



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



## Call for Concept Notes

### CCAFS Flagship 1: Climate smart agriculture

#### Summary

The CGIAR Research Program on Climate Change, Agriculture and Food Security (CCAFS) is making a call for concept notes for innovative research-for-development ideas to develop its portfolio of work related to climate smart agricultural practices (Flagship 1), specifically around the area of local adaptation planning processes, and scaling up and out approaches. (a call for the third area in Flagship 1 will come out later in 2014). Concept notes must specify not only the research outputs that are being proposed, but also a clear set of development outcomes, and a plausible theory of change on how this research will contribute to the larger goals of CCAFS and the CGIAR Intermediate Development Outcomes that CCAFS is adopting. Concept notes should generally align with priorities and theories of change specific to each of the regions where CCAFS works. This document describes CCAFS Flagship 1, regional priorities as they relate to Flagship 1, concept note submission process and format, and how concept notes will be evaluated.

CCAFS is a research program that involves all 15 Centers of the CGIAR, in a strategic partnership with FutureEarth, that addresses the challenge of ensuring food and rural livelihood security in the face of a variable and changing climate. The overarching objectives of CCAFS are: (1) To develop and test pro-poor adaptation and mitigation technologies, practices and systems; and (2) To provide diagnosis and analysis that will ensure cost effective investments, the inclusion of agriculture in climate change policies, and the inclusion of climate issues in agricultural policies, from the sub-national to the global level in a way that brings benefits to the rural poor.

#### What is Flagship 1 about?

##### Vision

All farmers, including women and marginalised groups, in Asia, Africa and Latin America are resilient to a variable and changing climate.

##### Targets

By 2024 20 million farmers, at least 50% of whom are women, transform their agricultural practices to be climate-smart. By 2018, CCAFS science on climate-smart technologies and practices will be used to inform policy development in at least 10 countries.

##### Approach

The adaptive capacity of small-scale farmers can be enhanced, and their GHG emissions reduced, by adoption of climate-smart agricultural (CSA) technologies and practices (this could involve entirely new systems, crops, and value chains, but also support networks, information exchange, etc.). New agricultural technologies, practices and information systems that enhance adaptive capacity need to be jointly developed with local partners, building on local knowledge where appropriate. We need to provide evidence regarding the benefits of what works where to farmers and their supporting organisations (public, private and non-governmental actors). Adaptive capacity will be achieved when support networks provide the necessary information,

skills, inputs, markets, investments and institutions that allow farmers to adopt and adapt their agricultural practices in ways that diversify choices, improve livelihoods and create a healthy natural resource base for future generations. As women farmers often have the least say in household decision-making processes regarding agriculture, yet are typically responsible for household food security, we will focus on improving their access to information and resources, including by enhancing their support networks (e.g. women's groups, civil society organisations). We will work to develop innovative means to support two-way information flows by encouraging creative use of new technologies.

The work will include a focus on "climate-smart villages" where integrated approaches to climate variability and change are tested in a participatory manner. Two dozen have been established in CCAFS phase 1, but additional sites are envisaged, especially where connected to major development initiatives. All learning sites are linked to strategies for scaling up and out.

Research will focus on three products: (1) Improved technologies, practices and portfolios for climate-smart agriculture that meet the needs of farmers, including women and marginalised groups; (2) Methods and approaches for equitable local adaptation planning and governance, including transformative options; (3) Innovative incentives and mechanisms for scaling up and out that address the needs of farmers, including women and marginalised groups.

### **First tranche call for concept notes in support of Flagship 1**

Research Scope of this first Call for FP1 Proposals will focus on Objectives/Components:

- 1.2) Methods and approaches for equitable local adaptation planning and governance, including transformative options; and
- 1.3) Innovative incentives and mechanisms for scaling up and out that address the needs of farmers, including women and marginalised groups

Objective 1.2 on local adaptation planning is focussed on research that provides solutions to generating an enabling environment at sub-national scale for climate smart agricultural adoption in our target regions. This may be through exploration of public policy instruments and mainstreaming of adaptation in development plans, or through examination of other institutional arrangements at local sub-national scales that provide effective incentive mechanisms to ensure that climate smart agriculture be adopted by local communities. Instruments which promote marginalised groups and women are of special interest.

Objective 1.3 focuses on the issue of scaling up and out climate smart agriculture. We are looking for research that focusses on incentive mechanisms for CSA such as financing (micro-finance, grounding international climate finance etc.), value chains (public-private partnerships and/or new business models for CSA), and innovative extension systems (mainstreaming of CSA, novel use of ICTs to enable CSA adoption, climate specific management systems). Novel partnerships are especially of interest under this objective, including public-private partnerships.

### **Regional Priorities**

Project design should be tailored to particular regional and national contexts. CCAFS Regional Programs (East Africa, West Africa, South Asia, Southeast Asia, and Latin America) have invested heavily in strategic partnerships, stakeholder processes to identify research needs and Outcome opportunities, and pathways toward major Outcomes. Regional priorities and impact pathway summaries, currently undergoing vetting and refinement, are [available here<sup>1</sup>](http://ccafs.cgiar.org/sites/default/files/files/Table%20showing%20draft%20regional%20priorities.pdf) and should be considered in project design.

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<sup>1</sup> <http://ccafs.cgiar.org/sites/default/files/files/Table%20showing%20draft%20regional%20priorities.pdf>

## Process

This call is being released on 13 December 2013. Concept notes should be submitted by 1 March 2014. Any institution can submit a concept note, but a CGIAR Center must be a significant partner. We are especially interested in engaging the global change research community, in a manner that brings the complementarities between the global change and CGIAR research communities to bear on the challenges outlined in this call. Projects should be proposed for 4-year implementation, preferably be grounded in CCAFS Regions<sup>2</sup>, and have clear indicators and intermediate outcomes after 2 years.

We encourage interaction with the CCAFS leadership in the development of ideas for this call, until 15 February. The key people to discuss ideas with are:

- Flagship Leader: Andy Jarvis ([a.jarvis@cgiar.org](mailto:a.jarvis@cgiar.org))
- Latin America Regional Leader: Ana Maria Loboguerrero ([a.m.loboguerrero@cgiar.org](mailto:a.m.loboguerrero@cgiar.org))
- West Africa Regional Leader: Robert Zougmore ([r.zougmore@cgiar.org](mailto:r.zougmore@cgiar.org))
- East Africa Regional Leader: James Kinyangi ([j.kinyangi@cgiar.org](mailto:j.kinyangi@cgiar.org))
- South Asia Regional Leader: Pramod Aggarwal ([p.k.aggarwal@cgiar.org](mailto:p.k.aggarwal@cgiar.org))
- South East Asia Regional Leader: Leocadio Sebastian ([L.Sebastian@irri.org](mailto:L.Sebastian@irri.org))

Concept notes should be sent to Torben Timmermann ([t.timmermann@cgiar.org](mailto:t.timmermann@cgiar.org)) using the template at the end of this document, by 5 pm CET on 1 March 2014. Any general queries about process can also be addressed to Torben.

## Evaluation process and criteria

Concept notes will be evaluated using a Delphi process, based on the criteria described below. Project concepts that are successful in the first evaluation by CCAFS management and externally commissioned reviewers will present at the CCAFS Science Meeting the week of 7 April 2014. Further evaluation will take place during that meeting, including a Delphi evaluation process to rank concept notes, and a dynamic process that may involve integration across concept notes and selection among high-ranking concept notes to develop a desired portfolio of projects. Successful concept note proponents will then need to provide more detailed project proposals for funding to commence 1 January 2015. Initial funding will be provided for 2 years (2015-2016), with a further 2-year renewal depending on progress. A total of up to about US\$6m of annual funding will be made available for successful projects.

Evaluation of individual concept notes will be based on six criteria:

### **1. Delivery of Outcomes (25%)**

This criterion includes contribution to the Flagship Outcome targets, the magnitude of the proposed Outcome, and the likelihood of achieving the Outcome. How compelling is the proposed Outcome? Based on the evidence given, what is the likelihood of achieving the Outcome? How effectively does the proposed project incorporate the partnerships and processes needed to deliver the Outcome? Are suitable intermediate indicators identified to gauge progress toward the Outcome?

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<sup>2</sup> 60-80% of CCAFS funds will go to the targeted regions, thus allowing for some work to be carried out in other regions.

## **2. Alignment with CCAFS theory of change and regional priorities (20%)**

Projects should be consistent with the CCAFS theory of change ([see CCAFS draft Phase 2 proposal](#)<sup>3</sup> for more detail on this). Regional-focused concept notes (as opposed to global ones) will be evaluated on degree of focus on CCAFS [regional priorities](#)<sup>4</sup>, which have been derived through extended interaction with stakeholders, and degree to which the project is likely to contribute to the regional impact pathway. While project concepts outside of CCAFS focus regions are possible, at least 80% of the CCAFS portfolio is expected to be in the focus regions and countries.

## **3. Value for money (15%)**

The score for this criterion will be based on the magnitude of the Outcomes proposed and the budget requested. Also important is the amount of matching funds (from bilateral sources) that will be leveraged. What is the evidence that the project will be able to raise the expected bilateral funds (including external funds leveraged by non-CGIAR partners, if relevant)?

## **4. Demonstrated capacity and partnerships (20%)**

How strong is the evidence that the project team has the required breadth of expertise? Are appropriate external technical partners engaged substantively in project design and implementation? Some topics in this call are beyond the traditional mandate of CGIAR Centers, meaning that successful projects will require external partnerships with institutions with a proven track record that compliments CGIAR research for development capacity.

## **5. Innovation (10%)**

CCAFS is looking for novel ways to generate solutions, and innovative or creative approaches will be rewarded. This evaluation criterion will be especially considered in generating the portfolio of projects, with the aim of including some higher risk innovative approaches along with low risk more standard approaches.

## **6. Attention to cross-cutting issues (10%)**

CCAFS prioritizes certain cross cutting issues, which include gender, partnerships, inter-Center collaboration, collaboration with Future Earth, open-access data and communications. Projects that embrace these principles are encouraged.

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<http://ccafs.cgiar.org/sites/default/files/files/CCAFS%20Phase%202%20Second%20Order%20Draft%20plus%20ToC.pdf>

<sup>4</sup> <http://ccafs.cgiar.org/sites/default/files/files/Table%20showing%20draft%20regional%20priorities.pdf>

## Concept note template<sup>5</sup>

<b>CCAFS Flagship</b>
<i>Line 1: CCAFS Flagship where this project falls</i> <i>Line 2: Specific Flagship component(s) being addressed (e.g. 1.2, 2.1 etc.)</i>
<b>Title</b>
<i>Give a title for this project (max 2 lines)</i>
<b>Regional Focus</b>
<i>Geographic region in which this project will take place.</i> Delete all but one of the following: <b>Latin America, West Africa, East Africa, South Asia, South-East Asia, Other</b> (specify), <b>Global</b> (if a global activity, not regional).
<b>Target countries</b>
<i>List the countries where research will take place, if relevant</i>
<b>Target CCAFS sites (climate smart villages)</b>
<i>List CCAFS sites, if any, that will be involved. Consult these at: <a href="http://ccafs.cgiar.org/regions">http://ccafs.cgiar.org/regions</a></i>
<b>Project summary</b>
<i>Describe the basic idea of this project, in a format suitable for general readership on the web (max 10 lines)</i>

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<sup>5</sup> This concept note must be a maximum of four pages. Do not change the font. The blue text may be removed.

<p><b>Key research outputs (Criteria 5)</b></p>
<p><i>Research products that will be developed to deliver the Outcome (e.g. prioritization tools, CSA evidence, etc.). What are the new innovations? Who is going to be doing what research activities, and what do they aim to accomplish during the project? (max 6 bullets)</i></p>
<p><b>Outcomes after four years (contributes to Criteria 1 and 3)</b></p>
<p><i>Outcome statement. What will the next-users do differently (e.g., policies, investments, services, practice) as a result of project outputs? Be specific, relative to the Targets of the Flagship (max 10 lines)</i></p>
<p><b>Contribution to CCAFS theory of change and regional impact pathways (Criteria 2)</b></p>
<p><i>Very brief narrative of assumptions made in the project, and strategies to ensure that research outputs will contribute to the theory of change of CCAFS, and the regional impact pathways. If your activity requires inputs from other projects in order to achieve Outcomes, then include them in the theory of change (max 10 lines)</i></p>

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**Contribution to CGIAR Intermediate Development Outcomes (IDOs) as specified in [CCAFS Phase 2 document](#)<sup>6</sup> (contributes to criteria 1 and 3)**

**Gender and social differentiation**

*How will this activity contribute to increased control, by women and other marginalized groups, of assets, inputs, information and decision-making? Give a concrete measurable contribution (measurable by end of 2016). (max 6 lines)*

**Adaptive capacity**

*How will this activity increase capacity in low-income communities (and supporting organizations) to adapt to climate variability, shocks and longer-term changes leading to more climate-resilient livelihoods? Also give a concrete measurable contribution (measurable by end of 2016). (max 6 lines)*

**Policies**

*Answer as relevant (max 6 lines):*

- *Number of countries where CCAFS science will inform agricultural, climate or food security policies (by 2016). Number of individuals that will benefit (by 2023).*
- *Resulting annual percent increase in investment in climate-smart agriculture (by 2018).*
- *Number and identity of global, regional, national development organizations using CCAFS-derived tools and approaches to inform climate-smart agriculture investment (by 2018).*

**Food security**

*How will this activity increase and stabilize access to food by rural and urban poor? Give a concrete measurable contribution (measurable by end of 2016). (max 6 lines)*

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<sup>6</sup>

<http://ccafs.cgiar.org/sites/default/files/files/CCAFS%20Phase%202%20Second%20Order%20Draft%20plus%20ToC.pdf>

<b>Budget (US\$ per year) (Contributes to criteria 3)</b>				
	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
Requested funds ("CGIAR Window 1/2")				
Bilateral (raised by CGIAR Centers)				
Leveraged (by non-CGIAR partners) <i>If secure, please give email address of contact person.</i>				
Total project budget				
<b>Primary partners that will receive funding (contributes to criteria 4)</b>				
<i>List in bullets key partners who will receive project funding, including role, and ballpark percent of budget assigned to each.</i>				
<b>Other partnerships for enabling outcomes (contributes to criteria 4)</b>				
<i>List the partners involved (not receiving funding) for out-scaling and achieving impact (e.g. international climate finance orgs, governments, development agencies), including role.</i>				
<b>Evidence of capacity (contributes to criteria 4)</b>				
<i>Brief summary of evidence that the project team has the required breadth of expertise, and/or that external technical partners provide the necessary capacity (max 6 lines)</i>				
<b>Degree of focus on cross-cutting issues of importance to CCAFS (criteria 6)</b>				
<i>Briefly describe how gender and social differentiation, inter-Center collaboration, capacity building, and open-access data are to be considered in this project (max 6 lines)</i>				

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## Annex 1: Glossary of Terms

**Activity:** What research, training, engagement and other things do we need to do in order to achieve an output? In relation to CCAFS in general, an “activity” relates to a bundle of work that is planned and reported on, to a value of roughly \$250,000 per year (although there is quite a lot of flexibility regarding this number).

**Attribution versus contribution:** The Consortium Office is expecting CRPs to take full responsibility for putting in place the partnerships to deliver on outcomes and impacts. We are fully responsible for achieving our activities and outputs. But responsibility for achieving outcomes and impacts is not 100%. What can be done at the CRP level?

- First, we take responsibility for outcomes and impact in terms of identifying what we are trying to influence with our activities and outputs, and putting in place the partnerships and collaborative mechanisms to make this happen.
- Second, we take responsibility for identifying and facilitating the changes that are necessary to create an environment that enables outcomes and impacts. This is a transformation in the research for development process.
- Third, we monitor outcome and impact targets (as in an early warning system) to see if what we are doing is leading to the outcomes and impacts we have identified as desirable, even though those outcomes and impacts are well down the line and mostly out of our control. This is also a transformation in the research for development process – we need to take responsibility for monitoring things out of our control.

**End-user:** The population that we want to benefit from the target impact. The population of end-users is usually quite massive, making it unfeasible for a project or program to work with them directly to achieve an impact.

### **Indicator:**

**Process indicator:** an indicator that tracks key stages in a process that leads to outputs and outcomes. In relation to flagship projects, there should be at least one process indicator per year for each activity proposed.

**Outcome indicator:** an indicator that tracks the achievement of an explicit outcome or end-point of some action.

**Impact:** What change do we wish to see for end-users? An impact is long-term (10, 20, 50 years), and usually occurs sometime after a program or project has closed. An impact occurs because of many things, including variables outside the control of a program. Therefore, a program can claim to have contributed to creating an environment that enables an impact, but cannot generally claim to be responsible for the impact. By the time an impact happens, it is 95% out of the control of the program implementers. Most impact pathways will have early impacts leading to later impacts.

**Impact Pathway:** A representation of the steps within a theory of change; does not capture cross cutting strategies that inform, influence and contribute to the desired change. The basic steps in an impact pathway are activities with deliverables, outputs, outcomes and impacts.

**Next-user:** The group of boundary partners that can create an environment that enables the target impact for end-users. This group can also be large, but targeting our activities to achieve outcomes at the next-user level is feasible.

**Outcome:** What changes in next-users need to happen so that an enabling environment is created and the impact target can occur? Most impact pathways will have early outcomes in terms of knowledge, attitude and skills changes leading to later outcomes in terms of changes in practice. By the time an outcome happens, it may be at least 50% out of the control of the program implementers.

**Outcome Mapping:** Tools for developing an impact pathway.

**Output:** What will we produce so that next-users have the necessary knowledge, skills and attitudes to achieve an outcome? In relation to flagship projects, an output is the result of a set of activities.

**Partners:** Individuals and organizations that we strategically choose to work with because of their expertise, network and influence with next-users.

**Project:** A set of coherent activities (see above) undertaken to produce outputs and then outcomes.

**Theory of Change:** A hypothesis about how a project or program will contribute to a desired change. A TOC states the assumptions that were made concerning each step in the impact pathway, and the strategy that will be implemented to ensure that there is movement between each step in the impact pathway.