

## **Review of CCAFS Capacity Enhancement activities**

*Climate Futures evaluation: 15<sup>th</sup> October 2014*



RESEARCH PROGRAM ON  
**Climate Change,  
Agriculture and  
Food Security**



## 1. Introduction

CCAFS and the CGIAR research Centers provide cutting-edge research on global climate change, agriculture and food security. CCAFS also has the objective to support **Capacity Enhancement (CE)** through improvements to:

1. **Researchers' capacity** to generate knowledge on climate-smart food systems, adaptive capacity and rural livelihoods under climate change;
2. **Decision-makers' capacity** to demand, critique and use this knowledge effectively to work out policy options, and to evaluate and adjust these policy options and related actions;
3. **Decision-influencers'** access to information (Climate Futures definition).

CE includes the development of skills and knowledge, dissemination of information, education, empowerment and behaviour change. A particular focus is empowerment of underrepresented groups including women. These activities are undertaken across much of the developing world, defined into the regions, East Africa, West Africa, Latin America, Southeast Asia and South Asia (and to a lesser extent the Middle East and North Africa, East Asia, Central Asia and Global).

CCAFS has **no specific targets** for spending or performance on CE, and there is no formal reporting procedure for CE. Reported activities in 2011, 2012 and 2013 include CE outputs, and some reported **outcomes** and **case studies** also include CE.

CCAFS is scheduled for an external evaluation in 2015 by CGIAR's Independent Evaluation Arrangement (IEA). As part of the internal preparation for this evaluation, this report provides the findings of an evaluation of **CCAFS Capacity Enhancement activities**.

## 2. Method

A method was developed iteratively with CCAFS to best capture the CE outputs, outcomes and case studies from reports across a number of categories, for the three years, 2011, 2012 and 2013. A draft report was submitted on 30<sup>th</sup> September 2014. This final report presents updated results based on CCAFS comments. The approach was:

1. Review each report in turn;

2. Identify the activities with CE outputs. These were defined as those with at least one Researcher, Decision Maker or Decision Influencer partner and including at least one deliverable which may be described under a CE category (defined in Table 2);
3. Construct a database;
4. Copy across and enter key data on CE outputs from reports. Due to large data volumes this task was undertaken by three Climate Futures staff with assistance from a CCAFS staff member;
5. Verify and clean data;
6. Analysis of CE outputs;
7. Review CE outcomes and case studies from each report;
8. Synthesis and reporting.

Table 1 shows the reports analysed for the review.

*Table 1: CCAFS reports analysed for Capacity Enhancement deliverables*

	2011	2012	2013
<b>CGIAR Center Technical Reports</b>			
AfricaRice Technical Report	Y	Y	N/A
Bioversity Technical report	Y	Y	Y
CIAT Technical Report	Y	Y	Y
CIFOR Technical Report	N/A	Y	Y
CIMMYT Technical Report	Y	Y	Y
CIP Technical Report	Y	Y	Y
ICARDA Technical Report	Y	Y	Y
ICRAF Technical Report	Y	Y	Y
ICRISAT Technical Report	Y	Y	Y
IFPRI Technical Report	Y	Y	Y
IITA Technical Report	Y	Y	Y
ILRI Technical Report	Y	Y	Y
IRRI Technical Report	Y	Y	Y
IWMI Technical Report	Y	Y	Y
WorldFish Technical Report	Y	Y	Y
<b>Regional Program Leaders Reports</b>			
East Africa Technical Report	Y	Y	Y
Latin America Technical Report	N/A	N/A	Y
South Asia Technical Report	Y	Y	Y
Southeast Asia Technical Report	N/A	N/A	N/A
West Africa Technical Report	Y	Y	Y
<b>Theme Leaders Reports</b>			
Theme 1 Technical Report	Y	Y	Y
Theme 2 Technical Report	Y	Y	Y
Theme 3 Technical Report	Y	Y	Y
Theme 4.1 Technical Report	Y	Y	Y
Theme 4.2 Technical Report	Y	Y	Y
Theme 4.3 Technical Report	Y	Y	Y
<b>Coordinating Unit Reports</b>	Y	Y	Y

A total of **536** activities were entered in the database.

Table 2 gives definitions of the terms and categories used in the analysis.

Table 2: Capacity Enhancement Partners and Outputs

<b>Term</b>	<b>Description</b>
<b>CE Partners (CG code)</b>	
<u>i. Researchers</u>	
CG	CG Centers
CRP	CGIAR Research Programs
AI	Academic Institution
ARI	Advanced Research Institution
PRI	Private Research Institution
Research Network	Research Network
<u>ii. Decision Makers</u>	
GO	Government Office / department
RO	Regional Organisation
NGO_DO	NGO / Development Organisation
NARES	National Agricultural Research / Extension Services
Donor	Donor
<u>iii. Decision Influencers</u>	
NGO_DO	NGO / Development Organisation (note double counting from category above)
End_users	End users
Other	Other e.g. media partner
<b>CE Categories</b>	
Communication: other	Often conventional or digital media, using 'laypersons' language, and with a suggestion of active uptake by partners in the CE description
Participatory research	Research including non-academic actors, such as agricultural trials involving farmers
Policy development	Briefing papers and other outputs for a policy audience, with a suggestion of active uptake by partners
Research support	Support to research partners including MSc and PhD level students
Software and tools	Shared with partners such as research institutes, and with a suggestion of active use in the CE description
Strategic partnership	For the purpose of wider dissemination of findings and policy, for example COP meetings
Training	Multi-session training (not one off), often with partner staff or farmers
Workshop	For knowledge exchange with partners
<b>Recorded on database but not included in CE analysis:</b>	

<b>Term</b>	<b>Description</b>
Data	From a survey, for example, and disseminated widely
Germplasm	For sharing with breeders and agri-businesses, for example
Reports, publications	Intended for public dissemination but not including active follow up
Technology	Including renewable energy but not including active follow up

### **Choosing CE Categories**

These CE categories were chosen, with CCAFS agreement, to cover all outputs, which contain a CE element. Data, Germplasm, Reports & publications and Technology were excluded as CE outputs at the request of CCAFS.

### **Assumptions**

1. Reports contain a full, accurate and consistent account of CCAFS CE deliverables;
2. CE partner and deliverable categories may be defined as shown in Table 2;
3. There is no double counting of activities / deliverables between report types, i.e. by Centre, Region, Theme and Co-ordinating Unit, nor across years.

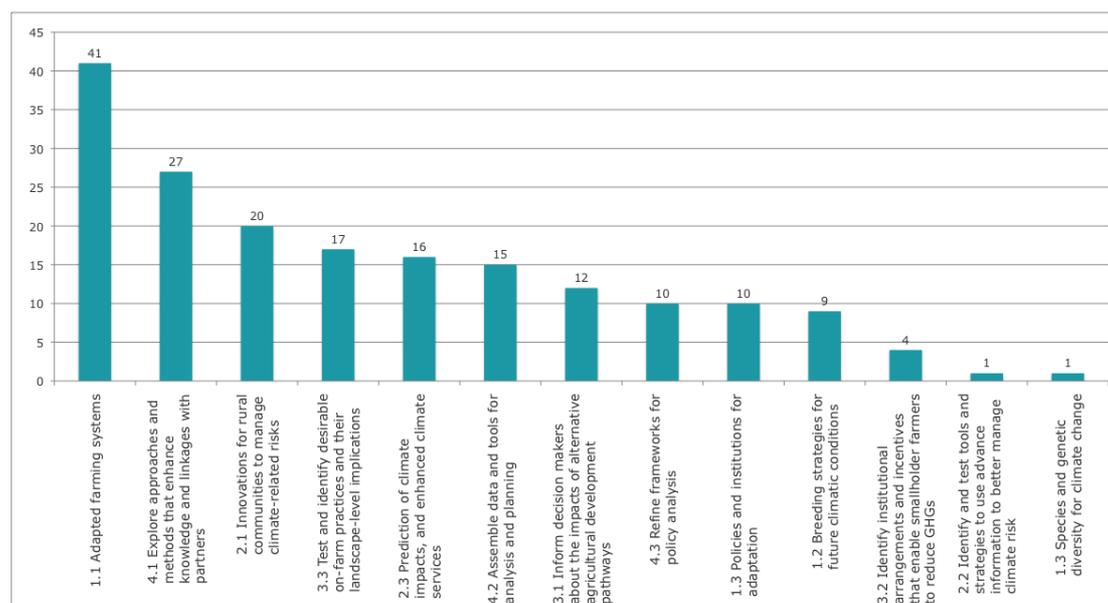
### **Limitations**

1. Partner categories were not stated in reports for all partners, by activity. Cross-referencing with other activities was undertaken where possible to give categories. Approximately 75% of partners were categorised in total. Extrapolation was undertaken to give representative partner categories for all activities. For many activities more than one partner was stated. Information presented in *Section 3.3* shows the total extrapolated partners, by type;
2. All efforts have been made to accurately record data for analysis. We have confidence that results are as accurate as reasonably possible with reporting style differences across Centres, Regions, Themes and Units by year, high data volumes and time constraints.

### 3. Findings

#### 3.1 CCAFS Activities, Outputs and Outcomes

Figure 1: Stated CCAFS objective of activity (sample)



NB: sample is 223 (56% of total) who stated an official CCAFS objective. These were predominantly based on responses in 2012 reports.

Figure 2: Number of CCAFS Capacity Enhancement Outputs

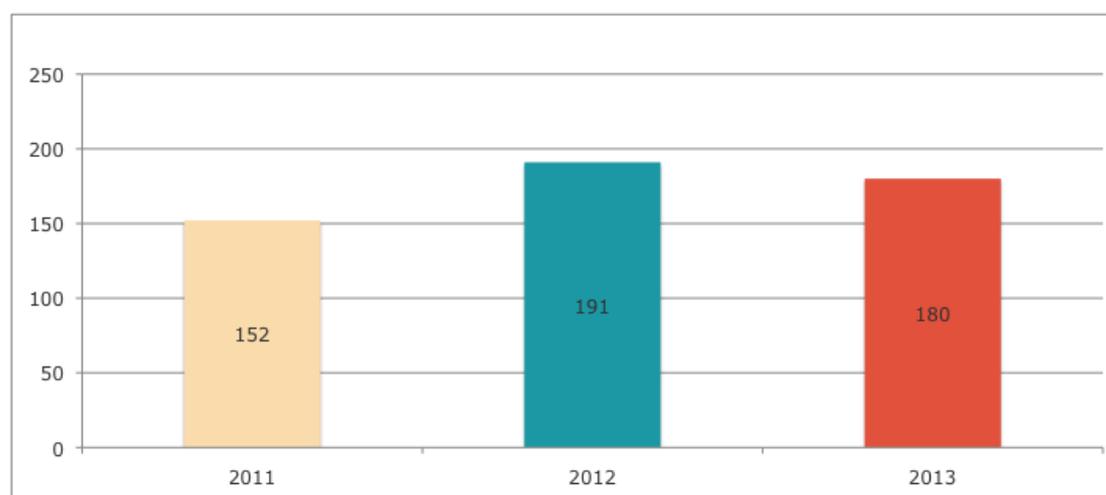


Figure 3: CE outputs by type

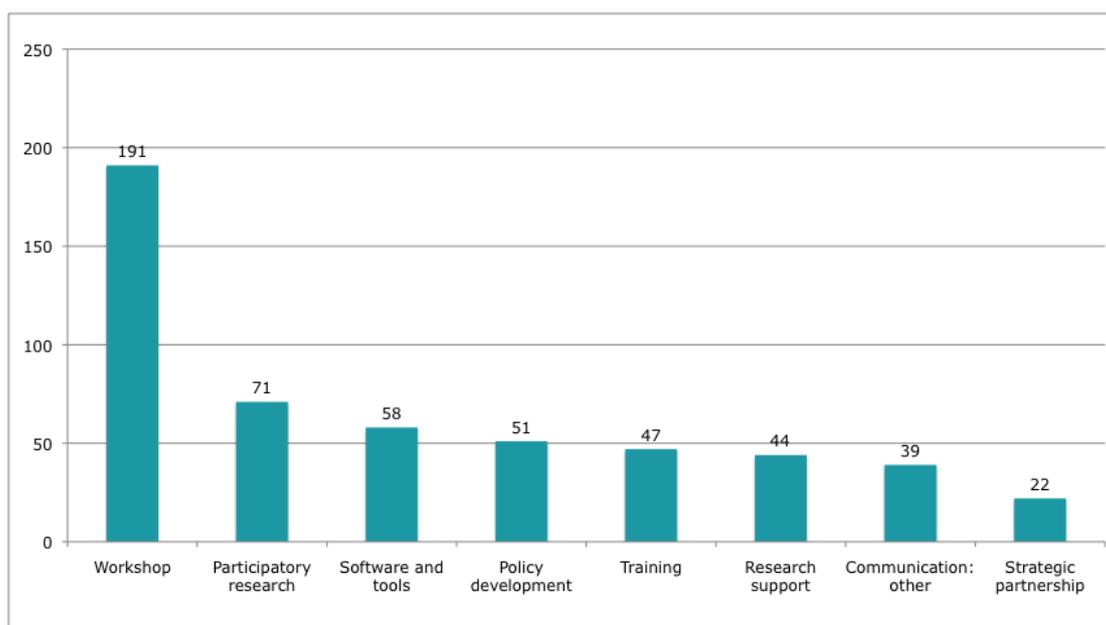
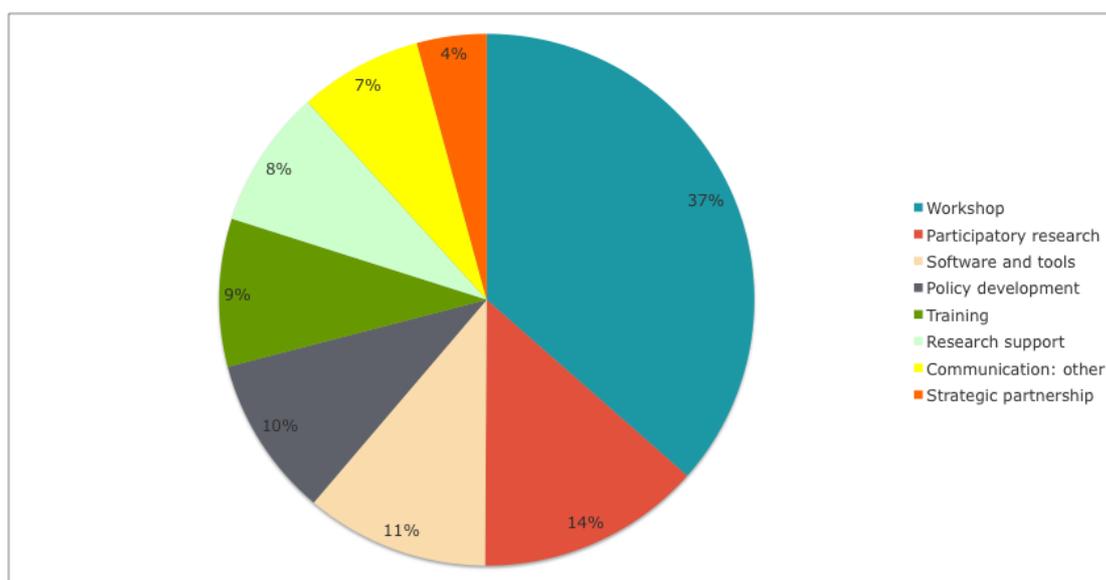


Figure 4: Proportion of CE outputs by type



### **Findings:**

- '1.1 Adapted farming systems' was the most widely stated objective (by the sample), followed by '4.1 explore approaches and methods that enhance knowledge...', '2.1 Innovations for rural communities' and '3.3 Test and identify desirable on-farm practices...' (Figure 1);
- A total of **523** CE outputs were recorded in total across the three years;
- The number of CE outputs recorded across Centres, Themes, Regions and Units were: **152** in 2011; **191** in 2012; and **180** in 2013 (Figure 2);
- 'Workshop' was the most popular CE output (**191, 37%** of total), followed by 'participatory research' (**71** outputs, **14%** of total), 'software and tools' (**58** outputs, **11%** of total), 'policy development' (**51** outputs, **10%** of total), 'training' (**47** outputs, **9%** of total), 'research support' (**44** outputs, **8%** of total), 'communication: other' (**39** outputs, **7%** of total) and 'strategic partnership' (**22** outputs, **4%** of total) - Figures 3 and 4;

### Other highlights:

- **2,106** people were trained on long-term programs, of which 996 were women and 1,110 men;
- **32,725** people were trained on short-term programs, of which 18,591 were women and 14,134 men;
- there are **74** CE case studies, reaching at least 3,000 stakeholders.

## **3.2 CCAFS Outcomes and Capacity Enhancement**

### **Findings and highlights:**

- **Outcomes:** there were **16** outcomes with significant CE components;
- The capacity of over **8,000 rural women leaders** in managing climatic risks was strengthened in India and Nepal;
- A broadened genetic base of crops to empower farmers for climate change adaptation was created through crowdsourcing – benefiting **5,000 farmers in India**;
- The capacity of African national and regional meteorological institutions was strengthened to serve the needs of smallholder farmers.

### 3.3 Capacity Enhancement by Partner

Figure 5: Capacity Enhancement by partner category

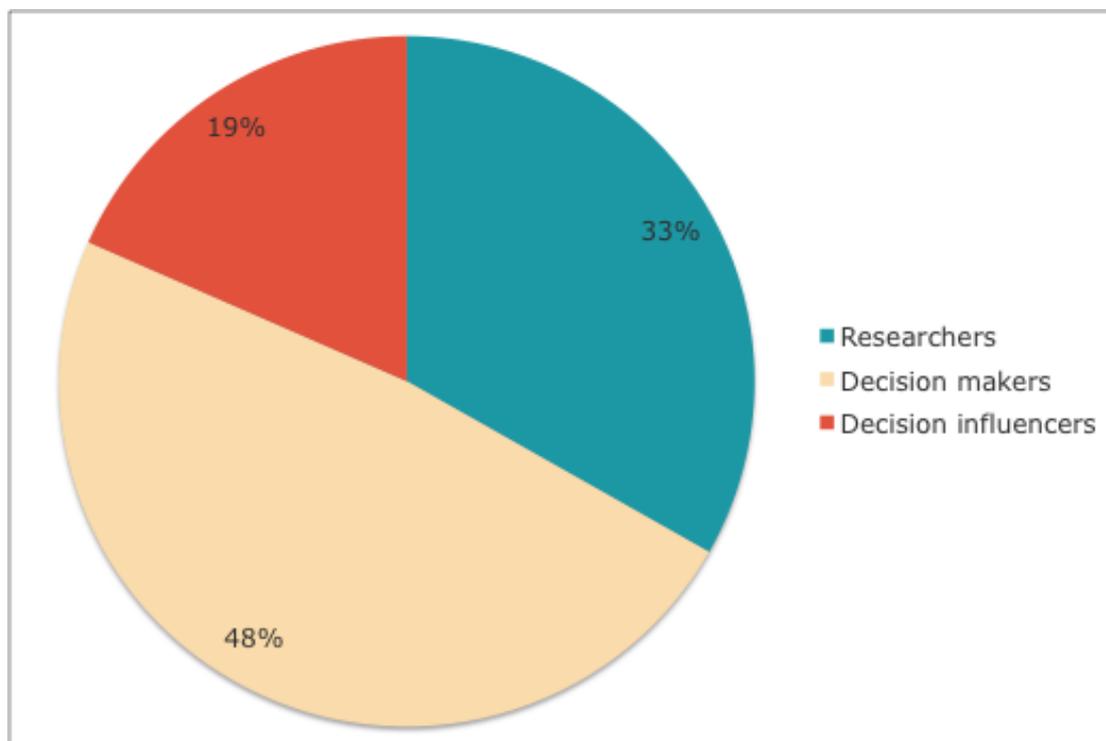
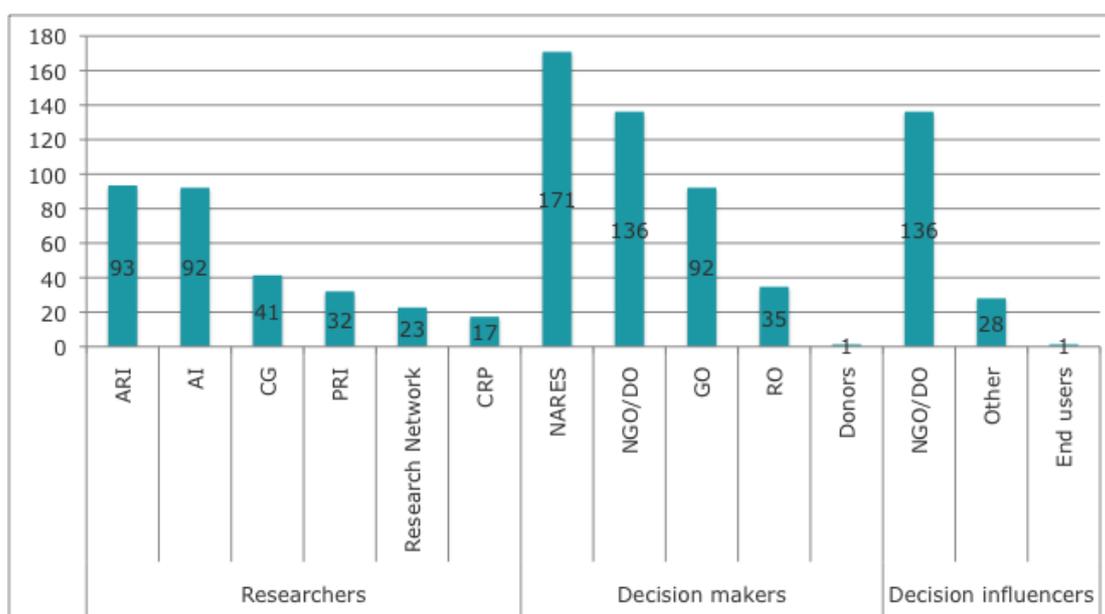


Figure 6: Capacity enhancement delivered by outputs: by partner sub-category



**Findings:**

- Capacity was enhanced with three partner groups. For those activities containing at least one CE output, the proportion of stated partners were: Researchers, **33%**; Decision makers, **48%**; Decision influencers, **19%** (Figure 5);
- The number of partners benefiting from these CE outputs were: Researchers, **299**; Decision makers, **435**; Decision influencers, **166** (Figure 6);

The number of partners, by type, benefiting from these CE outputs were:

- Researchers: Advanced Research Institution (**93** partners); Academic Institutions (**92** partners); CG Centres (**41** partners); Private Research Institutions (**32** partners); Research Networks (**23** partners); Centre Research Programmes (**17** partners);
- Decision makers: National Agricultural Research / Extension Services (**171** partners); Non-Governmental / Development Organisation (**136** partners); Government Office (**92** partners); Regional Organisation (**35** partners); Donors (**1** partner);
- Decision influencers: Non-Governmental / Development Organisation (**136** partners); Other (**28** partners); End users (**1** partner);

CE Outcomes:

- Researchers CE: 3 outcomes;
  - Decision makers CE: 13 outcomes.
- NB: no recorded CE for Decision influencers*

## 4. Selected Case Studies

### **Case Study 1: Climate Food and Farming Research Network (CLIFF)**

- Researcher Capacity Enhancement
- 27 students of 18 nationalities supported
- 85% from low-income and middle-income countries and 50% female
- Research carried out in 16 low-income and middle-income countries

## **Case Study 2: Ministries of Agriculture in Central America**

- Decision maker Capacity Enhancement
- CCAFS-CIAT alliance with the Central American Agricultural Council (CAC)
- Building links with climate change coordination units of country ministries
- Focus on achieving resilient agricultural sector in Central America to climate variability
- Focal countries included Honduras, Guatemala, El Salvador, Nicaragua, Panamá, Costa Rica, Belize, and the Dominican Republic

## **Case Study 3: Building African capacity to measure and mitigate greenhouse gases in livestock systems**

- Researcher Capacity Enhancement
- Aims to establish a pan-African network of centres measuring GHG emissions across Africa and trained regional capacity for measuring GHGs, developing national inventories and identifying mitigation options
- Collaboration with the Global Research Alliance on Agricultural Emissions
- The training initiative identified key capacity and data needs for West and East Africa
- Established a preliminary network of experts for the next step of establishing a pan-African network.

## **Case Study 4: South-South learning exchange between Senegal and Latin-America: sharing experiences to strengthen the resilience of the agricultural sector in the face of climate variability and change**

- Decision maker capacity enhancement
- Latin American delegation visited Dakar and Kaffrine and met with Senegalese counterparts
- Strengthened ties between the two delegations through face-to-face exchange and a joint workshop held in Kaolack that allowed them to share their strategies for incorporating climate change into an agricultural agenda
- Agreement among the institutions from the Colombian delegation to implement three pilots in Colombia, in the framework of the CIAT-MADR Convention, inspired by the Kaffrine model

## 5. Addressing Gender Gaps

### **Highlights:**

- 41% of research activities integrates gender;
- Scaling out of gender-sensitive climate-smart practices is being undertaken through the Shamba Shape Up TV show in Kenya;
- Training of 160 women farmers from the Nyando CSV on climate-smart agricultural practices was undertaken;
- CCAFS established a Gender, Agriculture and Climate Change Research Network.

## 6. Review of 2014 Plan and 2015-2016 Concept Note

In its 2014 Plan of Work and Budget, CCAFS envisages continued capacity enhancement efforts. Key activities include:

- strengthening the climate literacy of rural women leaders in South Asia;
- developing gender capacity in large NGO, development and government partners;
- enhancing stakeholders capacity to use seasonal weather forecasts linked to crop yield forecasts;
- a series of events to build private sector capacity on implementation of climate-smart agriculture to benefit smallholders and food security;
- knowledge partnership with IFAD to increase knowledge capacity plus researcher capacity to deliver knowledge products relevant to global investments in climate-smart agriculture;
- increasing capacity in five CCAFS Regions in gender research and analyses related to climate change, agriculture and food security.

In its 2015-2016 concept note, CCAFS has a strategy for capacity enhancement that mainstreams capacity enhancement within all research activities and impact pathways, and placing emphasis on building capacity both among researchers (academic institutions, NARES, students) and among users and co-generators of that research (farmers' organisations including WFO and regional and national bodies, policy makers, private sector, NGOs).

CCAFS will work with partners to fill critical gaps in capacity needs, for example: delivering training to journalists on climate change and agriculture with CTA; backstopping African policy-makers leading up to UNFCCC events with FANRPAN, COMESA and ACPC; supporting students working on emissions metrics with the CCAFS-established PhD network Climate, Food and Farming Network (CLIFF); and producing guidance on climate-related gender research with FAO, CARE and other partners.

## **7. Conclusions and Recommendations**

CCAFS is undertaking an extensive breadth of Capacity Enhancement activities across a number of regions and themes. These benefit a wide range of audiences through a variety of outputs and communication channels. Workshops were the most widely used CE output. Decision makers were the most widely-benefiting partner category.

CE outputs rose from 2011 to 2012, then fell slightly in 2013. As reporting styles changed across the three years 2011, 2012 and 2013, it is not known whether this influenced the recording and reporting of CE outputs, nor is it certain whether robust conclusions about annual trends may be drawn.

To accurately track and fully understand the extent of CE outputs, we recommend strongly that a more formal system be established. Pro-forma reporting outputs, similar to that used in 2012, would best allow consistent and accurate information to be gathered and compared.

## **8. Management Response**

This audit of capacity enhancement activities shows how capacity enhancement has been mainstreamed into the work of all Themes, Regions and Centers within CCAFS, with documented positive outcomes for research and policy partners. Moving forward into Phase 2, CCAFS will fully align capacity enhancement activities within Flagship and Regional impact pathways, so that capacity enhancement activities contribute directly and coherently to CCAFS outcome targets and CGIAR-wide intermediate development outcome targets. CCAFS will also ensure that capacity enhancement activities are captured within the planning and reporting system in Phase 2, to improve monitoring and evaluation.