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*Six month contract extensions for AAS, FTA and
MAIZE: Consortium Recommendation
Approved by the Consortium Board on 16 April 2014
(Revised Version April 11, 2014)*

*Submitted by:
Consortium Office*

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Consortium Recommendation

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Background

Three CRPs with contracts ending in June 2014 need a 6 month contract extension as a bridge toward the 2015-2016 extension proposal process that is ongoing for the CRP portfolio as a whole. The process for extending the contracts of the three CRPs, viz., Aquatic Agriculture Systems (AAS), MAIZE, and Forests, Trees and Agroforestry (FTA), is that their 2014 Programme of Work and Budget (POWB) have been submitted to the Consortium Board for approval, and for subsequent submission to the Fund Council as supporting documents for approving a 6 month extension of their contracts.

Windows 1 and 2 allocations of funds to these CRPs, for the whole of 2014 (i.e. including this 6-month extension), have already been budgeted in the 2014 Financial Plan, approved by the Consortium Board, thus the essence of this 6-month Extension is to enable the CGIAR Fund and Consortium to amend the contracts of the three CRPs in question to an end date of 31 December 2014 and with a full year of funding (rather than the half year included in their current contracts).

The 2014 W1-2 budgeted in the FinPlan and the W3-bilateral funds projected to be available by each CRP until the end of 2014 are shown in the following table.

The table shows, in the first column, the total amount of W1-2 and W3-bilateral funds which each CRP has received since its inception plus the funds required for 2014, as per the CB approved Finance Plan. The second column shows the total amount of W1-2 and W3-bilateral funds authorised in each CRP's current contract (PIA). The last column shows the additional amount of W1-2 and W3-bilateral funds that needs to be approved by the CB and FC as part of their approval to extend the contracts of these 3 CRPs by 6 months.

Table 1. Projected spending to the end of 2014, compared with PIA authorized spending to the end of June 2014, with the recommended increases to amend the PIAs (in thousands of US\$)

	Window 1/2			Window 3/Bilateral		
	Projected	Approved	Recommended Increase	Projected	Approved	Recommended Increase
AAS	37 822	32 273	5 549	48 408	27 147	21 261
Maize	51 505	44 700	6 805	181 845	125 400	56 445
FTA	99 200	90 300	8 900	170 481	142 600	27 881

Detailed justification of the additional work in each of three CRPs for the increased funding levels is provided in this document. For W1-2 the recommended increase for the second half of the year is at the same level as for the first 6 months of the year, already covered by the PIA. In addition, for each of the three CRPs higher levels of W3-Bilateral funding have been raised by the CRPs, and made available by the donors, than foreseen in the PIA, and we recommend increasing the W3-Bilateral limits to those projected.

Recommendation

The Consortium recommends:

1. For AAS to amend the PIA to advance the end date from June 30 to December 31 of 2014, and to increase the total amount of W1-2 from \$32.273 million to \$37.822 million, an increase of \$5.549 million, to cover the second half of 2014. In addition, it is recommended to increase the total amount of W3-Bilateral in the PIA from \$27.147 million to \$48.408 million, an amount of \$21.261 million recognizing that in fact the total amount authorized in the PIA for this component was exceeded in late 2013¹.
2. For MAIZE to amend the PIA to advance the end date from June 30 to December 31 of 2014, and to increase the total amount of W1-2 from \$44.700 million to \$51.055 million, an increase of \$6.365 million, to cover the second half of 2014. In addition, it is recommended to increase the total amount of W3-Bilateral in the PIA from \$125.400 million to \$181.485 million, and amount of \$56.445 million, recognizing that in fact the total amount authorized in the PIA for this component was exhausted by the end of 2013².
3. For FTA to amend the PIA to advance the end date from June 30 to December 31 of 2014, and to increase the total amount of W1-2 from \$90.300 million to \$99.200 million, an increase of \$8.900 million, to cover the second half of 2014. In addition, it is recommended to increase the total amount of W3-Bilateral in the PIA from \$142.600 million to \$170.481 million, an amount of \$27.881 million, commensurate with six months' work in the second half of 2014³.

Justification for the 6 months extension, CRP by CRP

The three CRPs were approved as 10 year research programmes and funding approved by the FC for the first three years. The POWBs capture planned work and associated budget on a yearly basis. The three CRPs have planned their 2014 work within the frame of their 10 year approved proposal. These 2014 POWBs demonstrate good research planning, coherent workplans to progress towards the achievement of significant intermediate development outcomes, reasonable budgets to implement the planned work and very good mainstreaming of gender research into the overall research for development agenda of each CRP. The 6 month contract extension is crucial for each CRP to continue building on the

¹ See Table 2, Figure 1.

² See Table 3, Figure 2.

³ See Table 4, Figure 3.

momentum it will have acquired in June 2014, after three years of operations, while preparing its extension proposal for 2015-2016.

The following provides specific justification for each CRP to include Window 1 and 2 together with Bilateral funding with a specific focus on program coherence.

1. AAS

AAS takes an innovative Research in Development (RinD) approach in its program. It aims to benefit some 6 million people directly in Asia’s mega deltas, the islands systems of the Pacific and south-east Asia, and Africa’s inland waters, and through scaling with partners aims to reach 15 million more. AAS was launched July 1, 2011 and by the end of 2013 has completed the first phases of implementation in its five Flagship Projects or hubs: southern polder zone (Bangladesh), Tonle Sap (Cambodia), Visayas-Mindanao (Philippines), Malaita (Solomon Islands), and Barotse floodplain (Zambia). These programs all contribute to 7 IDOs (i) increased and more equitable income; (ii) improved productivity; (iii) improved diet quality, especially women and children; (iv) increased control over resources and participation in decision-making; (v) increased capacity for innovation; (vi) increased capacity to adapt; and (vii) greater resilience for enhanced ecosystem services.

Table 2. AAS Budget in US\$ 1,000

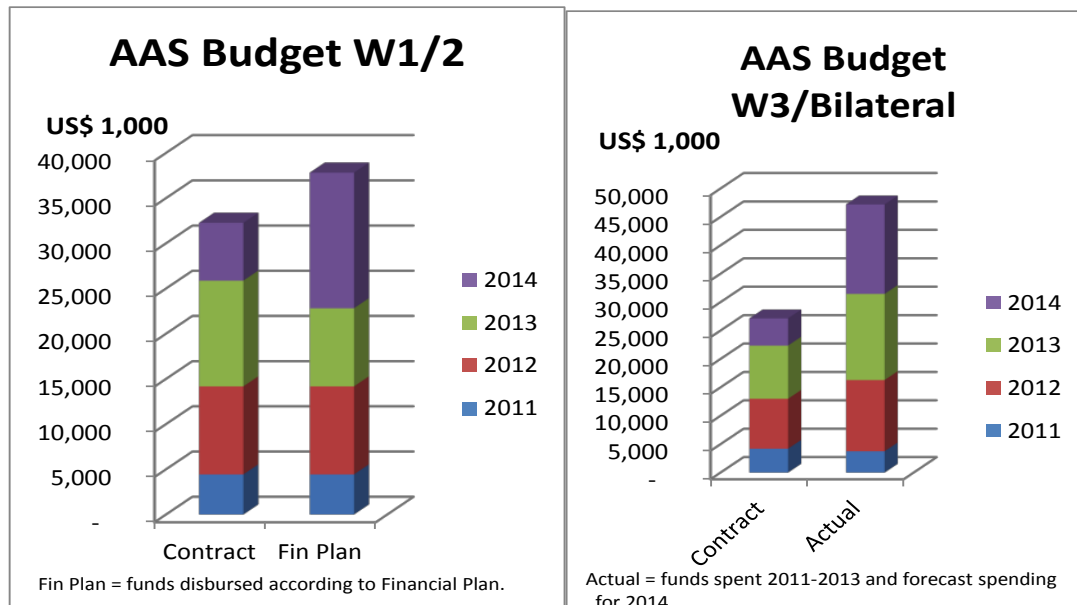
	W1/2		W3/Bilateral	
	Contract	Fin Plan ¹	Contract	Actual ²
2011	4,441	4,441	4,210	3,754
2012	9,740	9,741	8,788	12,544
2013	11,696	8,640	9,364	15,160
2014	6,397	15,000	4,786	15,744
Total	32,273	37,822	27,147	47,202

Note: ¹ = funds disbursed following Financial Plan
² = funds spent 2011-2013 and forecast spending for 2014

AAS’s annual budget has risen from about US\$ 8 million in July-December 2011 to US\$24 million in 2013. The total of US\$68m since inception compares with US\$59 million in the PIA, reflecting a higher than anticipated bilateral funding. The additional funding enabled increasing the program’s investment in research to reach over 700,000 farmers much faster than envisaged. Similarly it has allowed the program to invest earlier in partnerships needed for scaling in several countries in Asia and Africa such as Myanmar and Ghana. These bilateral investments are important elements of the program’s overall approach, and are complementary to (and do not replace) the more transformative investments in innovative approaches to RinD in complex farming systems that are being made through W1/2 funding and are essential for the work of the systems CRPs. The bilateral funding is also country specific and cannot be transferred from one focal country to another. The consequence of these two factors is that while increased bilateral investment in Bangladesh, for example, has allowed substantial short-term outcomes that lay an important basis for longer term achievement of the program’s IDOs, it does not replace the research conducted using W1/2 in Bangladesh, nor in other focal countries. As a ‘new’ CRP,

AAS has no heritage bilateral projects, only bilateral projects that are strategically targeted to deliver on the CRP's IDOs.

Figure 1. Contracted (PIA) budgets versus actual and projected budgets for AAS



2014 focus: A large part of the activities in the first three years have concerned program design and initial implementation. A full year of funding during 2014 will enable AAS, working together with its partners, to build upon its past achievements and maintain its momentum in the flagship programs in order to achieve concrete outcomes. In fact, the program activities during 2014 are essential to lay the foundation for out-scaling AAS programs in 2015 and beyond.

AAS's global science and scaling programs are the focus of **Flagship 6** which will harness technologies and methodologies, from across its other flagships (hubs), CGIAR and the wider science and development communities, for use in the hubs. It will perform research to synthesize learning and design programs for scaling (with partners) through implementation of research activities in non-focal countries, and through exploration of options for extending programs to new focal countries.

Flagship Project 1 will initially focus in the Southern Polder Zone of Bangladesh where the program will pursue its seven IDOs by working directly with some 100,000 households and, through partners, reach 1.3m more. Together these households total approximately 6.8m people. During 2014, the research program will focus on sustaining improvements in increased farm productivity and diversification, improved nutrition, improved value chains, adaptive capacity and resilience, the gender transformative approach, knowledge sharing and learning, and scaling AAS learning in Bangladesh. These activities will also lay the foundation for significant out-scaling in 2015.

Flagship Project 2 identified Tonle Sap as a hub that is representative of the challenges facing agricultural development in Asia's large deltas and other aquatic systems. Currently this Flagship is

working directly with 2,000 households and, through partners, is reaching 6,000 more. These total an estimated 40,000 people who will benefit from the program. Full funding for 2014 will enable the development of the scaling strategy for reaching a larger number of people in Tonle Sap, and setting the foundation for further scaling out. The research program here focuses on improved productivity, equitable access to markets, the gender transformative approach, policy and institutions, knowledge sharing and learning, and scaling AAS learning in Cambodia and beyond.

Flagship 3 has identified the VisMin hub, provinces of Visayas and Northern Mindanao, as representative of the challenges facing coastal communities in the small islands of South-East Asia and the Pacific. The program currently works with some 30,000 households and, working through partners, will reach 40,000 more. These total an estimated 420,000 direct beneficiaries. The program seeks to improve the contribution of agriculture and coastal resources to economic development and generate learning that can be applied more widely in other coastal systems in the region. Program activities cover five areas of research: farm productivity and diversification; equitable fair market access; enhanced and effective governance structures for managing natural resources; gender transformative approach; and knowledge sharing and learning.

Flagship 4 focuses on Malaita Province of the Solomon Islands as a first program hub, and Western Province to scale learning. AAS will work directly with 4000 households and by working through partners reach 6,000 more. These households total an estimated 50,000 beneficiaries, some 10% of the Solomon's population. By working in these provinces AAS will generate learning that can be applied to other aquatic agricultural systems in the Pacific region. Research focus here covers sustainable farming for nutrition and income, marine resource management and governance, knowledge sharing and learning, the gender transformative approach, and climate change.

Flagship 5 focuses in the Barotse floodplain of Zambia where the programs goal is to generate learning that can be applied more widely in other inland aquatic agricultural systems in Zambia and other parts of Africa. The program aims to benefit some 10,000 households directly, and reach 20,000 more through the work of partners. Together these households total 160,000 people. The research program here focusses on farm productivity and diversification, improved agricultural and NRM value chains, flood risk management, the gender transformative approach, knowledge sharing and learning, and out-scaling.

Gender in AAS is mainstreamed and the program adopts a Gender Transformative Strategy with gender integrated into all the flagships and clusters of activities. The work to be undertaken in 2014 will position the program to achieve the gender and empowerment IDO and contribute to equity in other IDOs. Emerging gender outcomes will be captured systematically and gender disaggregated data will be collected at all implementation levels of the program.

2. MAIZE

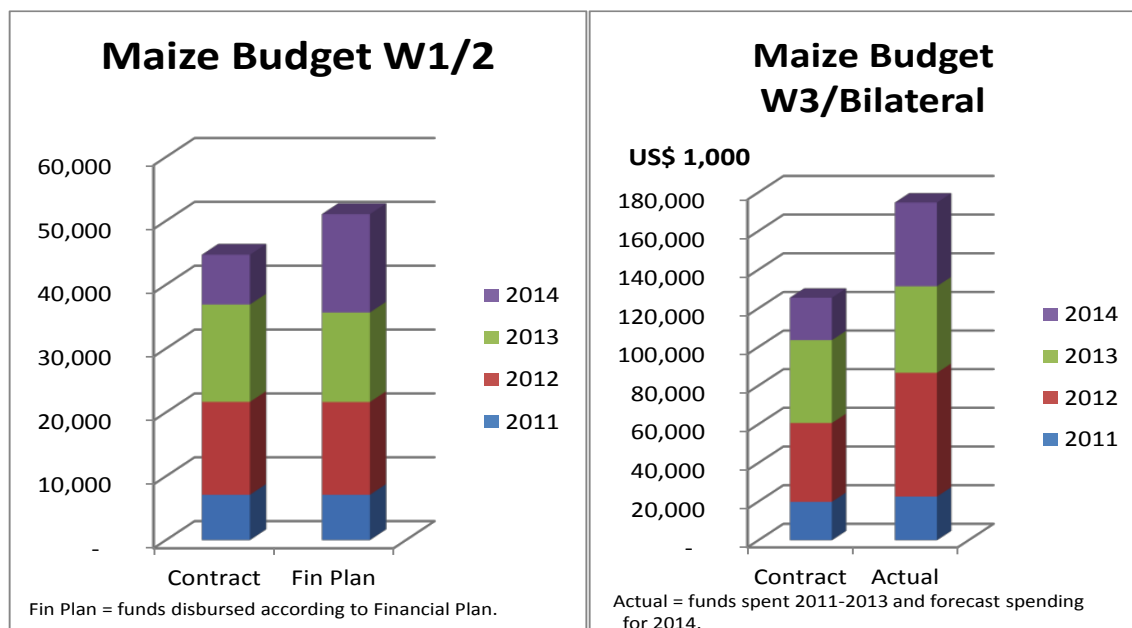
Together with public- and private-sector partners worldwide, MAIZE implements the CGIAR strategy aimed at doubling the productivity of maize-based farming systems, making them more resilient and

sustainable while significantly increasing farmers' income and livelihood opportunities and reducing the threat to deforestation. MAIZE was launched on 1 July 2011, working on nine interrelated Strategic Initiatives that were clustered in 2013 into five Flagship Projects that contribute to IDOs on productivity, food security, income, nutrition, environment, gender equity, climate change, and capacities to innovate and adapt. MAIZE has a proactive gender strategy and trains approximately 35,000 people annually through workshops, training courses, field days and as visiting scientist or graduate students. Given its recent restructuring, 2014 will be a crucial year for the CRP in further developing a robust and coherent program which is focused on developing outcomes.

	W1/2		W3/Bilateral	
	Contract	Fin Plan ¹	Contract	Actual ²
2011	7,100	7,100	19,900	22,601
2012	14,550	14,535	40,800	64,065
2013	15,250	14,020	42,850	44,791
2014	7,800	15,400	21,950	43,334
Total	44,700	51,055	125,500	174,791

Note: ¹ = funds disbursed following Financial Plan
² = funds spent 2011-2013 and forecast spending for 2014

Figure 2. Contracted (PIA) budgets versus actual and projected budgets for MAIZE



W1/2 funding provides about 24% of total MAIZE funding with the remainder coming from W3 and bilateral grants. W1/2 funding are critical for core research programs designed to deliver new cutting-edge approaches with high adoption potential, and for strategic analyses to identify ways to improve the efficiency and effectiveness of research. During 2014, W1/2 funding will enable research for the trait

discovery pipeline focusing on novel phenotyping tools (high throughput and precision) for abiotic and biotic stresses and quality traits. Similarly, W1/2 funding will also help transfer the already identified MLN resistant genes by marker assisted selection to new improved maize varieties. Some W1/2 budget will be used to train staff and companies in successful seed business strategies and to provide them with new improved varieties to reach farmers that so far have no access to improved maize seed. Finally, W1/2 funding will support activities designed to achieve (i) losses reduction and improved safety through bio-control of aflatoxins, (ii) development and elaboration of foresight and targeting, (iii) strategic gender research and gender mainstreaming.

2014 focus: MAIZE's key activities planned for 2014 are as follows.

Flagship Project 1, Sustainable intensification and income opportunities for the poor, aims to improve the productivity, resilience and sustainability of smallholder farmers deriving their livelihoods from maize-based cropping systems. Through 75 innovation platforms and 7,500 study sites in Africa, Asia, and Latin America, MAIZE will work with nearly 1 million farmers and service providers; using improved varieties, agronomic and business practices to address local and regional constraints to productivity. The work is highly collaborative, involves NARES, NGOs and service providers in 13 countries, and links with the CRPs on CCAFS, GRiSP, Legumes, Livestock, Humid Tropics, PIM and WHEAT.

Flagship Project 2, Novel tools and traits to increase genetic gains in maize, is the largest public sector initiative of its kind that develops and promotes state of the art approaches to increase the genetic gains in maize. A substantive proportion of the maize genetic diversity contained in the CGIAR's maize genebank is being characterized, seeking genetic variation where it is lacking in improved germplasm, including for heat and drought tolerance. Significant progress has been made in developing testing networks for major abiotic and biotic stresses, including using airborne remote sensing capacity for phenotyping in partnership with Spain, China, Zimbabwe and Peru. With the first tropical doubled haploid inducer lines developed, forthcoming investments are aimed at mainstreaming the technology in Latin America, Africa and South Asia, while fast-tracking drought and heat tolerance and resistance against Maize Lethal Necrosis. The Flagship is also a leading developer of bioinformatics tools and genomics approaches first for use in maize breeding before integrating suitable elements in GCP's integrated breeding platform for wider use by other crops.

Flagship Project 3, Stress tolerant, nutritious and safe maize for resource-poor farmers fights the maize lethal necrotic virus which is devastating maize crops in parts of Kenya, Tanzania and Uganda, Rwanda and South Sudan. Highly collaborative work is directed at identifying sources of MLN resistance, developing and ultimately replacing the existing susceptible varieties in up to 30% of Africa's maize area. In the area of climate resilience, MAIZE breeders stack drought tolerance now with heat tolerance, while continuing with major programs on nitrogen use efficiency, acid soil tolerance and Striga resistance, all traits that have pronounced effects on resource poor farmers maize productivity. Based on demand by partners an increasing effort is placed on dual-purpose maize that farmers can use for food and feed, including in Ethiopia, India and Mexico.

Flagship Project 4: Aligning with and strengthening local seed systems supports the commercialisation of improved maize varieties with a growing list of small and medium sized local seed companies and NARS partners in Africa (> 110 companies), Asia (>50 companies; plus women producers in Nepal) and Latin America (> 30 companies). A joint working group has been established with the Alliance for a Green Revolution in Africa (AGRA). Each region works with seed road maps and targets seed volumes rising up to 75,000 tons, adequate to influence approximately 30-40 million people.

Flagship Project 5, Integrated postharvest management focuses on reducing crop losses and enhancing consumer safety through the expansion of hermetic, low-cost grain storage approaches in eastern and southern Africa, and Mexico. Globally, around a third of the food produced for human consumption is lost or wasted. A second cluster of activity uses aflasafe™ for the mitigation of aflatoxins in maize food & feed chains expanded in Burkina Faso, Ghana, Nigeria, Kenya, Mali, Senegal, Tanzania and Zambia, given Africa’s economies losing US\$450 million to Aflatoxin contamination each year. The G20 ‘AgResults’ initiative included aflasafe™ as one of the first three pilot projects for incentivising adoption of agricultural technologies by the poor.

Gender in MAIZE is being mainstreamed and research activities in 2014 will focus on gender differentiated impacts associated with the adoption of maize-technologies as well as ways to better engage women in innovation, technology adoption, and along the maize value chain.

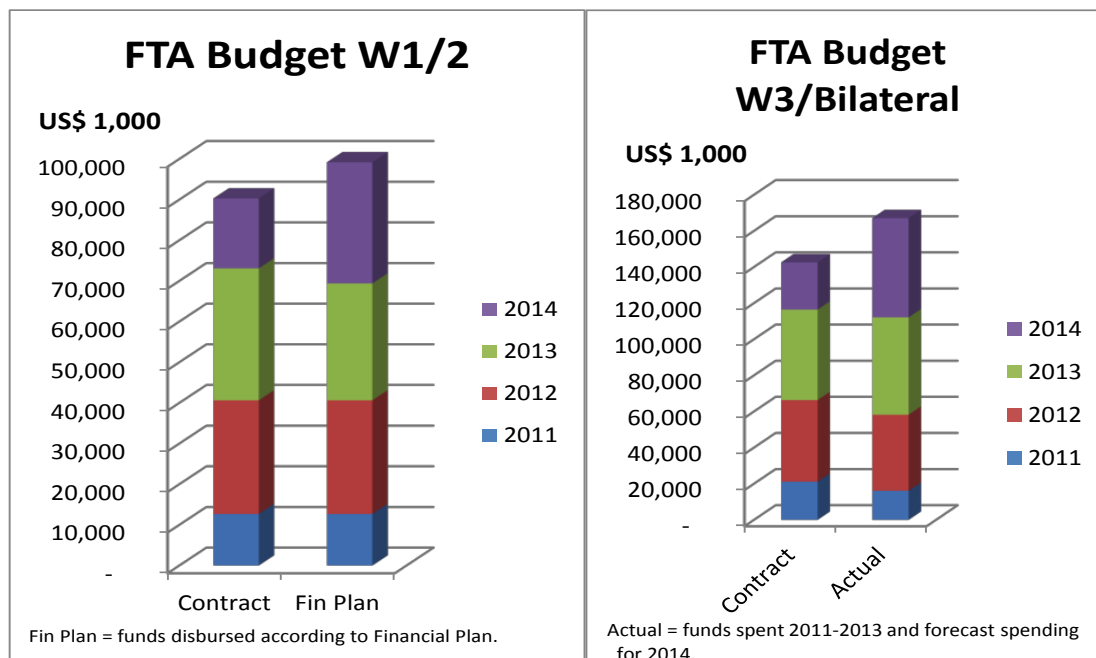
3. FTA

FTA works to optimize tree contribution to human wellbeing and environmental health, by accomplishing the following 6 Intermediate Development Outcomes: 1) policies to support improved livelihoods and sustainable and equitable resource management; 2) gender equity and women’s empowerment; 3) enhanced income from goods and services derived from forestry and agroforestry systems; 4) increased and stable access to nutritious food; 5) increase production of bio-product from forestry and agroforestry systems; and 6) improved biodiversity and ecosystem services. FTA was launched 1 July 2013 and, to date, has achieved significant outcomes toward its goals. For example, over 120 thousand farm households have been reached with fertilizer tree technologies through FTA activity in Southern Africa. In Brazil, FTA work has contributed to about 30,000,000 tons of C stored or equivalent avoided emission due to implementation of policy changes driven by FTA research input.

	W1/2		W3/Bilateral	
	Contract	Fin Plan ¹	Contract	Actual ²
2011	12,700	12,700	21,200	16,134
2012	27,950	27,950	45,150	42,107
2013	32,450	28,750	50,100	53,925
2014	17,200	29,800	26,150	54,904
Total	90,300	99,200	142,600	167,070

Note: ¹ = funds disbursed following Financial Plan
² = funds spent 2011-2013 and forecast spending for 2014

Figure 3. Contracted (PIA) budgets versus actual and projected budgets for FTA



FTA's budget was US\$ 34 million in 2011, 73 million in 2012 and 82 million in 2013. This latter increase is mostly due to faster growths in its bilateral funding which grew from 16 million in 2011 to 54 million in 2013. W1/2 funding has been and will continue to be critical in designing and implementing research programs in response to societal demands related to foods from forests. A big research endeavor in this utilizes the concepts of nutrition sensitive landscapes and forest and ecosystem restoration. W1/2 funding has also been critical in spearheading gender mainstreaming throughout the research program and developing effective research on gender. During 2014, W1/2 will provide the seed funding to create a new and effective partnership with CIRAD and CATIE, which in turn has catalyzed additional bilateral funding in support of the CRP strategy. A key approach for achieving impact for FTA is the innovation platform of the Sentinel Landscapes project, which is primarily funded by W1/2. Bilateral funding will be leveraged by FTA to support programs designed for W1/2 funding and also take to scale the outcomes of these programs.

2014 focus: During 2014 FTA will focus its efforts to keep up the momentum in implementing its research programs with the goal of achieving its set objectives. The key 2014 activities in its Flagship projects can be summarized as follows.

Flagship 1 will focus on enhancing the contribution of forests, trees and agroforestry to production and incomes of forest dependent communities and smallholders. Specific activities during 2014 include tree germplasm improvement and access, tree and forest management options, value chain innovations, extension methods, and policy options. These research activities will be linked using an iterative co-learning paradigm to address variations in context, through which research is increasingly embedded within the development praxis of downstream partners. Special research attention will be given to

gender-responsive methods and approaches to address gaps between men and women in access and rights over forests and trees as well as extension practices form key outputs.

Flagship 2 will focus on improving the management and conservation of trees and tree resources for today's and tomorrow's needs. The research activities for 2014 include priority tree genetic resources, across the forest to farm gradient; the management of forests and woodlands for multiple products and services, including both timber and food; and the restoration of diverse forest ecosystems on degraded lands. Attention will be given to understanding the preconditions for gender-equitable participation and benefits in forest rehabilitation and reforestation schemes.

Flagship 3 will focus on landscape management for environmental services, biodiversity conservation and livelihoods. Research activities in 2014 cover understanding patterns and drivers of tree cover transitions and other land use change, quantification of the livelihood and environmental consequences of land use and its change, policy options to sustain and maximize environmental and social benefits from multifunctional landscapes, institutional innovations for managing multifunctional landscapes and the strengthening of learning processes to enhance negotiated decision making in landscapes. Research will also focus on understanding the gender-specific impacts of policies and programs which frame landscape management and natural resources conservation.

Flagship 4 focuses on climate change adaptation and mitigation. Research activities in this flagship for 2014 are designed to achieve reduced greenhouse gas (GHG) emissions and augmented carbon stocks through climate change mitigation policies that aim at better management of forests and trees while increasing local and societal resilience through forest-, agroforestry- and tree-based adaptation measures. In particular, research will be conducted to analyze differential impacts of climate change and adaptation and mitigation initiatives on women's and men's tenure rights and livelihoods, and how climate negotiations and planning processes can be structured to allow for the effective representation and/or participation of women and disadvantaged groups.

Flagship 5 will focus on enhancing the opportunities and managing the impacts of globalized trade and investment. Research activities for 2014 are designed to enhance the understanding of the impacts of globalized trade and investment in food, fiber and energy on forests and people's livelihoods, and opportunities for advancing towards sustainable land use and commodity supply with equitable distribution of benefits. Special attention will be given to examine the differential impacts of globalization on men and women and the need for safeguard measures to ensure the rights and welfare of women and vulnerable population.

Flagship 6 focuses on innovation platform and crosscutting support functions, a key activity being the Sentinel Landscapes. In 2014 Sentinel Landscapes will roll out primary baseline data collection to all network sites and, in line with the Consortium Open Access and Data Management policy, datasets will be published. Add-on modules for institutional strength and human health at the landscape level will be developed and implemented, and a gender focused add-on module will be tested in a subset of landscapes. In the two pilot landscapes (Nicaragua/Honduras and Burkina Faso/Ghana) the baseline



datasets will be used to design an on-farm trial to understand farmers' decision making and their perceptions of trees.

Gender will continue to be integrated into relevant projects through the framing of research questions, collection of sex-disaggregated data, the application of gender-relevant frameworks and approaches in analysis and in the mobilization of appropriate partnerships throughout the research and action cycle. FTA will continue to provide gender research fellowships in 2014 and beyond (six fellowships have been awarded to date).