply and product marketing are a central dimension of our forward research agenda. Our refined theory of change defines 'options' in terms of technology plus market / delivery mechanism plus policy / institutional intervention and our research 'in' development paradigm which will be established during the extension phase, uses nested scale planned comparisons with development partners to test combinations. Our intention is to grow both the markets / delivery mechanism and policy clusters of activities in Phase 2 requiring concomitant investment of w1/w2 resources and bilateral resource capture

- **FP2** concerns itself with forest management and biodiversity conservation at all scales and FTA, via the four CGIAR Centers, has signed a Memorandum of Understanding with the CBD during COP 10 in Hyderabad. The activities under this memorandum so far have concerned the issue of sustainable use of forest biodiversity (including bushmeat) and the landscape approach (in the CBD context and in collaboration with FP3). Through our partners CIRAD and CATIE we have

already strong involvement related to what we can call "classic forestry" including socio-economic aspects related to forest management with a focus on multiple use and certification. We have a still small but very active cluster of activities on restoration and are currently developing some work on industrial plantations. These activities and the effort related to multiple-use forest management will be increased in 2015-2016.

- At the level of documenting patterns and drivers of tree cover change, **FP3** balances the 'degradation' and 'restoration/agroforestation' side of the forest transition curve. Ongoing work on evaluating the effectiveness of restoration for a return of lost functionality in the delivery of ecosystem services has so far had priority over specific design and technology issues, but closer cooperation with FP1 and FP2 will be sought to ensure joint delivery. New international cooperation platforms for analyzing landscape-level hydrological impacts are emerging. Analysis on biodiversity-related restoration (incl. ecological connectivity) will be explored on the interface with FP2. The 'learning landscapes' will continue to provide a primary 'action research' opportunity to identify institutional, administrative and managerial challenges of implementing a landscape approach in practice. We will continue to contextualize this type of local experience and seek generic solutions through targeted policy change to create simpler and more transparent, and yet accountable procedures.

FP4 is now paying more attention to drivers and the local and global mapping of forest degradation including soil carbon, and has intensified collaboration across the participating centers to address carbon enhancement (also emphasizing, through ICRAF's and CATIE's work on agroforestry, links to FP1). FP4 has initiated a debate on the links between REDD+ and the broader agenda of Low Emissions Development Strategies (LEDS) and Green Economy development pathways that has streamlined some of the already ongoing work in that area. We are also very strongly engaging with the incipient AFOLU work group under the Global LEDS Partnership, currently in Asia but that will become a global workgroup (we are in the Steering Committee). We are organizing a climate colloquium in the following of the UN Climate Summit in September 2014, in which we will be debating "six big ideas for transformational climate research". FP4 will play a key role in co-organizing the Global Landscape Forum 2 in December 2014 in Lima, with several high-segment policy discussion 'streams' focusing on REDD+, vulnerability and adaptation, integrated landscapes approaches, and landscapes in a green economy. We will also have several side events on REDD+ implementation challenges at sub-national level, safeguard information systems, and joint adaptation and mitigation in tropical wetlands. We have re-mapped our interaction with CCAFS, identifying in more detail complementarity and areas for collaborative research in more detail, and we have begun to implement this joint research (e.g. integrative mitigation-adaptation work in East Africa, building a greenhouse gas lab in Nairobi, and publishing a joint paper

on aspirational mitigation targets in agriculture). While we are currently concentrating on the international debate, crucial in the run up to the expected climate framework decisions in 2015, we already have started to re-focus some of our work to reflect an anticipated changed emphasis on national REDD+ implementation in the period 2015-2020, once climate frameworks including REDD+ are firmly in place.

- **FP5** has started implementing research focused on understanding, from an economic perspective, the implications of large-scale investments under variable investment and business models. We will address the concern that social and environmental aspects should as much attention, e.g. when analyzing impacts, as economic aspects, and that there is a need to analyze economic trade-offs between different uses, and cost-effective technologies for landscape restoration. We will also make efforts, on the one side, to bring additional economic expertise to the team, and on the other side, by bringing in partners with strong finance and economic perspectives. This will require additional resources for FP5. We are building a strong focus on the feasible options and "solutions" for advancing investment and trade-related agendas in development with regard to responsible investment. We will increase our efforts, looking more in-depth at corporate governance initiatives, as well as at the outcomes from different decision-making processes in corporate sector land investments related to the food, timber and mining sectors.

Recommendation 3. The Evaluation Team recommends that all FTA Participant Institutions safeguard their principal comparative advantage of being neutral, world class research institutions, and resist pressures to work outside their areas of comparative advantage. CIFOR and ICRAF must further intensify their already close collaboration to maximize synergies and minimize unnecessary competition.

This recommendation is addressed to:
- *all FTA Participant Institutions, including their governing bodies (first part);*
- *CIFOR and ICRAF, including their BOTs (second part).*

Key elements ("must have's"):
- *All FTA Participant Institutions continue to operate within their respective areas of comparative advantage. Increasing pressure towards securing development outcomes is not interpreted as needing to grow in-house downstream extension abilities but, instead, addressed through effective partnerships with global, national and sub-national systems and actors with the necessary development capacities and experiences.*
- *CIFOR and ICRAF increase joint research planning and fund raising in the context of broader cross-sectoral research programs.*
- *The current cross-integration of members of CIFOR's and ICRAF's Boards of Trustees is continued and intensified.*

Further suggestions:
- *CIFOR and ICRAF develop joint national research programs of CIFOR and ICRAF with national partners (NARSs and universities).*

We agree with this recommendation and we see clearly our niche as the production and dissemination of new knowledge, e.g. testing the assumptions of common 'theories of change' that can be used to inform policies and practices. We engage directly with the process of change and development at pilot/demonstration scales in order to appreciate opportunities and challenges. If we are successful as a boundary partner, jointly with others, in creating a two-way link between knowledge and action, we can expect a (knowledge) chain reaction to continue beyond our direct reach. FTA bilateral projects are increasingly implementing partner-centric planning and implementation processes, such as outcome mapping and social network analysis. The use of these and other knowledge sharing-related approaches will expand in 2015-16 helping us to better identify good candidates to join our partnership, and to offer our capabilities, for a given initiative, work with them more effectively, and learn from the process of engagement in order to design and implement better research initiatives. Such boundary work has to fully meet the norms of science as well as development, rather than being halfway between.

Our "niche" being clearly defined in the production and dissemination of new knowledge, we certainly don't want to (or can) "do" the work of IUCN, IIED, WWF or ForestTrends (and the list could be much longer) but we do develop projects with these partners where we play our role as a research institution and they play their role as delivery partners, implementing partners or advocacy organizations. A good and recent example of this complementarity in roles is our work with FSC and WWF about the social impact of certification in the Congo Basin; there are many others.

The whole program and the FPs are built around the comparative advantages of the partner involved. CIFOR and ICRAF already collaborate quite closely and will 'demonstrably' expand this further in Phase 1.2, as well as collaboration with other centers and non-CGIAR partners. Our work emphasizes being an honest knowledge broker providing salient, legitimate, and credible science.

Concerning the cross-integration of CIFOR and ICRAF Boards of Trustees, we consider that the current level with the BOT chair of one Center being a member of the BOT of the other Center with possible cross participation of the Chairs of the respective Program Committees as observers is sufficient and that there is no need to change this in the foreseeable future. This recommendation goes indeed beyond the FTA evaluation wandering into Centers' Governance. A better integration of program partners needs to and will happen through the various changes in FTA governance and modus operandi as addressed elsewhere in this document.

We do not agree with the overall singling out of CIFOR and ICRAF collaboration in this recommendation as we consider that actually all the main program partners are intensifying their collaboration.

Immediate priority actions

- Organize an FTA conference in November 2014 to socialize the scientific agenda across partners and conduct FTA wide research planning, and afterwards organize an annual FTA science conference
- Increase the already ongoing communication between the resource mobilization units of the various participating partners

- Further develop partnerships with implementation and development partners in future research

Short-to-medium term changes

- More involvement of the Steering Committee and Lead Center BOT in POWB development to increase collaboration, avoid mission creep and monitor our positioning along the research-development continuum
- Pilot-test the suggestion of joint national research programs (beyond CIFOR and ICRAF) in selected countries: e.g. Nicaragua, Cameroon, and Peru.

Recommendation 4. The Evaluation Team recommends that FTA further develops its results framework and impact pathways into a comprehensive theory of change, and a framework for results-based management that explicitly acknowledges windows for opportunistic and blue-sky research. Based on this framework, FTA must then initiate active management of its entire research portfolio, including increased selectivity with regard to mapping bilaterally funded projects to the program.

This recommendation is addressed to:
- *the FTA Steering Committee, the FTA Director, and the Lead Center BOT;*
- *the Consortium Board and Office for inclusion into guidance for FTA during the interim phase (until end of 2016) and for the second CRP call.*

Key points ("must have's"):
- *FTA's theory of change is further developed to clarify pathways from research to large-scale adoption and development impact. Underlying assumptions especially regarding boundary partners are clearly stated and verified. Objectives in FTA's theory of change are deduced from overall CGIAR objectives and from partner needs, rather than interpreting how present activities cater to these objectives and needs.*
- *The MEIA team is equipped with sufficient capacity to conduct this type of research and impact pathway research is made a FTA research topic*
- *Development of a two-tier results framework, within and beyond FTA's sphere of control, based on:*
  - *a series of early outcome targets attributable to FTA activities and monitorable in the sense that their achievement can be tracked by relevant and easy-to-measure indicators;*
  - *aggregate and long-term objectives on the level of FTA components (or Flagship Projects) to which early outcome targets make plausible contributions.*
- *Two windows of research that go beyond a narrowly defined Results-Based Management (RBM) approach are established:*
  - *Opportunistic research, driven by the availability of significant bilateral donor funding and contributing to overall FTA objectives (but not directly to short-term RBM targets);*
  - *Innovative, high-risk research that cannot be fit into a results-based logic but that exhibits high relevance and potential for FTA.*
- *This framework must be developed and maintained in continued alignment with institutional strategies and priorities of all FTA Participant Institutions.*

- *This framework guides priority setting and active research portfolio management by the Steering Committee and the FTA Director.*
- *For FTA's second phase, performance is measured by results. Hence, no fixed bilateral funding shares are predetermined.*

We fully agree with this recommendation and see the development of the overall theory of change for FTA as a full blown research question. This goes along with the development and implementation of the suggested RBM, the "top-down" definition of revised FTA objectives and the increased use of ex-ante impact assessment to improve our targeting of relevant policy processes.

Immediate priority actions

- 2014 is seeing a rethinking of our overall theories of changes and impact pathways (starting in the revised 2015-2016 extension proposal)
- Through the revision of the TORs and independence of the Steering Committee we will also move towards the strategic allocation of a progressively larger proportion of w1/2 funding approved by lead Center Board.
- Increasing the human and financial resources of the MEIA team (moving the 2015 budget from the CGIAR recommended 1% towards a 2% levy on windows and project funding for MEIA activities)

Short-to-medium term changes

- 2015-2016 will see a transition to a more focused and managed FTA portfolio through a revision of our actual set of projects to end up by 2017 resulting in a limited number of long term strategic research programs associated to a portfolio of fixed-term FPs (likely 10 or less, average size of FP $10M/year). To achieve this we will implement a systematic portfolio management with fully aligned bilateral projects; smaller in number and likely bigger in size.
    - In 2015 we will conduct a thorough revision of the portfolio of bilateral projects for confirmed inclusion, into FTA, or rejection, and develop the proposed two-tier result framework
    - In 2016 "legacy projects" will need to explicitly request "bridging" w1/w2 funds for commitments.

Longer term developments

- In 2017 the "new FTA" will offer a small set of strategic research programs (SRP) with a series of associated FPs:
    - SRP will be new but not necessarily totally different from past research – they are open ended in nature but would be revised every 5 year for relevance and comprehensiveness
    - "new" FP will be at the level of the current Clusters of Activities (about $10M/year)
    - FPs will constitute a real portfolio and differ in their relative position in the research to outcome continuum (some more upstream, some more

downstream) and in their actual size/funding; they will be time-bound with clearly identified end of project outcomes
- o w1/w2 funding will be strategically allocated for the most part with some funds set aside to cover explicit needs of bridging funds for legacy projects

Recommendation 5. As part of the preparations for FTA's second phase proposal, the Evaluation Team recommends that the FTA Steering Committee re-assesses the relevance and the financial sustainability of the current set of Sentinel Landscapes, and adapt the entire approach to Sentinel Landscapes in the FTA Phase II Proposal accordingly.

This recommendation is addressed to: *the FTA Steering Committee, the FTA Director, and the Lead Center BOT.*

Key points ("must have's"):
- *Strong scientific leadership is needed in order to increase the researchers' engagement in the pursuit of SL objectives.*
- *Sentinel Landscapes are integrated into FTA's overall theory of change and FTA research is increasingly associated with these sites.*
- *"Business cases" are formulated balancing minimal resource and support requirements (both international and by the host countries) to successfully operate Sentinel Landscapes over a period long enough to generate valuable long-term tracking data and balancing these with realistic assumptions about funding levels and stability and continued support in the CGIAR.*
- *The FTA Steering Committee, after being restructured (see recommendation 10), reviews the SL concept and operational plans to balance the value of expected results with operational requirements and likely future support.*

The ISPC was strongly in favor of the concept of Sentinel Landscapes when it was presented in the original FTA proposal. We still do not think that the Sentinel Landscapes offer a strategic framework for the whole of FTA because a significant amount of our work is not place-based or when place-based is not at the scale of an SL. We do however see the SL as the cornerstone putting our theory of change in specific contexts and will foster added collaboration across FPs and with other CRPs in these sites. We plan to use a significant part of the 2015-2016 SL budget to incentivize the FPs to locate work in these sites. We also recognize that the current network misses some important ecological regions (Miombo/Zambezian woodlands, Afrotropical highlands, Central Asia…) and we hope to increase the representativeness but this is contingent on funding and on the presence of suitable partners on the ground.

We consider that the work on SL so far has been under a reasonably strong scientific leadership with a dedicated coordinator (leader of the Research Method Groups in ICRAF) and a strong direct involvement of the FTA Director. We will nevertheless strive to do even better in 2015-2016.

To ensure better consistency, integration and remove management complexities we have integrated the Sentinel Landscapes into the FP (TmFO within FP2, Global oil palm value chain within FP5, all the geographically bounded SLs within FP3). The cross-cutting nature of

the network remains but now that the characterization phase is almost completed (and will lead to specific knowledge products in 2015), it becomes important to use the SLs as places for co-location of research and testing of the applicability of results. As such SLs will become fully part of the various FPs impact pathways and overall FTA theories of change.

Immediate priority actions

- Integration of the SL in the relevant FPs for the 2015-2016 extension (keeping the overall value of the network for generating new global knowledge in 2015)
- Keep the current scientific leadership for the analysis of the data generated in the characterization phase and devolve the leadership of specific SLs to the relevant FP leader as explained above
- Increase planned funding allocation to SL network in 2015-2016

Short-to-medium term changes

- Use a significant part of the 2015-2016 SL funds as incentives for the FPs to co-locate work in specific SLs
- Develop a business case for the SL network over a 5 year horizon
- Based on the business case, do specific fundraising efforts and/or strategically allocate window 1 and 2 funds to secure 5 years of operations
- Empower the SL teams in defining specific research priorities for their landscape

Longer-term developments

- Seek to attract other CRPs to the SLs

Recommendation 6. The Evaluation Team recommends updating the FTA Gender strategy to better cover social diversity, scalability of findings, and earlier lessons learned. The FTA Steering Committee must monitor the degree to which gender-sensitive research is mainstreamed in FTA and take corrective action if Gender mainstreaming remains stagnant by year-end 2015.

This recommendation is addressed to: the FTA Steering Committee, the FTA Director, and the FTA Gender team.

Key points ("must have's"):
- *The Gender strategy is updated with respect to a stronger inclusion of social diversity, scalability of gender-related findings, and incorporation of lessons learned from the System-wide Program on Participatory Research (PRGA).*
- *Gender mainstreaming is monitored among other by tracking the share of new research proposals with explicit elements of gender-sensitive research in their work plans and objectives. If no significant improvement of Gender coverage in FTA research is evident by year-end 2015, the Steering Committee oversees a thorough review of underlying issues and takes follow-up action.*

The FTA management team agrees partially with the diagnosis underpinning this recommendation. We believe that the gender integration and the actual gender relevant research work under FTA is much stronger than the evaluation report acknowledges. We wish to point out that in the last two years two of the participating CGIAR centers have

developed (and continue to do so) gender capacity. This is thanks to FTA (with spillover effects beyond FTA).

Regarding social diversity, it is flagged and discussed in several sections of the strategy (see Pp. 1, 6 and 11). We recognize that scalability is an important issue that will need to be addressed. It is not however realistic to cover it at this stage when the FTA and its crosscutting dimensions are at the formative stages of implementation

We certainly agree about the importance of monitoring gender mainstreaming but in this aspect we go further than the recommendation of the evaluation (see "GEIRS" below) We recognize that integration of a gender focus within the work of FTA partners does not mechanically translate into gender-related outcomes and impacts, and that the knowledge and innovations produced by each of the FP, as well as the development of strategic gender research, play an important role in the achievement of the Gender IDO. To continue being one of the lead CRPs in terms of gender and to make sure that this translates into actual changes in the way priorities and activities are reframed with a gender "lens", we will, with the support of the Gender Integration Team, implement the following actions.

Immediate priority actions

- Continue developing the capacity of scientists and research partners to integrate gender in all stages of the research cycle, through a number of convening workshops planned at regional levels combined with tailored support to each of the FPs and teams.
- Promote the use of gender-responsive participatory research methods, as outlined in our FTA gender strategy, which will facilitate direct dissemination of results to end users.
- Roll out the Gender Equality in Research Scale (GEIRS), a tool designed to assess gender relevance and integration in research for all current and new FTA projects. GEIRS will enable projects to be ranked according to their level of gender responsiveness ("Gender Specific", "Gender Integrated", "Not Gender Research" etc.). GEIRS can distinguish gender sensitive from gender transformative projects, thus providing FTA with enhanced understanding of the level of gender integration in its current portfolio. This in turn facilitates more effective targeting of projects in need of support for gender disaggregated data collection, data analysis, publishing gender-related findings, and communicating those findings in appropriate ways. GEIRS will prompt researchers to carefully consider gender implications during the different stages of the research cycle. Minimum standards put in place across FTA, for the collection of gender sensitive data, will help facilitate collaboration between FPs, as sex-disaggregated datasets can be used and refined along the way. Following the Consortium recommendations[6], by 2016 FTA expects 20% of its research across the five actual FPs to be gender specific and 60% to be gender integrated, as identified by GEIRS.
- Revisit PRGA outputs and processes specially looking for lessons learned in terms of gender integration in research at the different CGIAR centers.

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[6] First Consortium Gender and Diversity Report. March 19, 2014

Short-to-medium term changes

- Increase the number of gender strategic research questions. Conducting strategic gender research at a range of scales, as recommended by the CGIAR Gender and Agriculture Research Network, also feeds into the Common Gender and Empowerment IDO. Women's control over resources and their participation in decision-making are issues that are also relevant to all FPs. Some examples of such initiatives are:
    - Cross-CRP research on gender and value chains in partnership with Wageningen University, including a cross-country and comparative study on gender and value chains.
    - Supporting the development of gender modules in the Sentinel Landscapes and ensuring that each SL team is well equipped to collect and analyze gender-disaggregated data.
    - Participating in the CGIAR wide comparative study on the role of gender norms in agriculture and NRM innovation. The resulting methodology will be adapted to investigate some of the emerging concerns such as the differentiated impacts of large-scale land investments on forested landscapes and livelihoods of women and men in South East Asia.

Longer-term developments

- Strengthening partnerships with gender/NRM intermediaries and knowledge brokers to enhance the sharing, uptake and use of gender-related knowledge products by next and end users. This includes the publication and dissemination of tools and guidelines for gender analysis; innovative use of various social media to disseminate gender related activities and achievements of FTA research centers and partners; sharing of research findings and policy implications at high profile academic and policy platforms; influence of research on forestry and NRM curriculum design and others.
- Carrying out an evaluation of the first five years of implementation of the Gender Strategy

Recommendation 7. The Evaluation Team recommends that FTA increases and makes more systematic its efforts to reach out to and involve partners on all levels: program donors, relevant actors of strategic importance for FTA, and boundary partners. FTA must further increase its efforts to include boundary partners into research priority setting, design, and implementation, develop their capacity, and ensure that FTA results targets respond to concrete needs of development partners.

This recommendation is addressed to: the FTA Steering Committee and the FTA Director.

Key points ("must have's"):
- *FTA convenes a joint meeting of (or otherwise works towards aligning) its Window 2 and principal Window 1 donors and principal bilateral donors to increase programmatic coherence and to rally overall program funding.*
- *FTA develops and implements an action plan to identify, reach out to, and identify the concrete needs of partners of strategic importance and key boundary partners for FTA research as a basis for further driving an outcome-oriented approach to research*

(recommendation 3). Care is taken to remain strategic in partner selection in view of the growing number of partnerships.

- *FTA ensures that critical capacities of key boundary partners are developed to enable successful uptake of FTA research.*
- *In promoting FTA to its partners it is important to not create a false impression of FTA "replacing" its Centers and non-CGIAR partners but rather to highlight the integrative function FTA provides in aligning and coordinating the work of its constituting institutions*

We agree with this recommendation but it is important to recognize at the outset that FTA, by its very nature, is a global partnership (with various types of partners) which has developed into a network of partnerships between institutions involved at various levels.

We fully recognize the strategic importance of donors as real partners and this is already happening with some donors with whom we work in partnerships to define priorities and action from research to outcomes. For other donors, we would certainly like to consider them as partners but at present they rather see us as service providers. That is not a problem as long as objectives are aligned but it always creates the risk of some agenda drift. A specific FTA- Fund donor dialogue is also somewhat dependent on the expressed monopoly of the Fund Council when it relates to relations with window 1 and window 2 donors (noting also the current work commissioned by the FC about resource mobilization). We see therefore the organization of a meeting of window 1 and 2 donors quite problematic in the actual context and feel that parts of this recommendation should also be addressed to the Consortium Office and Fund Council.

We agree that we need to do a better job in involving our strategic partners more systematically (some FPs are more advanced than others in doing so) and at an earlier stage of research development. However if this is to be taken seriously, it will requires a lot of earnest work and time and budget beyond the time frame of the grants that fund our research. Hence strategic partnerships should be selected carefully, not by the principle of "increasing" at all costs. We did make significant progress in defining a reasonable set of strategic partners constituting the "core" of FTA and our bilateral projects are increasingly implementing partner-centric planning and implementation processes, such as outcome mapping and social network analysis. The use of these and other knowledge sharing-related approaches will expand in 2015-16 helping us better identify good partners to engage for a given initiative, work with them more effectively, and learn from the process of engagement in order to design and implement better research initiatives.

Immediate priority actions

- Putting in place an active management portfolio plus a more systematic use of outcome mapping and ex-ante impact assessment to identify the appropriate implementation and delivery partners for new FTA research before it begins;
- Continue reinforcing our partnerships with FutureEarth and a limited but complementary selection of ARI and universities in developed countries.

Short-to-medium term changes

- Develop a partner consultation strategy to implement in 2015-2016 for the preparation and implementation of the revised FTA in 2017 and beyond

- Develop specific capacity development for strategic boundary partners (note that we will, as part of the 2015-2016 extension proposal, implement a fully-fledged capacity development cross-cutting theme)
- More actively promote and connect FTA to important policy and practitioner institutions to be better recognized and used as a provider of new knowledge and capacity development. This should be carefully planned however to avoid giving the impression that FTA "replaces" the participating partners.

Longer-term developments

- Having non CGIAR participants leading strategic research programs or FPs in the new FTA post 2016.

Recommendation 8. The Evaluation Team recommends that the Fund Council and the Consortium Office improve the predictability, reliability and timely disbursement of Window 1 and 2 resources to FTA and urge CGIAR members to provide full cost recovery when acting as bilateral donors.

This recommendation is addressed to: The Fund Council, the Consortium Board, and their offices.

Key points ("must have's"):
- *Acknowledgment and declaration of intent of Fund Donors to ensure predictable and reliable funding that is disbursed timely, and explicit instructions of the Fund Council to the Consortium Office to work towards this objective.*
- *Acknowledgment and declaration of intent of Fund Donors to ensure full cost recovery for FTA bilateral grants whenever acting as bilateral donors, to the extent possible within their institutional rules and regulations.*

Further suggestions:
- *Fund Council establishes a system to increase transparency on incomplete cost recovery of bilateral FTA grants by Fund Donors and receives reports of the ensuing statistics.*

This recommendation is obviously not for us to comment on but it is wholeheartedly endorsed by the FTA management. Concerning full cost recovery, information is readily available but maybe the recommendation should be to have specific donors having the same discourse when speaking as Fund donors and when designing their specific overhead ceilings.

Recommendation 9. The Evaluation Team recommends that the quality and coherence of FTA data management be improved.
This recommendation is addressed to: the FTA Steering Committee, all FTA Participant Institutions.

Key points ("must have's"):
- *Overall coding reliability is improved and mapping of bilaterally funded projects to FTA is decided at proposal stage.*

- *Country information is tracked as part of FTA expense reporting.*
- *Fragmentation of projects across many CRPs and components is avoided unless clearly justified by a project.*
- *FTA Centers should align to good practice processes similar to those currently in place at ICRAF.*

Further suggestions:
- *The One Corporate System (OCS) software is taken into consideration to align data management beyond FTA, satisfying a critical requirement for coherence from a Center perspective.*

We fully agree with this recommendation and have already taken the first steps to implement it. These, together with the proposed actions regarding the active portfolio management, will mean we are well placed for the 2015-2016 extension phase.

We recognize that the lack of harmonized project information is a major bottleneck to effective portfolio management. We have sought and received Steering Committee endorsement for the creation of a standalone FTA project information database, have hired a database and systems integration specialist, and are about to launch a one-off call for standardized project information to be manually entered from each of the participating institutions into the FTA database. An automatic extract function will be developed to retrieve the most basic shared types of project information from all participating institutions, however given the range of information we will be requesting, it is likely that approximately 70% of our information needs will need to be met via manual entry. An online, accessible and searchable FTA database with all project portfolio information will be integrated with our FTA sharepoint site by the end of 2014.

One of the sections in the database deals with mapping of projects to the FTA Operational Plan. In Phase 2 of the database development, an approval workflow will be integrated, so that when a project above a certain value is mapped to the FTA Operational Plan, the Flagship Project leader and/or the FTA Director are notified and their approval is requested.

We caution however against the idea that fragmentation of project across CRPs or across FPs is to be avoided. We have no evidence that some projects mapped to FTA are split across many CRPs – at most project components are spread across two CRPs. Projects are ways and means to deliver CRP objectives using bilateral funding as window 1 and 2 amounts are insufficient. However projects have their "own" logic and large projects have normally more than one significant expected result. The mapping of these projects to FTA is done at the expected result/key output level and therefore some projects appear – and will continue to appear – in more than one FP and eventually in more than one CRP.

We are also making sure that anything we develop for FTA is and will be fully OCS compliant.

Immediate priority actions

- Phase 1 of database development: Create FTA project database with appropriate functions; populate the database
- Enhance FTA SharePoint system to include FTA database access
- Ensure all FTA mapped projects are appropriately coded with country information

- Continue implementation of CGIAR OA policy

Short-to-medium term changes

- Phase 2 of the database development.

Recommendation 10. The Evaluation Team recommends strengthening and clarifying the mandate and the independent voice of the FTA Steering Committee, and to connect it better to the Consortium Board and Office.

***This recommendation is addressed to: t**he FTA Steering Committee, the FTA Lead Center BOT, FTA Participating Institutions' governing bodies, and the Consortium Board and its office.*

Key points ("must have's"):
- *The Terms of Reference of the FTA Steering Committee are revised and adopted by the SC and the Lead Center BOT and then endorsed by the Consortium Board and the governing bodies of other FTA Participant Institutions. They reflect, among other:*
  - o *The SC's responsibilities in setting programmatic research priorities and strategically allocating Window 1 and 2 funds in the best interest of the program while taking the current funding situation of a large share of bilateral funding explicitly into account.*
  - o *Legitimate institutional interests of FTA Participant Institutions and how these are managed and balanced vis-à-vis programmatic goals.*
  - o *Separately describe FTA-related governance functions of the SC, the Lead Center BOT, other FTA Participant Institutions' governing bodies, and the Consortium Board and Office, and ensure that, taken together, all standard program governance functions are covered without gaps and with a minimum of duplication.*
- *Four individuals are added to the FTA Steering Committee: three without any affiliation to the Consortium or FTA Participant Institutions (to strengthen independent expert voice) and one as authorized representative of the Consortium Office (to increase decision-making efficiency and alignment between FTA Participant Institutions and the Consortium Office). The SC Chair should be elected from among the three independent members that serve in their personal capacity.*

We fully agree with this recommendation except for the authorized representative of the Consortium Office. In that we are consistent with the CO Management Response to the CRP Governance and Management review and the discussions held during the Centers DG / CO meeting in Dar-es-Salam in March 2014. The actual configuration of the new Steering Committee might differ a little from the one suggested by the evaluation but the spirit of the recommendation will be respected and the SC will be more balanced and chaired by one of the independent members.

It should also be noted that the Lead Center BOT has already taken steps in this direction during its April 2014 meeting in Bogor.

Immediate priority actions

- Develop new TORs for the FTA Steering Committee
- Actively search for new members

- Have the new TORs and composition of the Steering Committee approved by the current Steering Committee in its 9th session (end of 2014)

Recommendation 11. The Evaluation Team recommends that the Director's mandate and independence, and FTA's overall line management reporting be strengthened.

This recommendation is addressed to: *the FTA Steering Committee, the FTA Lead Center BOT, FTA Participating Institutions and their governing bodies.*

Key points ("must have's"):
- *The FTA Director's mandate and Terms of Reference are revised and adopted by the FTA SC and the Lead Center BOT and include:*
  - *Approval authority for mapping bilaterally funded projects to FTA;*
  - *Increased budgetary authority for Window 1 and 2 FTA funds;*
  - *Direct reporting to the Steering Committee;*
  - *The Director's FTA-related performance appraisal should be based on input from the SC, synthesized by the SC Chair, that is then embedded in the Director's home Center's HR processes.*
- *FTA's vertical chain of command is strengthened by integrating FTA-related ToRs for Coordinators into the job descriptions managed by FTA Participant Institutions and by ensuring the FTA Director's input into annual performance assessment with adequate weight as well as by establishing suitable upward feedback processes*

We agree overall with the recommendation but accept it partially and will follow the CO Management Response to the CRP Governance and Management review (p. 1) with regard to the reporting line of the FTA Director: "*It agrees with the IEA Report with one important difference, namely that we believe the CRP leader should report directly (solid line) to the Lead Center DG, and indirectly (dotted line) to the Independent Steering Committee*".

Diagram 1: CRP Governance and Management model

We are also reinforcing the role of FP leaders and cross-cutting theme coordinators by creating an extended Management Committee for FTA including the FTA Director, FP leaders and CCT coordinators with specific TORs consistent with this recommendation and the TORs of the new Steering Committee.
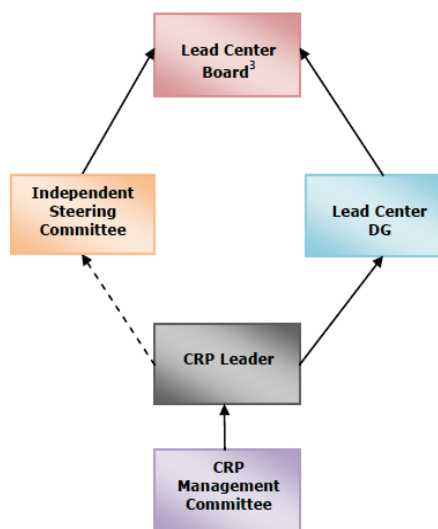
Immediate priority actions

- Revise TORs of FTA Director
- Create TORs for FTA Management Committee
- Revise TORs of FP and cross-cutting them leaders

- Have these approved by the Steering Committee in its 9th session (end 2014)

Recommendation 12. The Evaluation Team recommends that the Fund Council, the Consortium Board and Office, the FTA Lead Center and FTA Participating Institutions work together to ensure a multi-year period of stable operations during which confidence and trust is built, the recommendations of this report are implemented, and important requirements for FTA's future success are put in place.

*This recommendation is addressed to: t*he Fund Council, the Consortium Board, and their offices, the FTA Steering Committee, the FTA Lead Center and its BOT, the other FTA Participant Institutions and their governing bodies.*

Key points ("must have's"):
- *All parties involved must jointly work towards ensuring a multi-year period of stable operations during which confidence in the value-add of the CGIAR reform and the reliability and functionality of the reformed system is build.*
- *During this period, the FTA Lead Center and FTA Participating Institutions must:*
  - *Align their institutional strategies to that of FTA and to other CRPs they are invested in;*
  - *Increase their selectivity vis-à-vis bilaterally funded research mapped to FTA and*
  - *Use their existing donor contacts to better align future bilateral work to FTA and, eventually, help to shift contributions directly to FTA as a program whenever feasible.*
- *During this period, the Fund Council and the Consortium Board and Office must:*
  - *Ensure a financial and regulative operating environment that is stable, predictable and reliable over a time-horizon of several years;*
  - *Acknowledge current funding realities of a primarily bilaterally driven FTA research portfolio and hence consider FTA Participant Institutions as co-investors in addition to grant recipients; and*
  - *Urgently ensure that a workable and realistic system for results measurement and results-oriented management is ready for deployment in time for FTA second phase preparations, i.e. during early 2016.*

We fully agree with this recommendation and will work actively towards ensuring a multi-year period of stable operations during which confidence and trust is built, the recommendations of this report are implemented, and important requirements for FTA's future success are put in place. We also note that in the current context it is quite difficult to envision a multi-year period of stable operation as we are still in the process of securing the 2015-2016 extension; the SRF is under revision and overall priorities (SLOs) of the CGIAR might therefore change; there will be a new set of CRPs in 2017. We however believe that FTA – likely in a somewhat modified form – must be one of the new 2017 CRPs and we will therefore work actively to achieve this.

We have already explained in the previous recommendations the steps taken to ensure an actively managed, fully aligned FTA portfolio and the actual limitations of direct Fund donor dialogue or to readily influence donor politics, objectives and priorities (including

geographic ones). We will nevertheless continue discussing with our main donor and work in this direction.

We can't comment about the part addressed to the Fund Council, Consortium Board and Office but we certainly endorse the spirit.

Action Plan and Timetable

Evaluation Recommendation	Management Response to the Recommendation	Management Follow up			
		Action to be taken	Who Responsible for Action)	Timeframe	Is additional funding required to implement recommendation?
1. The Evaluation Team recommends that FTA's program and component-level objectives continue to be pursued programmatically because of their high global relevance. Several adjustments must be made to address emerging research themes, ensure better integration of forestry issues into the broader development agendas, and better balance current research priorities geographically.	Accepted in **full**.	1. Appropriate system in place to record expenditure by country/region (also relevant to R9, #39)	FTA Director, project management and finance units	Sep-Dec 2014	No
		2. Actively seek to increase our action in dry zones (consider increased collaboration with CRP on DryLands)	FTA Management Unit	2015-2016	Yes for expansion of research in new dry areas (e.g. Cerrado, India...)
		3. Address explicitly the SD/green economy agenda in the 2015-2016 POWB and as part of participating partners priorities	FTA Management Unit	2015-2016	No
		4. Actively manage the research portfolio (also relevant to R9)	FTA Management Unit and Steering Committee	Recurring task	No
2. The Evaluation Team recommends to better balance research priorities thematically, to adjust component coverage accordingly, and to establish "tenure" as a cross-cutting activity.	Accepted in **full**.	5. Precise overarching hypotheses for the 5 FPs	FP leaders	Aug 2014	No
		6. Create a Cluster of Activities on "tenure and resource rights" in	FTA Management Unit; FP5 leader; Tenure	Sep-Dec 2014	No

			FP5	coordinator		
		7.	Program of work on FTA tenure for PIM	Tenure coordinator and relevant scientists	Sep-Dec 2014; implemented in 2015-2016	Yes (initial funds come from PIM)
		8.	Increase work on recommended research areas by FPs (see narrative for details)	FTA director, FP leaders	Recurring task	Yes to finance the development new research areas beyond initial w1/w2 seed funds
3. The Evaluation Team recommends that all FTA Participant Institutions safeguard their principal comparative advantage of being neutral, world class research institutions and resist pressures to work outside their areas of comparative advantage. CIFOR and ICRAF must further intensify their already close collaboration to maximize synergies and minimize unnecessary competition.	Accepted in **full**.	9.	Organize FTA wide scientific conference	FTA Management Unit and scientists	Nov 2014	No
		10.	Increase exchanges across resource mobilization units of main partners	Resource mobilization officers or managers	Recurring task	
		11.	Increase partnership with development implementation partners	FTA Management and resource mobilization units	2015-2016	Yes to implement new projects / activities
		12.	More involvement of Lead Center BOT and SC in POWB development	FTA Management, SC, Lead Center BOT	Starting for POWB 2015	No
		13.	Pilot test joint national research programs in selected countries	FTA Management, Centers DDG research	2017	Yes for implementation
4. The Evaluation Team recommends that FTA further develops its results framework and impact pathways into a comprehensive theory of change and a framework for results-based management that explicitly acknowledges windows for	Accepted in **full**.	14.	Revision of Theory of Change / Impact pathways	FTA Management, MEIA team	Start in 2014	No (but increased resources to be allocated to MEIA team, see #16)
		15.	Revision of SC TORs	FTA Director, SC, Lead Center BOT	Aug-Dec 2014	No
		16.	Increased funding allocation for MEIA (from 1 to 2% "levy"	FTA Director, SC, Lead Center BOT	Start in 2015	No (but implies less going to FP and CCT
		17.	Revision of bilateral project	FTA Management, SC	2015	No

opportunistic and blue-sky research. Based on this framework, FTA must then initiate active management of its entire research portfolio, including increased selectivity with regard to mapping bilaterally funded projects to the program.		portfolio to map to FTA			
		18. Development and roll out of two-tiers result framework	FTA Management, SC, Lead Center BOT	2015	No
		19. Explicit funding mechanism in place for "legacy" projects	FTA Management, SC	2016	No
5. The Evaluation Team recommends that as part of the preparations for FTA's second phase proposal, the FTA Steering Committee re-assesses the relevance and the financial sustainability of the current set of Sentinel Landscapes and adapt the entire approach to Sentinel Landscapes in the FTA Phase II Proposal accordingly.	Accepted in **full**.	20. Integration of SLs in relevant FPs	FTA Management, SL coordinator	Aug-Sep 2014	No
		21. Distribute scientific leadership	FTA Director, relevant FP leaders, SL coordinator	Sep-Dec 2014	No
		22. Increase planned funding allocation to SL network	FTA Management	Starting 2015	Yes (or require reallocation of FP funds)
		23. Use part of 2015-2016 funds as incentive to co-locate work in SL	FTA Director, relevant FP leaders, SL coordinator	2015	No
		24. Develop business case for SL network	FTA Director, relevant FP leaders, SL coordinator	2015	No
		25. Increase fundraising beyond w1/2 for SL	FTA Director, relevant FP leaders, SL coordinator, resource management units	2016 and beyond	Yes (the very purpose being to have more funds for the SL network)
		26. Empower SL teams in defining specific research priorities	FTA Management, SL coordinator, SL teams	2015 and beyond	No (if #25 is successful)
6. The Evaluation Team recommends updating the FTA Gender strategy to better cover social diversity, scalability of findings, and earlier lessons learned. The FTA Steering Committee	**Partially** accepted (see narrative for details)	27. Continue development of in-house capacity to integrate gender	Gender Integration Team, FTA Management	Recurring task	No
		28. Promote the use of gender-responsive participatory research methods	GIT	Recurring task	No
		29. Roll out Gender Equality in	GIT, MEIA team	By mid-2015	No

must monitor the degree to which gender-sensitive research is mainstreamed in FTA and take corrective action if Gender mainstreaming remains stagnant by year-end 2015.			Research Scale		
		30. Revisit PRGA outputs and processes	GIT	Sep-Dec 2014	No
		31. Increase the number of gender strategic research questions	GIT, FP leaders	2015 and beyond	Maybe (depending on actual FP funding and bilateral projects
		32. Strengthening partnerships with gender/NRM intermediaries and knowledge brokers	GIT, MEIA, Communication team	2016 and beyond	No
		33. Evaluation of implementation of Gender strategy after 5 years	MEIA, GIT, independent evaluation team	Early 2017	No (provisioned as CRP commissioned evaluation
7. The Evaluation Team recommends that FTA increases and makes more systematic its efforts to reach out to and involve partners on all levels: program donors, relevant actors of strategic importance for FTA, and boundary partners. FTA must further increase its efforts to include boundary partners into research priority setting, design, and implementation, develop their capacity, and ensure that FTA results targets respond to concrete needs of development partners.	Accepted in **full**.	34. Increased and more systematic use of outcome mapping and ex-ante impact assessment (active portfolio management context)	MEIA, FTA teams	Starting 2015	No
		35. Continue expanding strategic partnership	FTA Management and teams	Recurring task	No
		36. Partner consultation strategy and early partner involvement	FTA Management	Current 2015	Yes to organize partner consultation
		37. Specific capacity development actions for strategic boundary partners	Capacity development team, FTA Management	Starting 2015	No (re-allocation of some w1/w2 funds for the CD team)
		38. Active promotion of FTA as a program with important policy and practitioner partners	Resource Mobilization and Communication units, FTA Management and team	Starting Oct 2014	No
8. The Evaluation Team	Accepted in **full**.	Not for FTA Management to			

recommends that the Fund Council and the Consortium Office improve the predictability, reliability and timely disbursement of Window 1 and 2 resources to FTA and urge CGIAR members to provide full cost recovery when acting as bilateral donors.		comment			
9. The Evaluation Team recommends that the quality and coherence of FTA data management be improved.	Accepted in **full**.	39. Phase 1 of FTA project database development	MEIA, FTA Management, FP leaders, project managers	Aug-Dec 2014	No
		40. All projects fully mapped with adequate country information	FTA Management, Project Management units	Recurring task	No
		41. Implementation of CGIAR OA policy	FTA Management, Library units	Recurring task	Yes to cover some of the OA costs
		42. Phase 2 of FTA project database development	MEIA, FTA Management, FP leaders, project managers	Mid 2015	No
10. The Evaluation Team recommends strengthening and clarifying the mandate and the independent voice of the FTA Steering Committee, and to connect it better to the Consortium Board and Office.	Accepted in **full**.	43. Develop new TORs for Steering Committee	FTA Director	Oct 2014	Yes as the increase in size of the SC and bringing in independent member will likely increase the SC operating costs)
		44. Actively search for new members	FTA Management, SC	Sep-Dec 2014	No
		45. TORs of new SC approved	SC at its 9th session	Dec 2014 (tbc)	No
11. The Evaluation Team recommends that the Director's mandate and independence, and FTA's	Accepted **partially**	46. Revised FTA Director TORs	FTA Director, Lead Center DG	Oct 2014	No
		47. TORs for FTA Management Unit	FTA Management	Oct 2014	No

overall line management reporting be strengthened.		or Committee			
		48. Revised TORs for FP leaders and CCT coordinators	FTA Director	Oct 2014	No
		49. All these TORs approved by SC	SC at its 9th session	Dec 2014 (tbc)	No
12. The Evaluation Team recommends that the Fund Council, the Consortium Board and Office, the FTA Lead Center and FTA Participating Institutions work together to ensure a multi-year period of stable operations during which confidence and trust is built, the recommendations of this report are implemented, and important requirements for FTA's future success are put in place.	Accepted in **full**.	50. Agreed on a course of action with the Consortium Office and Fund Council	FTA Director, SC, Lead Center DG and BOT	Early 2015	No