



Forests, Trees and Agroforestry

Montpellier, 21 June 2013

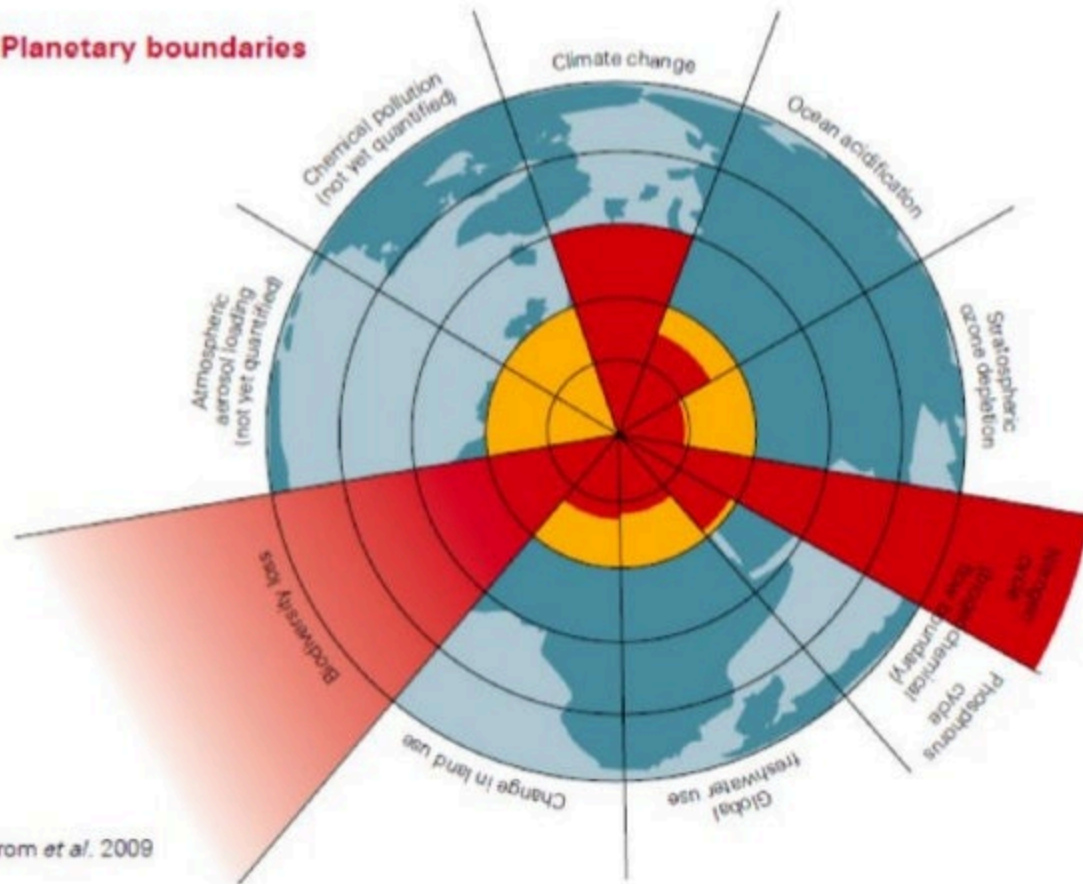


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The context

We have exceeded 3 of the 9 Planetary boundaries: greater risks and uncertainty emerging.

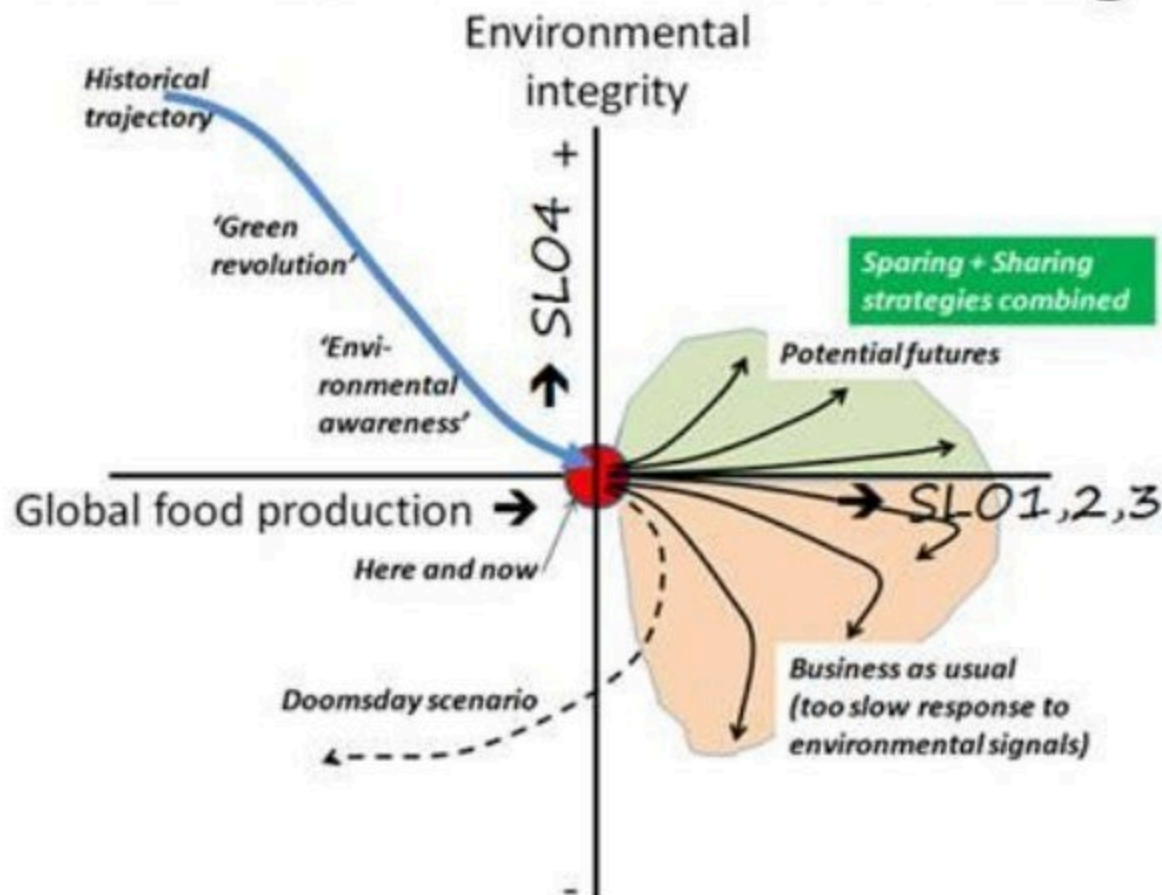
Figure 4.2: Planetary boundaries



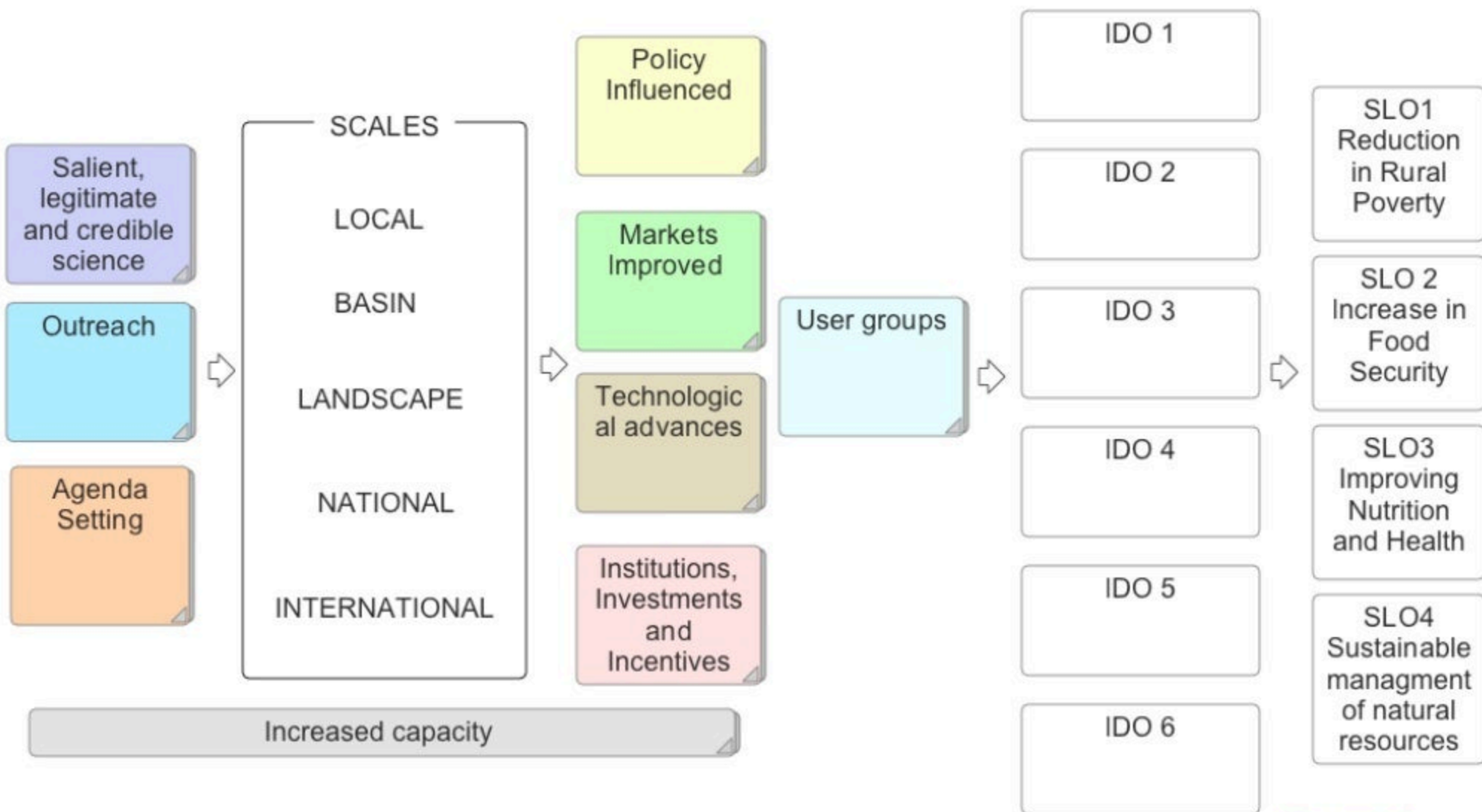
Source: Rockstrom *et al.* 2009

Forests, Trees and Agroforestry for Green Growth

Redirecting development pathways towards environmental integrity



Our general theory of change



Research to impact



Generic Theory of Change



IDOs



SLOs

Flagship impact pathways

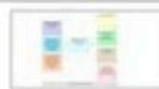
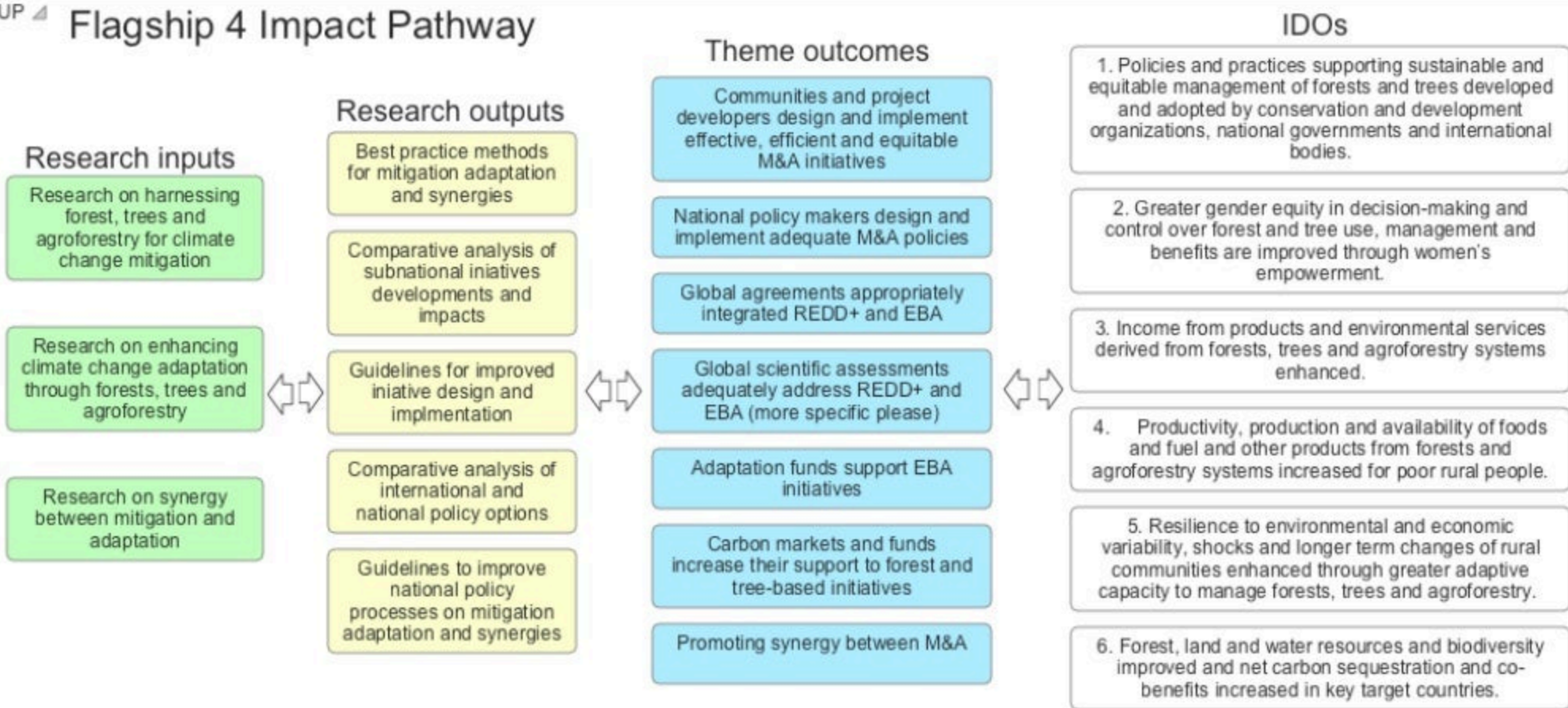


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cifer.org/Forests-Trees-Agroforestry

Example impact pathway

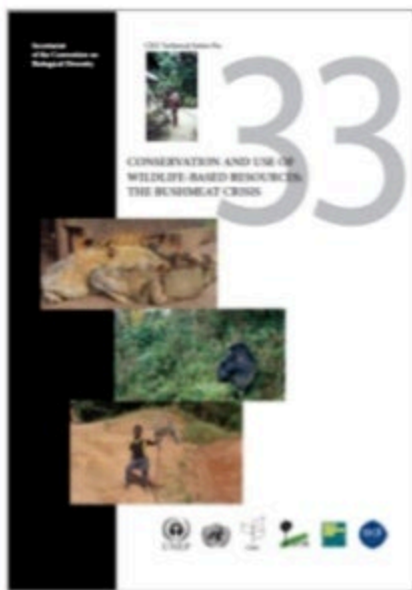
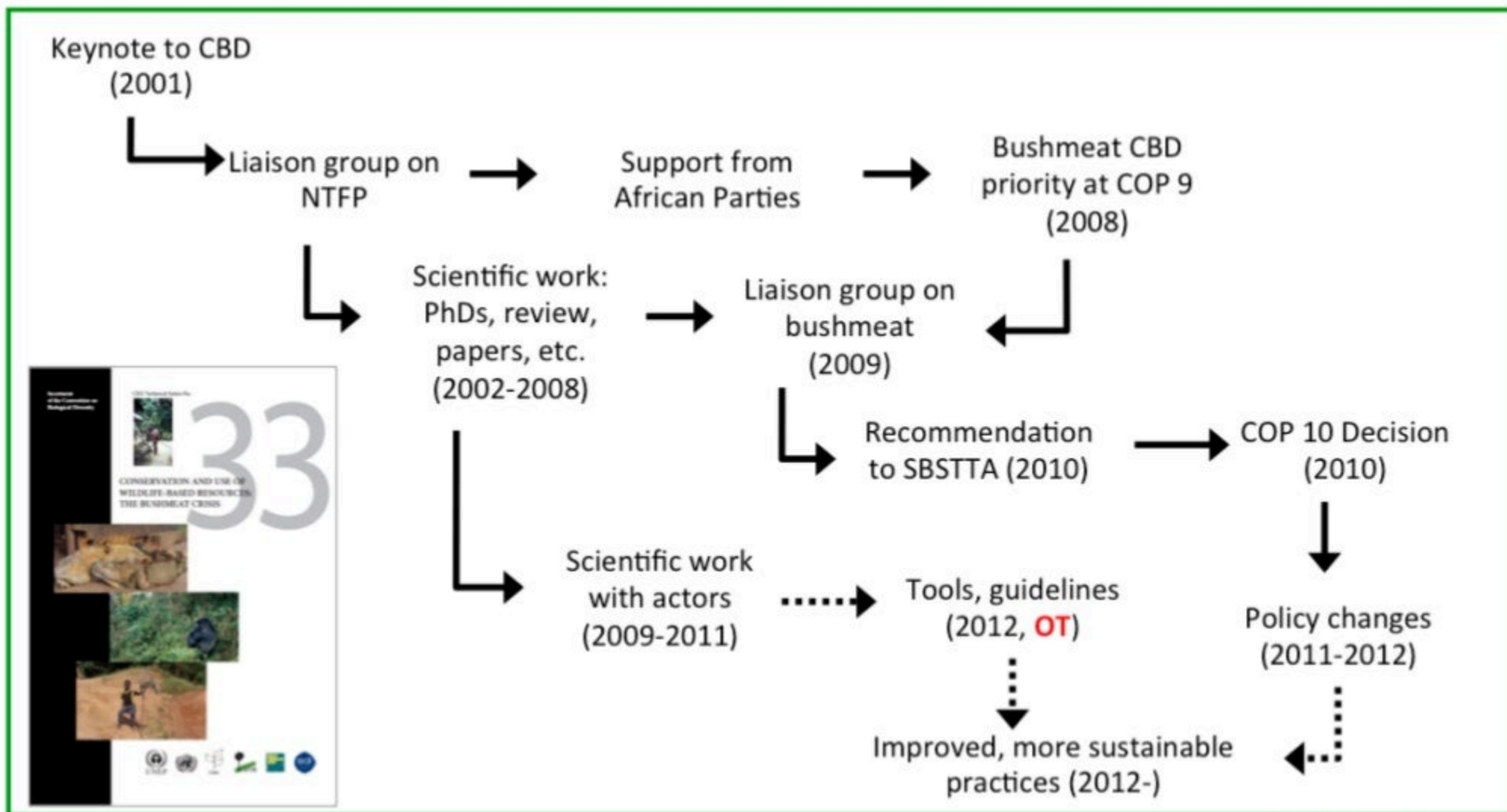
UP ⁴ Flagship 4 Impact Pathway



Generic Theory of Change

Actual impact pathway

The bushmeat issue





Theme

1

Smallholder production systems and markets

Lead Center:
ICRAF

- Enhancing productivity and sustainability of smallholder forestry and agroforestry practices (food security and nutrition)
- Increasing income generation and market integration for smallholders
- Improving policy and institutions to enhance social assets to secure rights to forests, trees and land



Theme

2

Management and conservation of forest and tree resources

**Lead Center:
Biodiversity**

- Understanding threats to populations of important tree species and formulating E³ genetic conservation strategies
- Conserving and characterizing high-quality germplasm of high value tree species in the forest to farm gradient
- Developing improved silvicultural and monitoring practices for multiple use management of forest ecosystems
- Developing tools and methods to resolve conflicts over distribution of benefits and resource rights



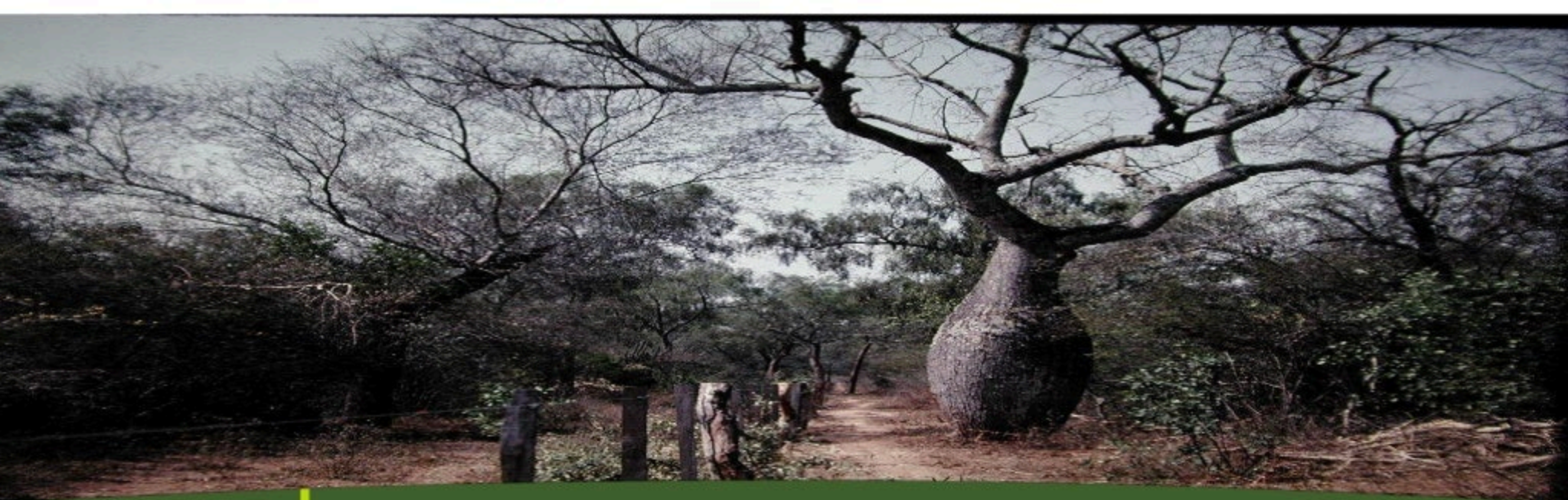
Theme

3

Environmental services and landscape management

Lead Center:
ICRAF

- Understanding patterns and drivers of forest (tree cover) transition in decline and restoration phases
- Understanding consequences of tree cover transition for livelihoods, environmental good and services, and adaptive policy
- Active learning landscapes where innovative responses and policy options are tested



Theme

4

Climate change adaptation and mitigation

Lead Center:
CIFOR

- Harnessing forests, trees and agroforestry for climate change mitigation
- Enhancing climate change adaptation through forests, trees and agroforestry
- Understanding the role of forests, trees and agroforestry in achieving synergies between climate change mitigation and adaptation



Theme

5

Impacts of trade and investment on forests and people

Lead Center:
CIFOR

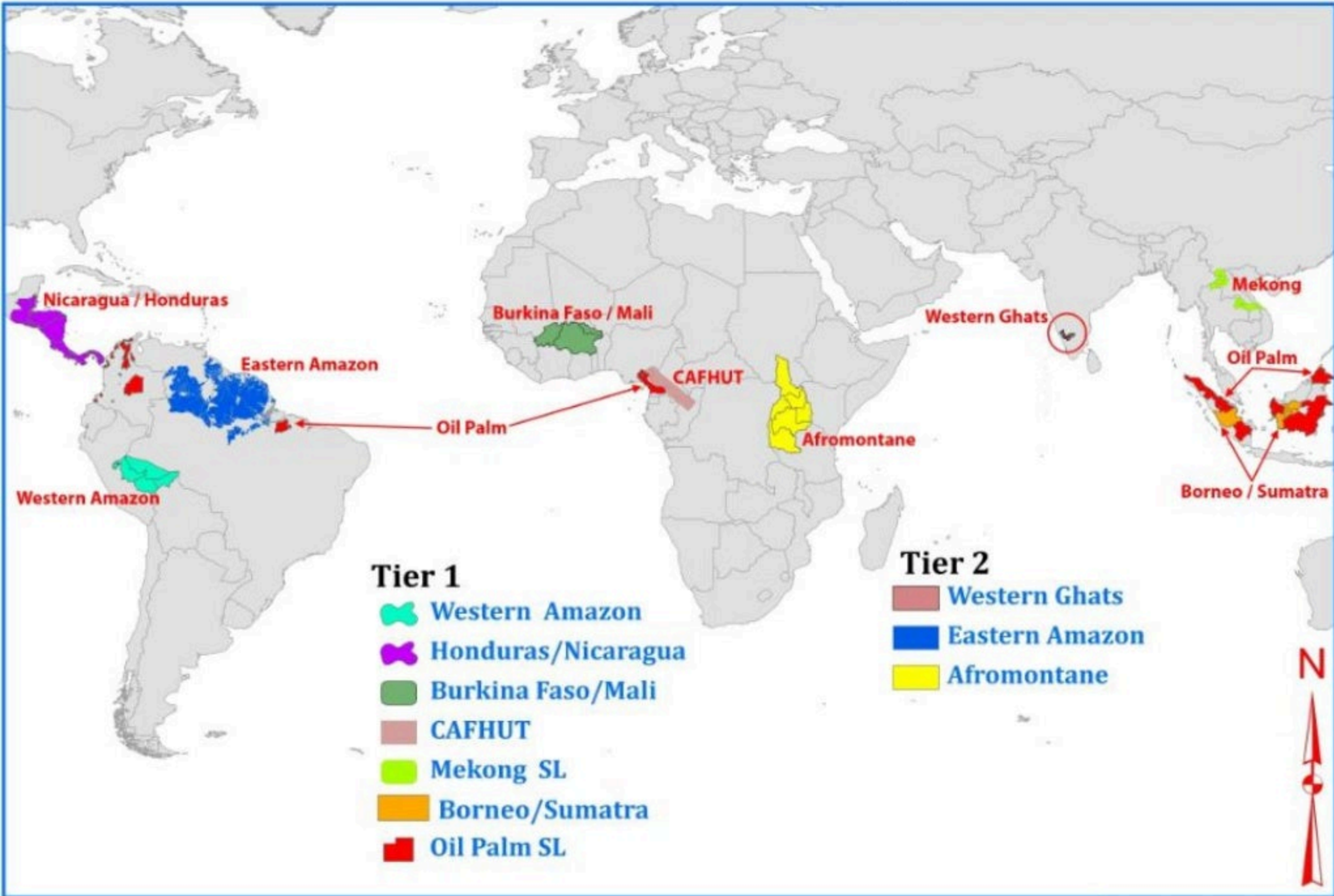
- Understanding the processes and impacts of forest-related trade and investment
- Enhancing responses and policy options to mitigate negative impacts and enhance positive impacts from trade and investment

Overarching and Cross-cutting

- Gender
- Capacity building
- Communications, outreach
- Monitoring, Evaluation and Impact Assessment



Sentinel Landscapes



Partnerships

Levels/Types	Research Partners	Policy and Practice Partners	Knowledge-sharing Partners
International	CIRAD , IRD, CSIRO, Forest Landscape Denmark, IUFRO, Norwegian University of Life Sciences	CPF, FAO, UNEP, World Bank, UN-REDD, IPCC, FSC, IUCN	BBC World Service Trust, Panos, UN-REDD, CPF, IUCN
Regional	CATIE , Amazon Initiative, ANAFE, FARA, SEANAFE; ASARECA, CORAF, SAARD, STCP, SA/AP/LAFORGEN	AFF, COMIFAC, Asia Forest Partnership, ECOWAS	RECOFTC, STCP, CATIE
Country or local	NARS, local/national research organizations, FORDA, KEFRI	NARS, government, CBOs, NGOs, private sector companies	Local NGOs and networks, government

Phased work plan

Phase 1, 2011-14 Development

Teams and processes
Common Operational Plan
Mapping projects
MEIA & Gender strategies
Building partnerships

Phase 2, 2015-17 Refinement

↗ collaboration between CRPs (esp. 1.x)
↗ harmonization
↗ integration of partners into governance and implementation

Phases 3 + 4, 2018-23 Stock take & adaptation

Overall approach revisited and modified based on results of CRP impact assessment, successes & failures, etc.

External Evaluation 2013
Impact assessments
Theme evaluations
IDOs + targets

Mid-term impact “overview”
Evaluation of implementation of gender and MEIA strategy
Milestones to IDOs

Overall impacts (target achievements - 2023)
External evaluations 2018, 2023

Defining research themes
Data management and platforms

Revisiting original themes, focusing, addressing gaps and emerging issues

New themes, continuation of relevant ones

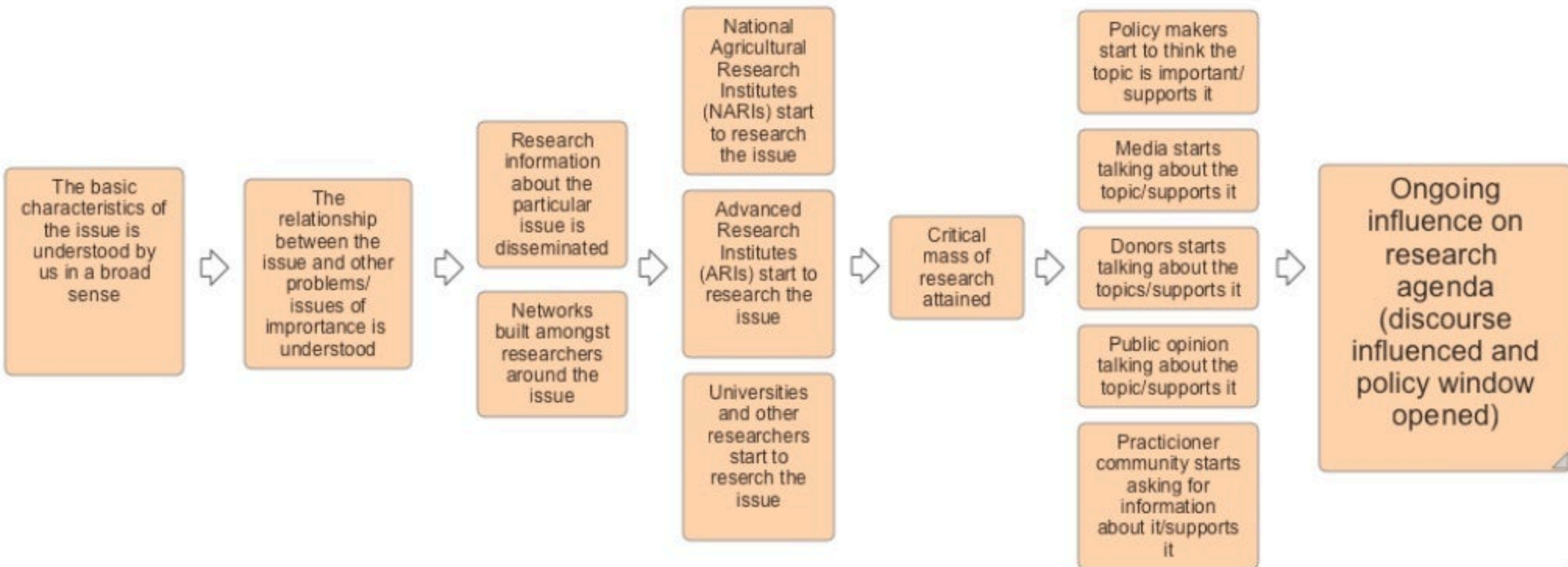
Intermediate Development Outcomes

1. Policies and practices supporting sustainable and equitable management of forests and trees developed and adopted by conservation and development organizations, national governments and international bodies.
2. Greater gender equity in decision-making and control over forest and tree use, management and benefits are improved through women's empowerment.
3. Income from products and environmental services derived forests, trees and agroforestry systems enhanced.
4. Productivity, production and availability of foods, fuel and other products from forests and agroforestry systems increased for poor rural people.
5. Resilience to environmental and economic variability, shocks and longer term changes of rural communities enhanced through greater adaptive capacity to manage forests, trees and agroforestry.
6. Forest, land and water resources and biodiversity conserved and improved and net carbon sequestration increased in key target countries.

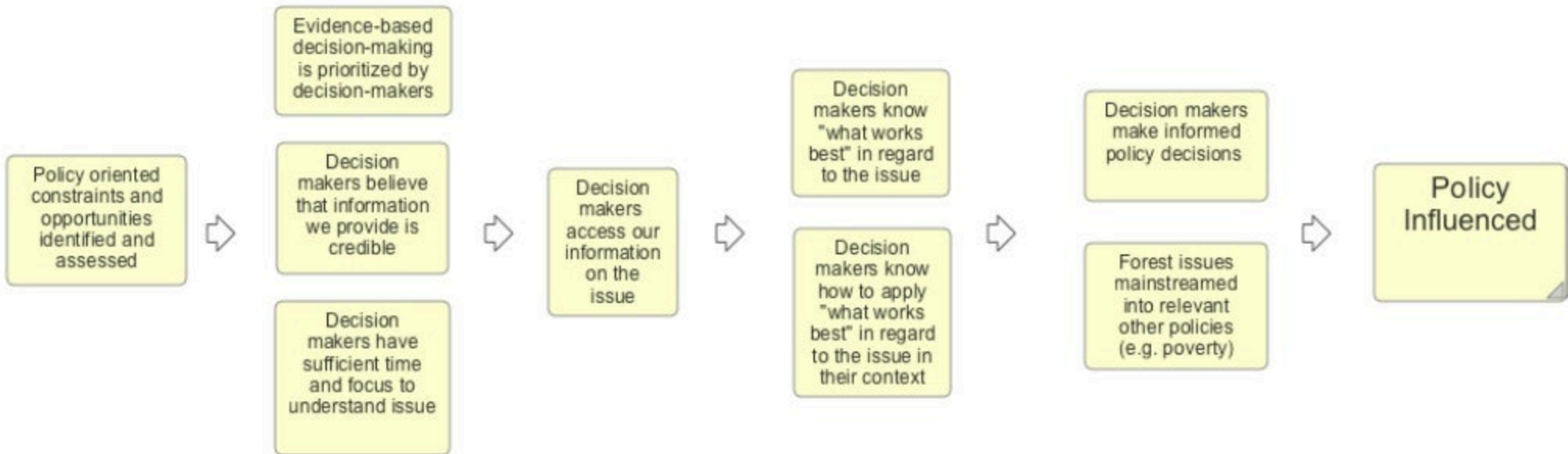
IDO example targets

- **IDO:** Productivity, production and availability of foods and fuel and other products from forests and agroforestry systems increased for poor rural people. (SLO1, SLO2, SLO3)
- **Specific CRP targets (within 12 years):**
 - Enhanced production and management options for forest and agroforest based products benefiting at least 2 million producers and traders and their families;
 - At least 1.5million producers benefiting from increased conservation efforts related to tree diversity;
 - Enhanced production and management technologies raising tree, land and labor productivity of target groups by at least 30%

Agenda setting



Policy influence





Gender: Research and Action



IDO

Greater gender equity in decision making and control over forest and tree use, management and benefits are improved through women's empowerment. (ALL SLOs)

Achievement of IDO

Metrics

Targets

Gender equality in decision-making and control over FTA resources and relevant value chains results in increased incomes and benefits for women.	Incomes of men and women, and spending decisions	Income from FTA goods and services controlled by women and men has increased such that gender inequality in income from these goods and services has decreased by at least 30 percent
Women's increased control over FTA resources enhances family nutrition and health.	WEIA	At least 20-30% of women and their families have improved health conditions or have reduced incidence of common illness due to nutritional deficiency in program countries.
More secure tenure and rights for men and women increases access to diversified and improved food and tree species/varieties.	Number of days without food shortage in dry season	At least xx women and their families benefit from FTA products for food security for xx additional days during the dry season
Gender equality in participation in and influence over resource use decisions and benefits increases investments in sustainable resource management and reduces degradation.	Number and type of trees planted	Xx million women are newly empowered to plant and manage FTA resources in xx countries
	Number of women and men in forest committees/councils	20-30% of members elected/appointed to forest management committees are women
	Range of rights to forests and trees held by women and men	10-15% of women in program areas have control (i.e. stronger rights) over FTA resources at household and community levels
	Number of NRM activities	Increased number of women-initiated and supported NRM activities at farm and

Current

- Mainstreaming approach, within themes, FTA-wide
- Gender strategy approved
- Capacity building: training, workshops, resource materials, fellowships, recruitment, consultants
- Institutional architecture: proposal development and approval
- Learning: annual monitoring of processes
- Sentinel landscapes
- Partnerships: multiple levels; multiple organizations (research and practice, policy)





Onward: Sustaining momentum

- Capacity—critical mass
- Institutional architecture: performance assessment; accountability;
- Partnerships across the research/action cycle:
 - Cross-CRP
 - Cross-level
- Learning: mid-term evaluation of gender strategy



Forests, Trees and Agroforestry

Planning, Monitoring and Learning



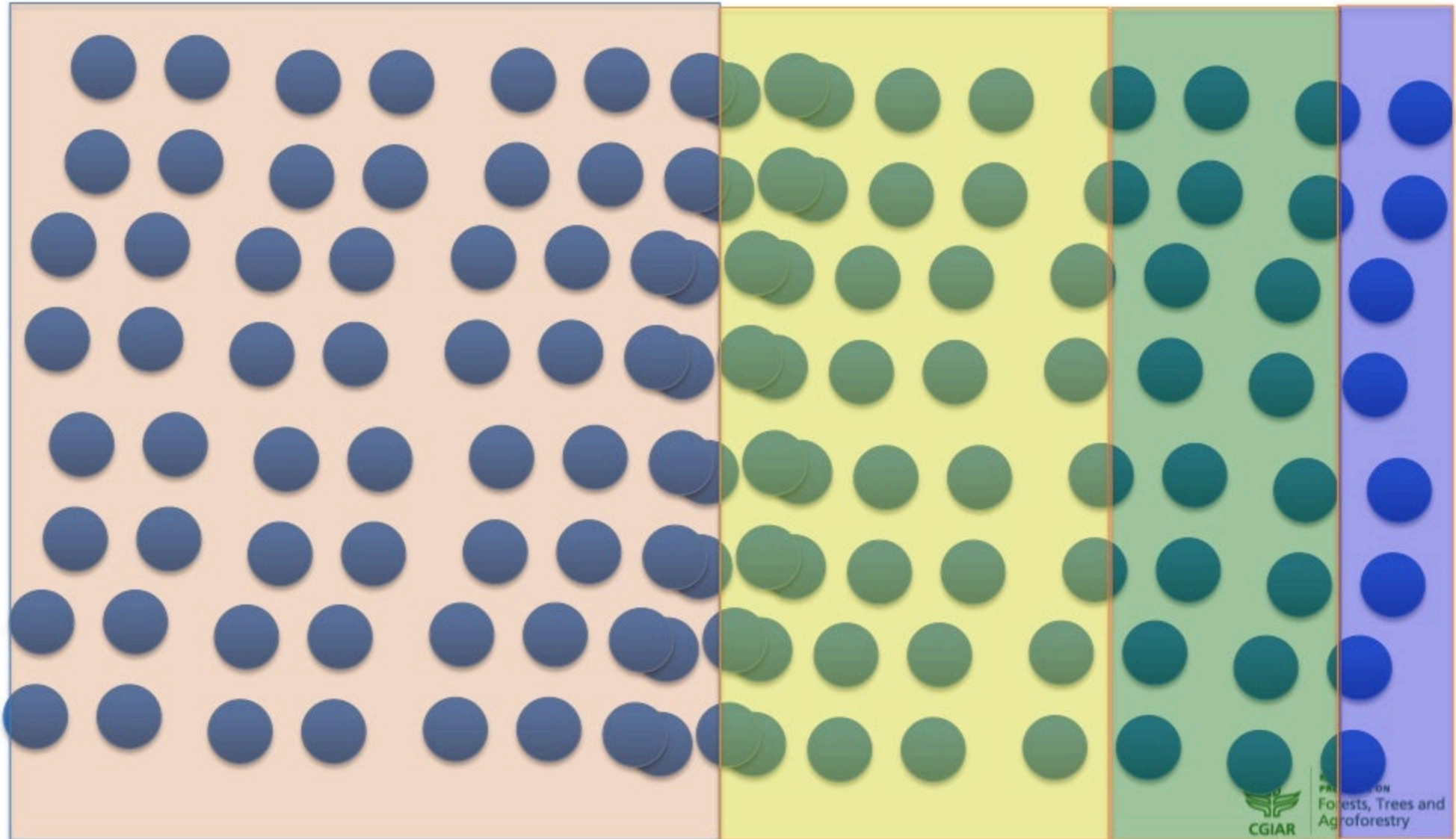
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The simplest questions

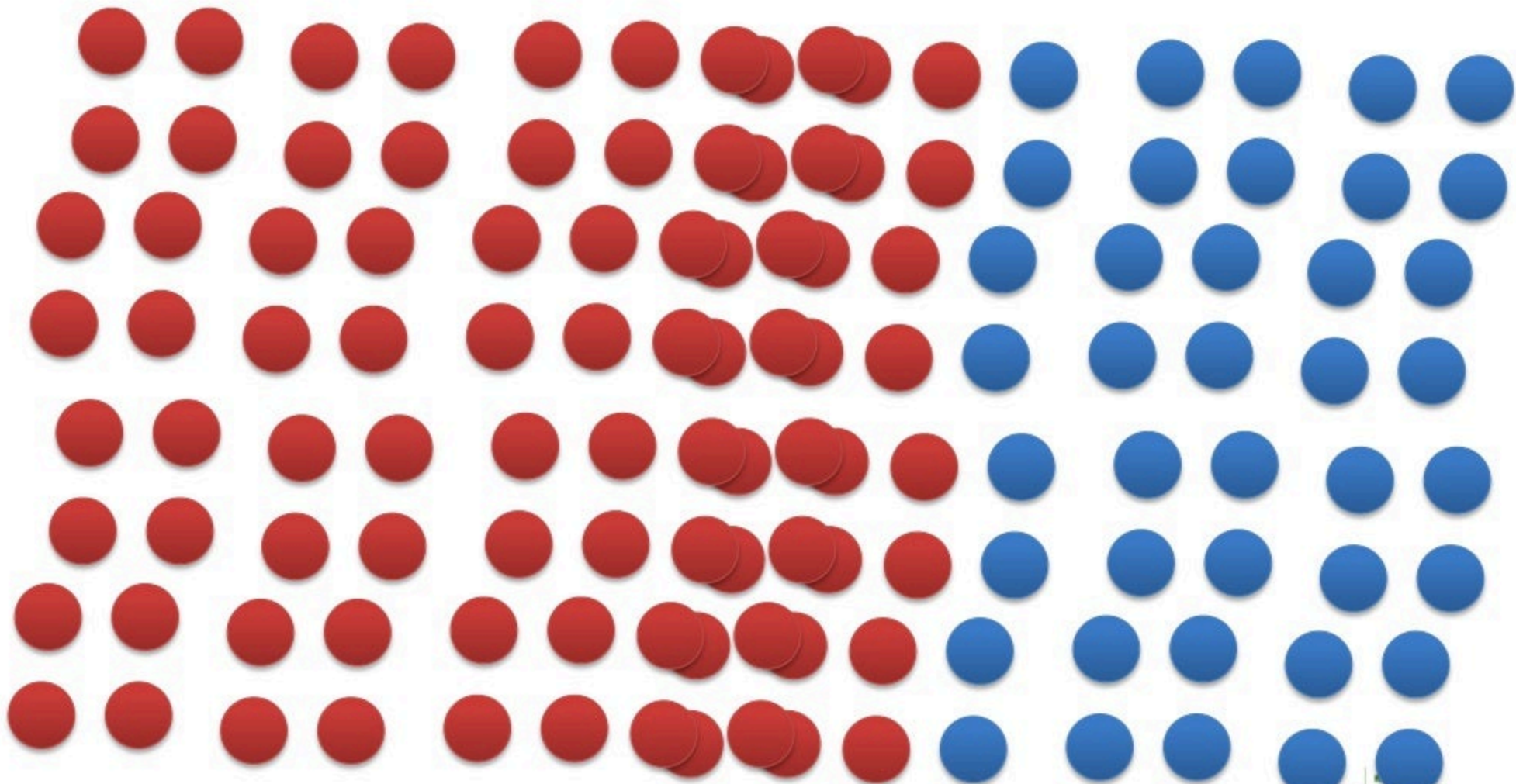
“Describe progress along impact pathways, any deviations, unexpected results, and associated costs and lessons learnt”

“Develop aggregate targets across CRPs”

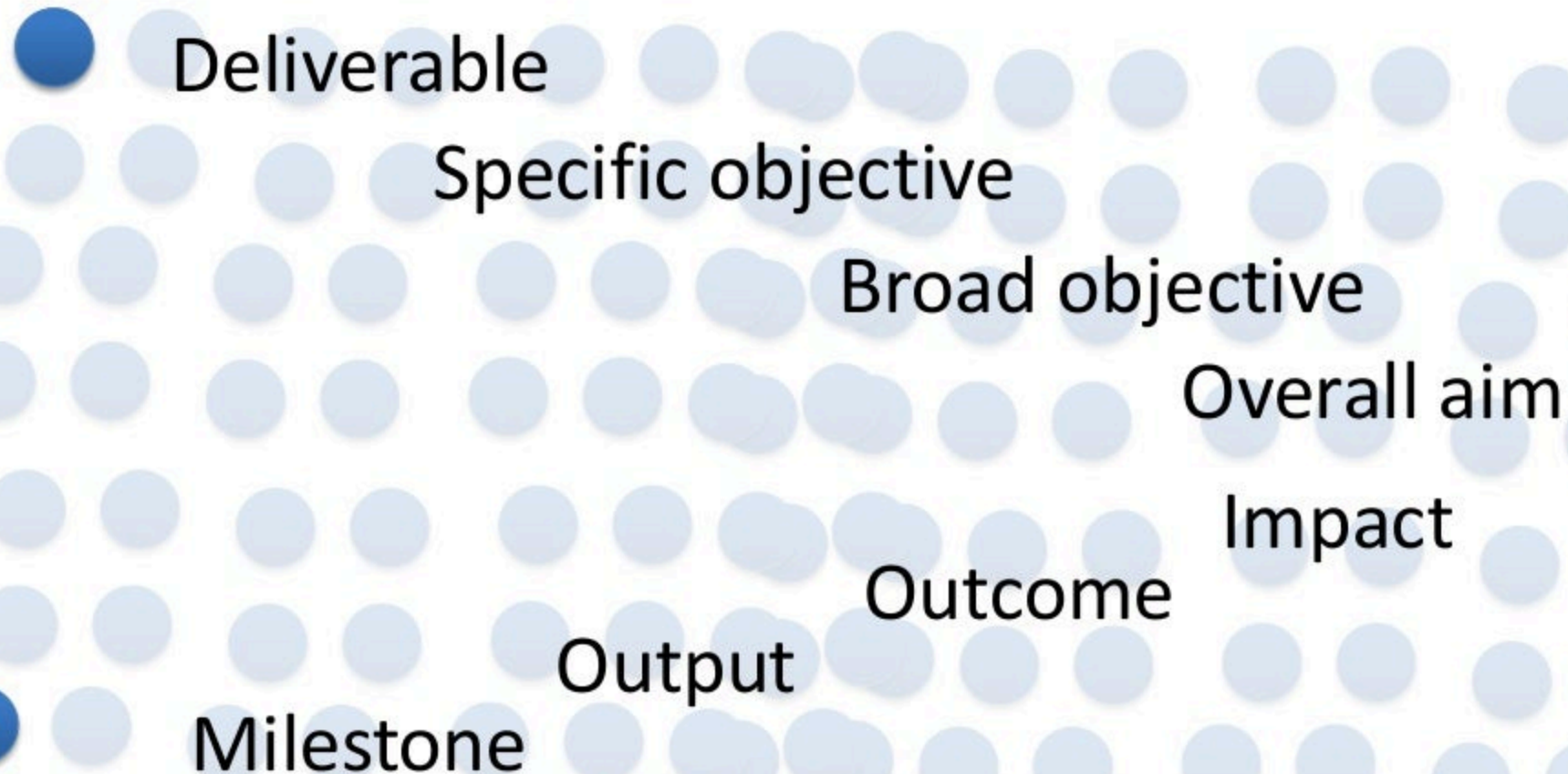
120+ active grants across 4 centers



Some pre-CRP, some post-CRP



Most use their own results vocabulary

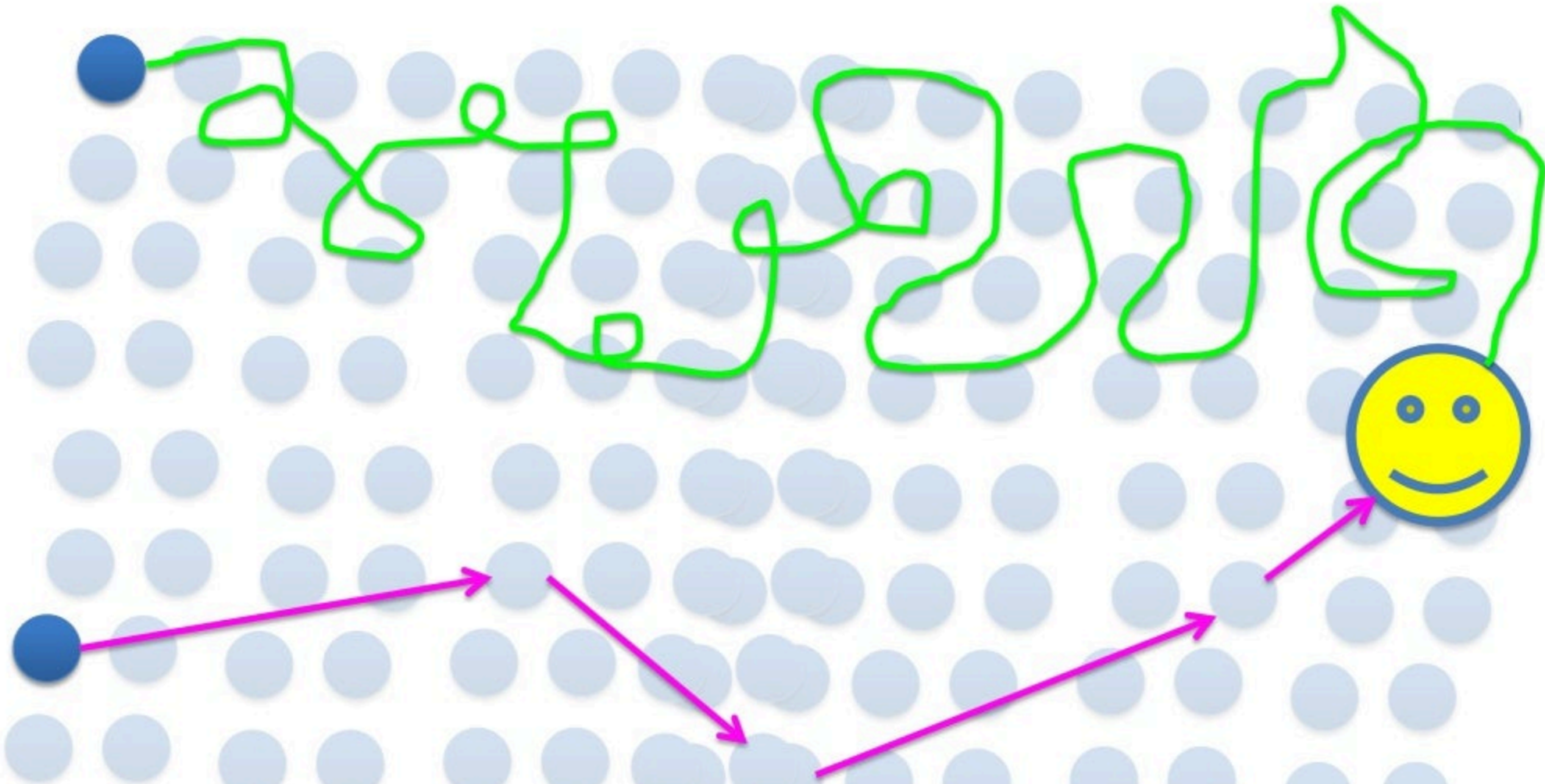


Most use unique high-level result statements

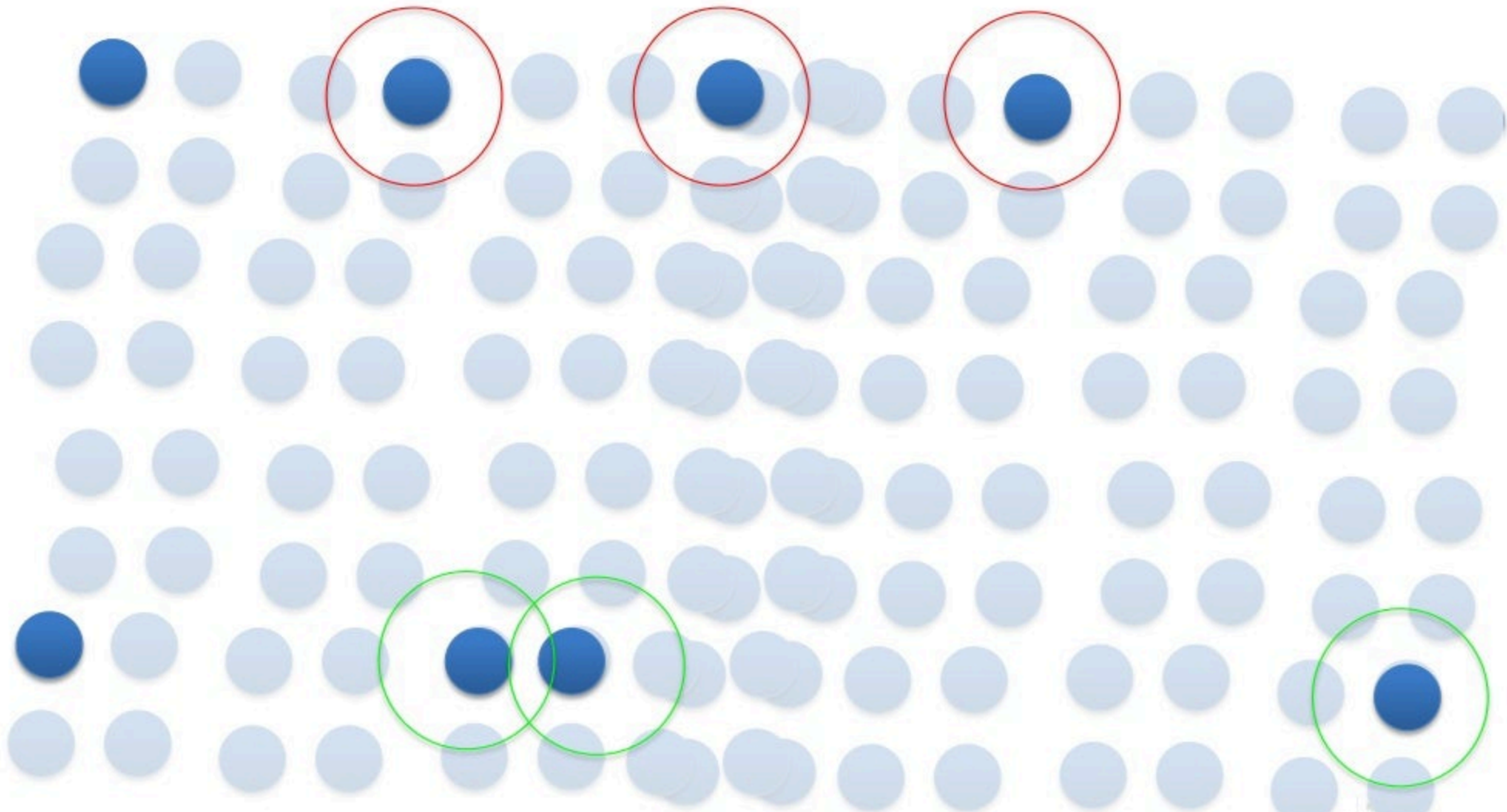
● Overall partnership aims are to reduce poverty (protection of local livelihoods, protection of rights and land tenure, protection of vulnerable groups) and increase resilience to climate change, including mitigation.

● The programme will contribute to the global impacts of poverty reduction, biodiversity conservation and climate protection through improved management of forests.

Meaning most have their own idea of what constitutes an impact pathway



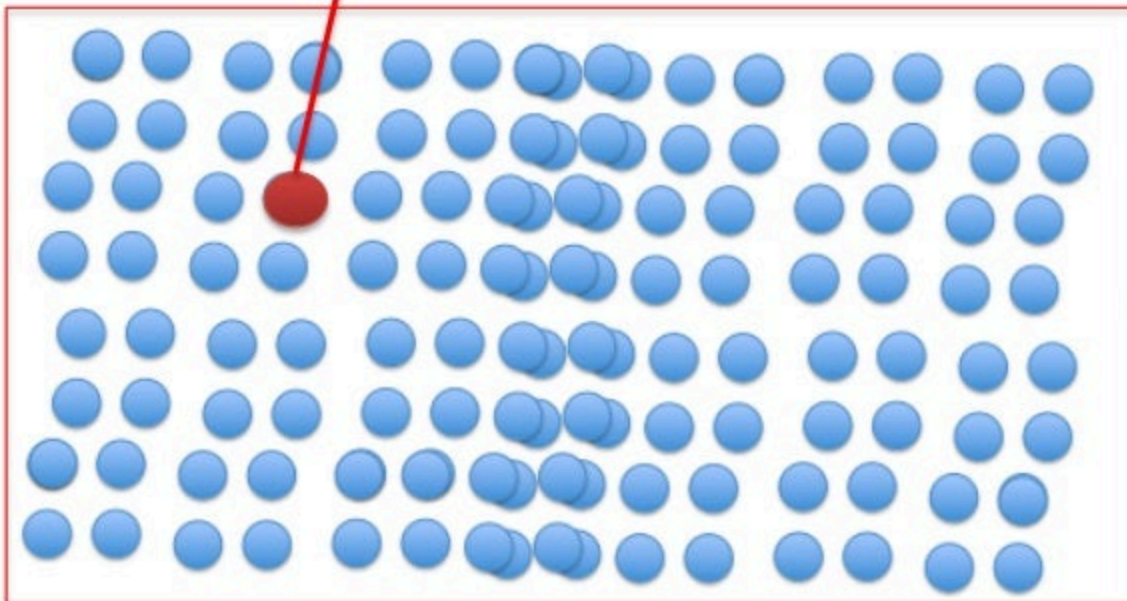
And each has its own indicators of progress



We need to understand and report on each grant, and on the aggregate contribution of all grants to IDOs

Individual grant targets,
reporting

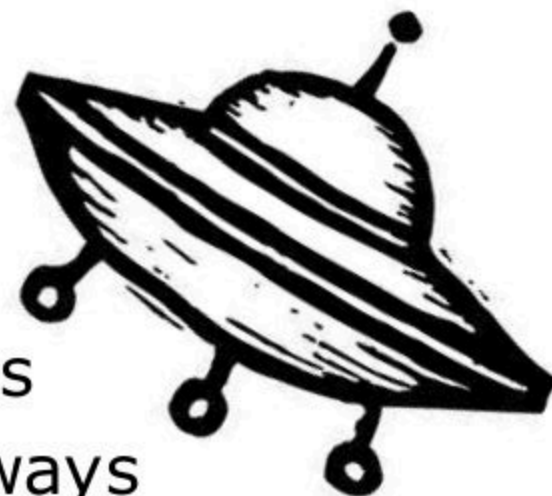
Aggregate CRP targets,
Reporting against IDOs



Rough estimate of
FTA documentation
= 4000-8000 pages
of text

The truth is out there

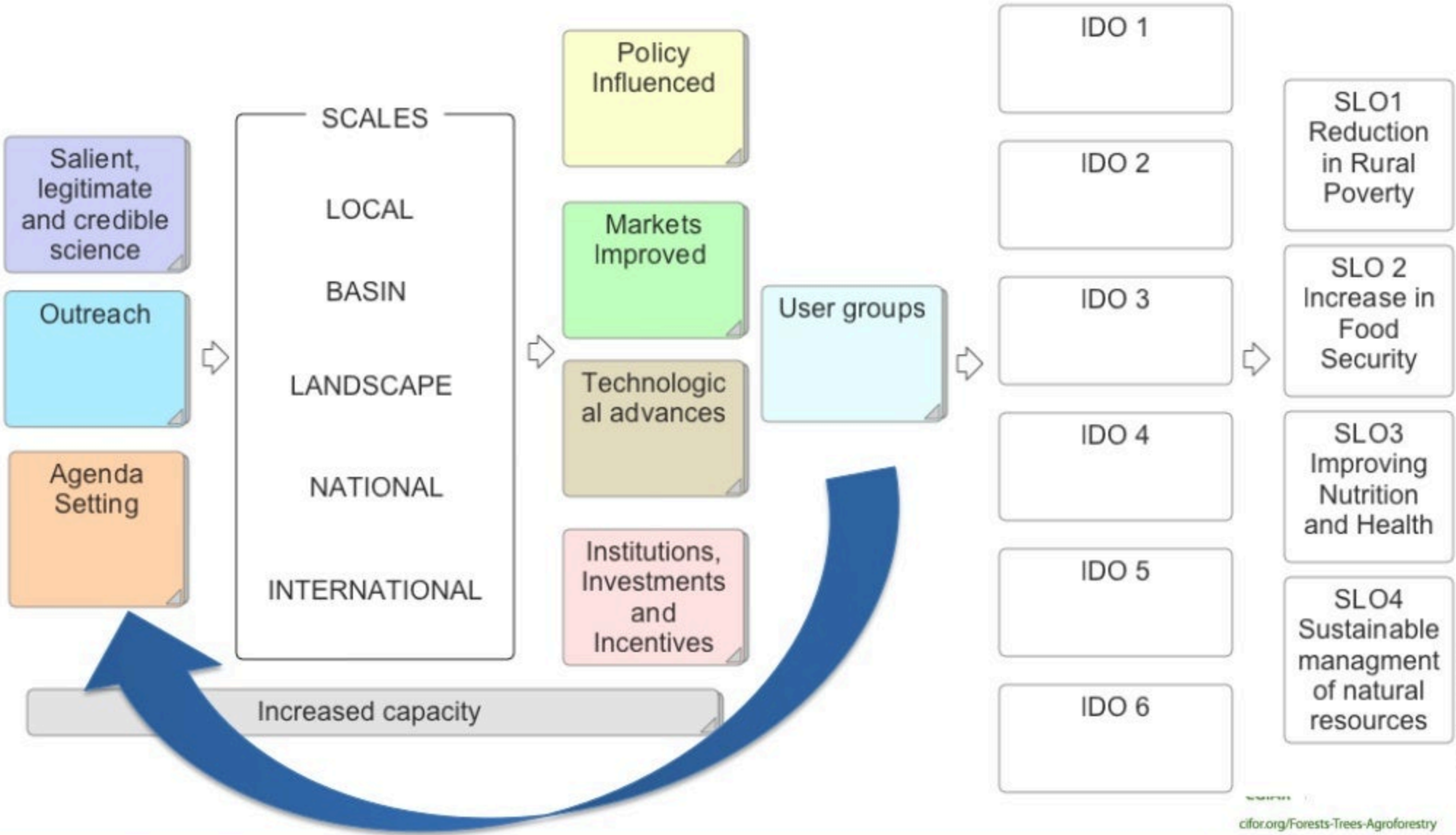
- 4000-8000 pages of text
- 120+ active grants
- Different results vocabularies
- Different high-level result statements
- Different description of impact pathways
- Different targets, indicators
- Complex questions to answer on an annual basis



Four key elements to make sense of it

1. Common theory of change
2. Common operational plan
3. Individual grants mapped to operational plan
4. Outcomes theory

From research to action: FTA theory of change



SLO1
Reducing rural
poverty

SLO2
Increasing food
security

SLO3
Improving nutrition
and health

SLO4
Sustainable management of
natural resources

IDO1

IDO2

IDO3

IDO4

IDO5

IDO6

CRP6

Theme 1

Outcomes

Outputs

Milestones

Theme 2

Outcomes

Outputs

Milestones

Theme 3

Outcomes

Outputs

Milestones

Theme 4

Outcomes

Outputs

Milestones

Theme 5

Outcomes

Outputs

Milestones

Projects

A

B

C

D

E

F

G

H

I

J

K

L

SLO1
Reducing rural
poverty

SLO2
Increasing food
security

SLO3
Improving nutrition
and health

SLO4
Sustainable management of
natural resources

IDO1

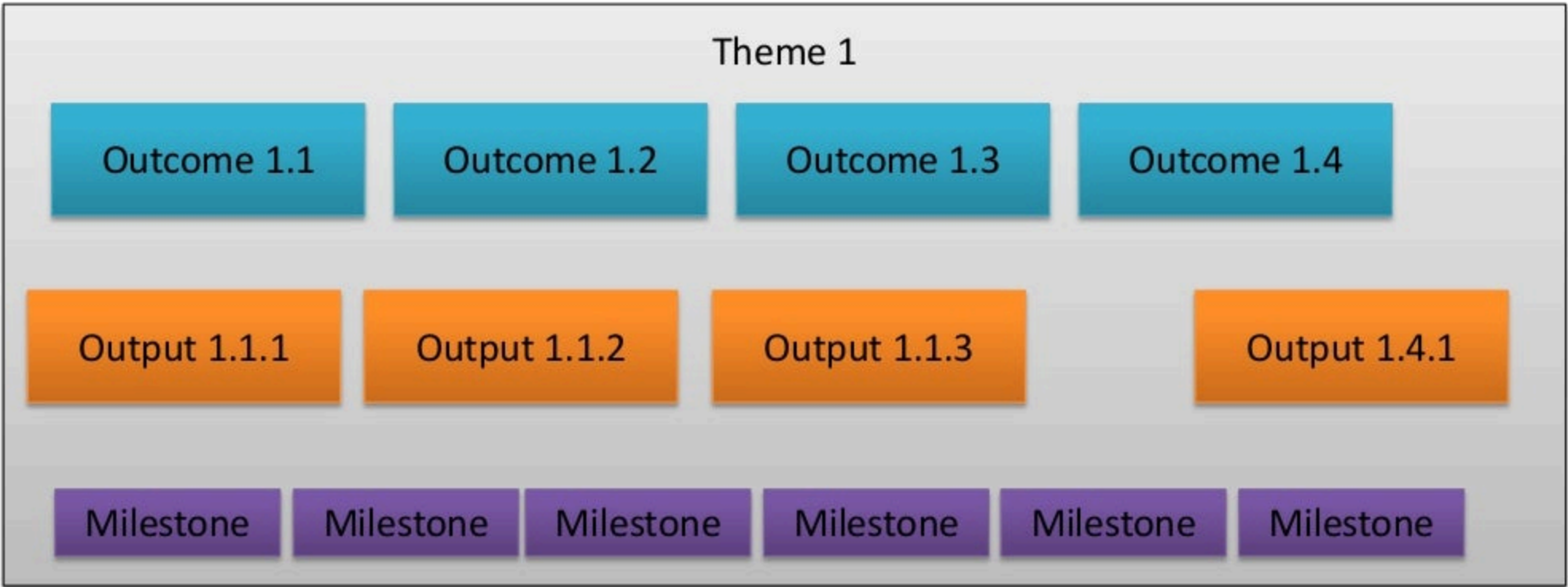
IDO2

IDO3

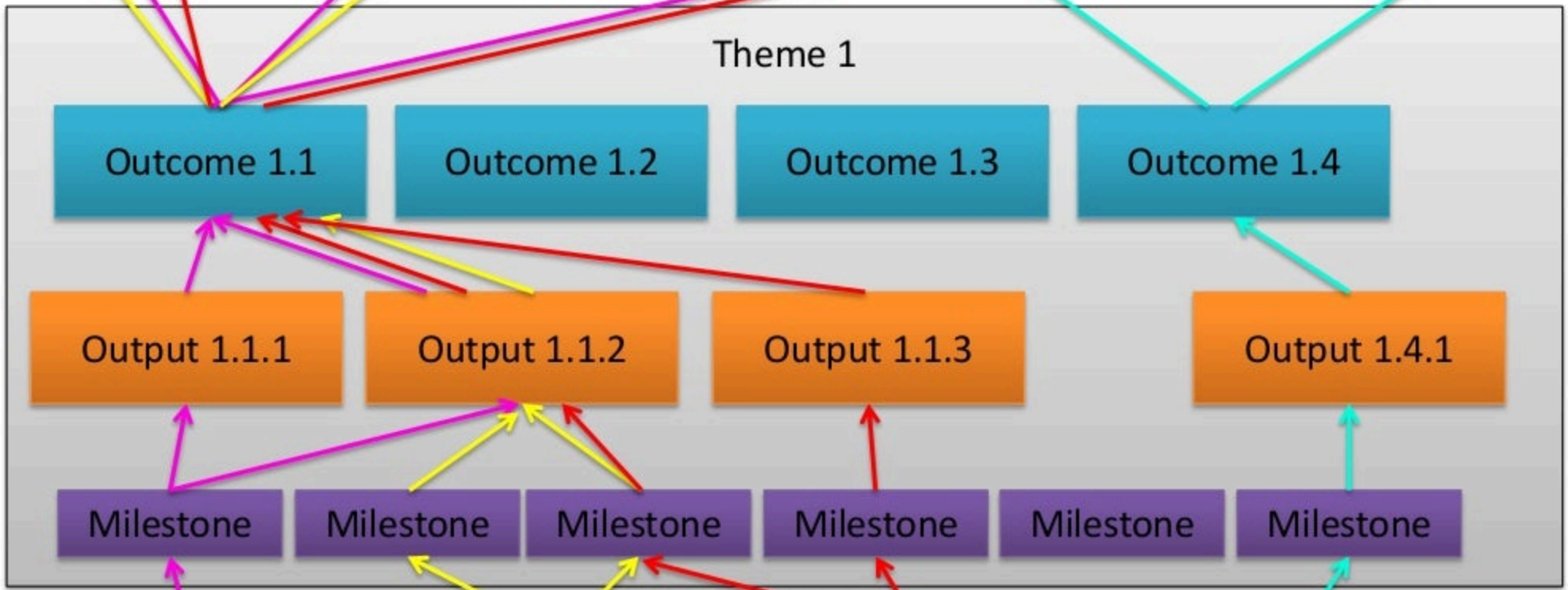
IDO4

IDO5

IDO6



Projects A B C D E F G H I J K L



SLO1
Reducing rural poverty

SLO2
Increasing food security

SLO3
Improving nutrition and health

SLO4
Sustainable management of natural resources

IDO1

IDO2

IDO4

\$ Spent

Theme 1

Outcome 1.1

\$ Spent Research location Research topic Partners

Output 1.1.1

Output 1.1.2

Output 1.1.3

\$ Spent Research location
Research topic Partners

Milestone

Milestone

Milestone

Milestone

A

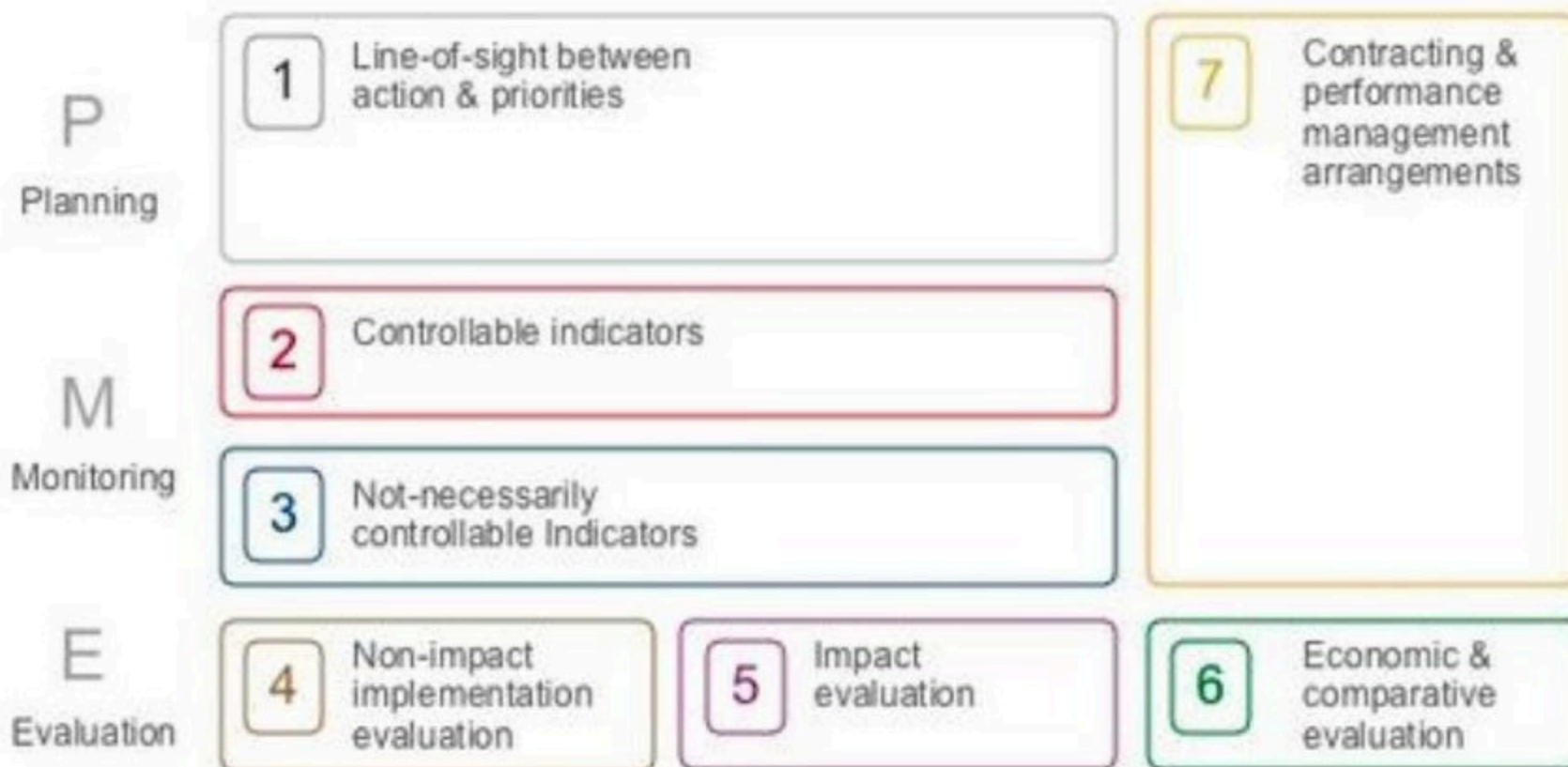
D

G

Donors

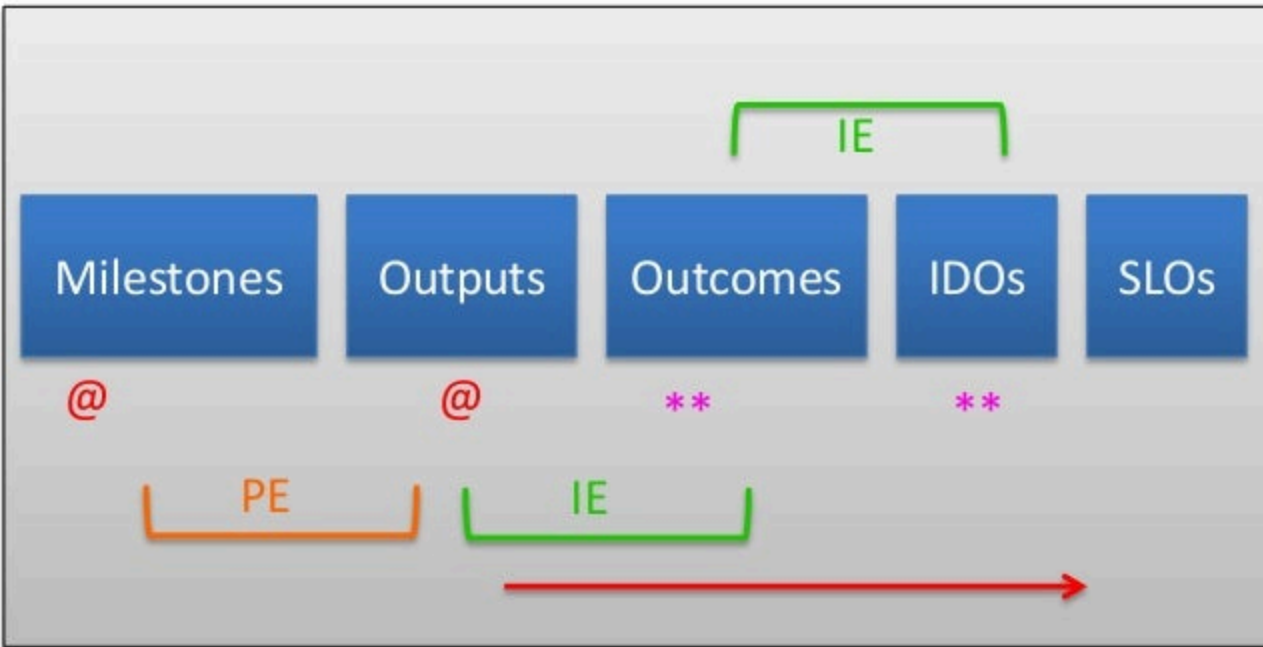
Outcomes theory: a useful framework

Duignan's Outcomes System Diagram



Process Evaluation

PE



Impact Evaluation

IE

IE

Attributable/controllable indicators

@

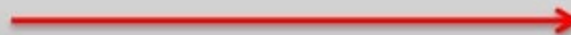
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Progress/not entirely controllable indicators

**

**

Economic and comparative Evaluation





Every child and their family is supported on the child cancer journey



Assessing our contribution to local, national and global change

LAMIL: Landscape Management for Improved Livelihoods

- A joint ICRAF-CIFOR project in Guinea from 2005-2008
- Now 5 years after the end of the project, impact assessment will focus on:
 - Livelihood and environmental outcomes
 - Capacity and gender outcomes in target communities
 - Policy changes associated to project
 - Hits and misses
 - Potential scaling up and out of hits
- Assessment due to begin in August 2013, finish in 2014

Congo Basin Sustainable forest management

- CIFOR & CIRAD research in Congo Basin since mid-90s
- Contribution analysis - examines the overall theory of change of CIFOR's and partners interventions
- To what extent did CIFOR's activities contribute to the changes in sustainable forest management in the Congo basin, and how
- Expected completion early 2014



Optimizing our approach

Independent Evaluation Arrangement

- Evaluation of entire FTA portfolio
- Starting now, scheduled completion August 2014

CRP-commissioned evaluation of Theme 2

- Scope, approach
- Theory of change, impact pathways
- Partner networks, etc
- Started May 2013, completion in a few months

Estimated funding needs (x000 USD)

Phase 1: 2011-2014, approved 232.0

Flagship/Theme	Phase 2 2015-2017	Phase 3 2018-2020	Phase 4 2021-2023	TOTAL
Small-holders, production markets, livelihoods	69.3	80.3	93.4	243.5
Managing and conserving forest and tree resources	54.7	63.8	73.9	193.0
Enhancing environmental services	55.2	63.0	73.9	193.0
Climate change adaptation and mitigation	68.3	80.3	92.5	243.5
Global trade and investment	25.2	29.2	33.8	88.2
Gender mainstreaming	4.6	5.3	6.2	16.1
Capacity building support	3.1	3.5	4.1	10.7
Sentinel landscape	6.2	7.1	8.2	21.5
Communication support	3.1	3.5	4.1	10.7
Monitoring, Evaluation, Impact Ass.	3.0	3.0	3.5	9.5
Management Support Unit	1.2	1.2	1.3	3.7
TOTAL	293.9	340.2	394.8	1,029.9

?

Approx. 10% Gender, 5% Cap. building and 30 to 35% to pass through partners



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This research was carried out by CIFOR as part of the CGIAR Research Program on Forests, Trees and Agroforestry (CRP-FTA). This collaborative program aims to enhance the management and use of forests, agroforestry and tree genetic resources across the landscape from forests to farms. CIFOR leads CRP-FTA in partnership with Bioversity International, CIRAD, the International Center for Tropical Agriculture and the World Agroforestry Centre.

cifor.org/Forests-Trees-Agroforestry