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## ANNEX 4

of the Commission Implementing Decision on the Annual Action Programme 2018 for Food and Nutrition Security and Sustainable Agriculture under the Multiannual Indicative Programme for the Thematic Programme on Global Public Goods and Challenges for the period 2018-2020 to be financed from the general budget of the Union

<b>1. Title/basic act/ CRIS number</b>	DeSIRA: Towards climate-relevant Agricultural and Knowledge Innovation Systems CRIS number: FOOD/2018/ 2018 / 041-617 financed under Development Cooperation Instrument	
<b>2. Zone benefiting from the action/location</b>	The action shall be carried out at the following location: Africa and global	
<b>3. Programming document</b>	GPGC MIP 2014-2020	
<b>4. Sector of concentration/ thematic area</b>	Food and Nutrition Security and sustainable Agriculture	DEV. Aid: YES
<b>5. Amounts concerned</b>	Total estimated cost: EUR 40 000 000 million Total amount of EU budget contribution EUR 40 million The contribution is for an amount of EUR 40 million from the general budget of the European Union for 2018. This action will be jointly co-financed in parallel by the International Fund for Agricultural Development (IFAD) for a total indicative contribution of USD 10,000,000 (to CAADP ex-Pillar IV) and of USD 2,500,000 (to GFAR)	
<b>6. Aid modality(ies) and implementation modality(ies)</b>	Project Modality Indirect management with FAO and IFAD	
<b>7 a) DAC code(s)</b>	Main DAC code 311 (Agriculture) –100% sector- percentage ; Sub-code Agriculture research – 31182-90% ; <Sub-code Forestry research – 31282- 10%	

<b>b) Main Delivery Channel</b>	41000			
<b>8. Markers (from CRIS DAC form)</b>	<b>General policy objective</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Participation development/good governance	<input type="checkbox"/>	<input type="checkbox"/>	X
	Aid to environment	<input type="checkbox"/>	x	<input type="checkbox"/>
	Gender equality (including Women In Development)	<input type="checkbox"/>	x	<input type="checkbox"/>
	Trade Development	x	<input type="checkbox"/>	<input type="checkbox"/>
	Reproductive, Maternal, New born and child health	x	<input type="checkbox"/>	<input type="checkbox"/>
	<b>RIO Convention markers</b>	<b>Not targeted</b>	<b>Significant objective</b>	<b>Main objective</b>
	Biological diversity	<input type="checkbox"/>	x	<input type="checkbox"/>
	Combat desertification	<input type="checkbox"/>	x	<input type="checkbox"/>
	Climate change mitigation	<input type="checkbox"/>	<input type="checkbox"/>	x
	Climate change adaptation	<input type="checkbox"/>	<input type="checkbox"/>	x
<b>9. Global Public Goods and Challenges (GPGC) thematic flags</b>	Food and Nutrition security and sustainable agriculture			
<b>10. SDGs</b>	Main SDG Goals: 1, 2 and 13 Secondary SDG Goals: 5, 8, 14 and 15			

## SUMMARY

This action is part of an initiative on Development Smart Innovation through Research in Agriculture (DeSIRA) steered by the European Commission and involving some EU Member States and the Bill and Melinda Gates Foundation. By linking more effectively research and innovation with development initiatives, DeSIRA intends to boost innovation in agriculture and food systems transformation of partner countries with a view to be more resilient to the effects of climate change.

This action aims at the climate-relevant, productive, and sustainable transformation of agriculture and food systems in low and middle-income countries, thereby contributing to the SDG Targets 2.3 (increase agricultural productivity of smallholder food producers), 2.4 (ensure sustainable food production systems, strengthening adaptation to climate change), 2.A (increase investment in agricultural research and extension services, and technology development), 13.2 (Integrate climate change measures into national policies, strategies and planning) and 15 (ecosystem sustainability).

This action builds on lessons learnt from past and diverse support to agricultural research for development; on potential synergies with the EU-AU High Level Policy Dialogue on Science, Technology and Innovation; as well as on different approaches and methodologies for farmers-centred agriculture innovation systems successfully experimented through past

initiatives (Development Cooperation Instrument, Framework programme 7, Horizon 2020, the European Innovation Partnership for Agricultural productivity and Sustainability-EIP-AGRI).

The main actors of this Action are key International and African networks and organisations playing a role in the governance and architecture of agricultural research and innovation, namely the Global Forum for Agriculture Research (GFAR), the Tropical Agriculture Platform (TAP) and the CAADP ex-Pillar IV organisations (FARA, AFAAS, ASARECA, CCARDESA, CORAF). The direct beneficiaries are the national agricultural knowledge and innovation systems (AKIS) in partner countries and the final beneficiaries comprise smallholder family farmers, entrepreneurs, etc. with a particular focus on the rural poor, especially smallholder women and youth farmers and pastoralists as well as the marginalized communities.

The expected outcome is the improved effectiveness of low and middle income countries' public policies on agricultural research and extension services and technology development for climate change adaptation and mitigation of agriculture and food systems.

This will be achieved through:

- Strengthened capacities of national Agriculture Knowledge and Innovation Systems (AKIS) for climate-relevant transformation of agriculture and food systems;
- Collective multi-stakeholder actions for climate-relevant transformation of agriculture and food systems;
- Increased availability and access to knowledge products for climate-relevant transformation of agriculture and food systems; and
- Advocacy for increased policy coherence and investments for climate-relevant, inclusive, productive and sustainable innovation of agriculture and food systems

The implementation of the activities will be under the joint management of FAO (GFAR and TAP) and of IFAD (CAADP ex-Pillar IV organisations).

## **1 CONTEXT**

### **1.1 Sector context**

The world is facing global challenges that affect the sustainability of food and agriculture systems, and thus the livelihoods of millions of family farmers worldwide. These global challenges are exacerbated by the effects of climate change and pose serious threats to achieving the fundamental right of everyone to be free from hunger, and achieving the transformational changes predicated by the Agenda 2030 for Sustainable Development. Climate relevant innovation, be it institutional, social or technological, is needed in agriculture and food systems to meet these challenges.

With a growing population, the tension between agricultural production, scarcity of arable land and water, and climate change will increasingly be a source of conflicts and a powerful driver of migration. Climate change is increasingly compromising humanity's ability to feed itself, with increasing average temperatures, change in rainfall patterns and growing recurrence of droughts and floods. Agriculture is both a victim of and a major contributor to climate change and environmental degradation, notably through land use change and land

degradation. At the same time, practices that help farmers adapt to climate change often bring multiple benefits and reduce net greenhouse gas emissions too.

The 23rd session of the Conference of the Parties (COP 23) to the UN Convention on Climate Change (UNFCCC) took place in Bonn, Germany from 6-17 November 2017. Among other decisions, COP 23 adopted a major one on “Issues Relating to Agriculture”, recognizing the importance of agriculture for the implementation of the Paris Climate Agreement. This is expected to help create an enabling environment for countries and non-state actors to conduct activities in the agricultural sectors that are key to achieve the objectives of the Paris Agreement; and it will be supported by the ‘Koronivia joint work on agriculture’ under which Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation will jointly address issues related to agriculture. Parties to the UNFCCC were requested to provide views by mid-2018 on several issues, starting with methods and approaches for assessing adaptation, adaptation co-benefits and resilience; improved soil carbon, soil health and soil fertility under grassland and cropland as well as integrated systems, including water management; improved nutrient use and manure management towards sustainable and resilient agricultural systems; improved livestock management systems; and socioeconomic and food security dimensions of climate change in the agricultural sector.

The public sector, in collaboration with civil society, farmers’ organizations and the private sector is responsible for creating and supporting the conditions and the institutional architecture that will enable innovation to flourish, linking these various actors, fostering the capacity of smallholder farmers and other stakeholders and providing incentives, for them to innovate. Research and extension play a central role in these innovation pathways. The institutional architecture comprises different types of research and extension organisations, operating at different scales, from the global to the national and local levels. These organisations are currently not enough well equipped to support the challenges of supporting climate change adaptation and mitigation. This is in that context that FAO will organise a symposium on innovation in agriculture in November 2018.

### ***1.1.1 Public Policy Assessment and EU Policy Framework***

In line with the New EU Consensus on Development, the Multi-annual Indicative Programme 2018-2020 for the Global Public Goods and Challenges programme recognises the need to reconcile agriculture with climate change challenges and environmental degradation, and addresses the importance of generating and exchanging knowledge and fostering innovation under its priority for “Food and Nutrition Security and Sustainable Agriculture”.

The “One Planet Summit” (Paris, 12 December 2017) generated a positive momentum on climate relevant research and innovation in agriculture, and led to pledges from the European Commission (EC), the Gates Foundation (BMGF) and France.

The EC commitment is built on discussions held under an EC-led platform called DeSIRA (or **D**evelopment **S**mart **I**nnovation through **R**esearch in **A**griculture) to enhance farmers' access to innovation through better integration of agricultural research. DeSIRA results in particular from a G7 declaration to strengthen support to agricultural research for the poor (Elmau, 2015, German Presidency) and from Council conclusions (3477th meeting, 20 June 2016, Netherlands Presidency) where : 'The Council encourages the EU and its Member States to

work together to accelerate farmers' access to innovation and strengthen partnerships between European and partner research institutions for long term effectiveness.

For Africa, the African Union (AU) Malabo Declaration on Agriculture and Postharvest Losses (2014) was adopted on the 10th anniversary of the Comprehensive African Agriculture Development Programme (CAADP). It constitutes its strategy for agricultural development. While the Science, Technology and Innovation (STI) Strategy for Africa (STISA) is the strategy for deployment of STI, the Science Agenda for Agriculture in Africa (S3A) is a framework for ensuring that Malabo commitments take advantages of the power of STI in response to Malabo call for “*the African Agricultural Research and Knowledge Institutions to vigorously support the realization of this agenda through an integrated and coherent manner, building on national systems and capacities*”. Malabo commitments to achieve the CAADP targets include targets in terms of resilience of agriculture towards climate change, and of investments in agricultural research (1% of agricultural GDP). The first Biennial Review (published in 2018) has however shown that very few countries are on track to achieve 2025 targets, and calls for enhanced efforts.

### **1.1.2 Stakeholder analysis**

The main actors of this Action are GFAR and TAP at the global level, and CAADP ex-Pillar IV organisations (FARA, AFAAS, ASARECA, CCARDESA and CORAF) at the African level.

These initiatives and organisations constitute the anchor framework for the implementation of the Action. They have the responsibilities of coordinating and facilitating the transformation of agricultural, food and innovation systems to meet the climate and development challenges at their respective geographic level.

GFAR is hosted by FAO. It has a role in articulating the demand for research products, in catalysing partnerships for the up-scaling of research products and in capacity building, notably through the organisation of biennial Global Conference on Agricultural Research for Development (GCARD). It complements the role of the CGIAR (formerly the Consultative Group on International Agricultural Research), a major implementer of global Agriculture Research for Development focussing on developing countries. GFAR's mission is not about directly managing field programmes, but about playing vital catalytic, mentoring, learning & knowledge sharing roles through multiple means, inspiring and fostering collective actions that enable partners to learn, reflect and transform their work for greater impact on the ground. GFAR favours an innovation web development-oriented approach over linear technology uptake approaches.

The Tropical Agriculture Platform (TAP) is an initiative of G20 Agriculture Ministers in 2012. It provides an opportunity to tackle problems of weak capacity in a systematic way. Both TAP and GFAR have adopted the Agriculture Innovation System<sup>1</sup> as an overarching

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<sup>1</sup>An innovation system is defined as '*networks of organisations or actors, together with their supporting institutions and policies that bring new products, processes and forms of innovation into economic use*'. In the context of innovation in rural areas in developing countries the 'actors' may be farmers and their organisations, community groups, governmental or non-governmental agencies, or private business.

framework linking education, research, and extension to innovation. The TAP endeavours to pave the way for agricultural innovation to meet the demands of its principal users - small farmers, small and medium-sized agribusinesses and consumers.

FARA is the Forum for Agricultural Research in Africa, the apex organization bringing together and forming coalitions of major stakeholders in agricultural research and development in Africa, with its secretariat in Ghana. FARA is the technical arm of the African Union Commission (AUC) on rural economy and agricultural development.

AFAAS is the continental umbrella organization that aims at strengthening national Agricultural Extension and Advisory Services (AEAS), with its office based in Uganda. Its mission is to promote lesson learning and add value to initiatives in AEAS through policy advocacy and lobbying, sharing of knowledge and information through increased professional interaction among AEAS providers.

Sub-Regional Organisations (ASARECA, CORAF, CCARDEA,) facilitate and coordinate agricultural research for development in their respective region, Eastern and Central Africa, Western and Central Africa, and Southern Africa. ASARECA was launched in 1994 and comprises 11 member countries with a secretariat in Uganda. CCARDESA was established by 15 SADC Member States in 2011. It is a subsidiary of the SADC secretariat, with its secretariat in Botswana. CORAF was established in 1987 and comprises 23 member states, with its secretariat in Senegal. CCARDESA and CORAF benefit from strong links with their respective Regional Economic Communities, allowing regular but limited, financial core contributions. In Western Africa financial retrocession mechanisms have been put in place under a regionally-funded programme and benefit to CORAF core funding. The Action takes into account the potential and previous successes of these organisations, but also former financial and strategic difficulties, in particular at ASARECA, which will require a close attention.

The beneficiaries of this action are the national agricultural research systems (NARS) in partner countries, comprising research and academic organisations, extension services, producers' organisations, private sector organizations, and civil society organisations.

The final beneficiaries comprise smallholder farmers, entrepreneurs, etc. with a particular focus on the rural poor, especially smallholder women and youth farmers and pastoralists as well as the marginalized communities.

Key stakeholders are notably: partner countries governments, AU Commission, the Regional Economic Communities (RECs), EU Member States and some of their specific interventions (such as GiZ Green Innovation Centres), Financial Development Institutions, Advanced Research Institutions, universities and networks (incl. AGRINATURA), EFARD, CTA, COLEACP, RUFORUM, ICRA<sup>2</sup>, farmers' and professional organisations, private sector, and other civil society organizations.

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<sup>2</sup> AGRINATURA is the European Alliance on Agricultural Knowledge for Development, a new entity established jointly by European research and education organisations (with two pillars, AGRINATURA Association and AGRINATURA-EEIG). EFARD is the European Forum for Agricultural Research for development. CTA (Centre Technique Agricole) is a joint ACP-EU organisation under the Cotonou Agreement. COLEACP stands for Europe-Africa-Caribbean-Pacific Liaison Committee. RUFORUM stands for Regional Universities Forum for Capacity Building in Agriculture (RUFORUM), a

### ***1.1.3 Priority areas for support/problem analysis***

Agriculture and food systems impact on almost all aspects of the SDGs, yet agri-food research and innovation systems are short of impact significantly the lives and livelihoods of resource-poor smallholder farmers around the world. This is due to two major order problems:

- Inadequate public policies and government investments in partner countries – The public sector in low and middle-income countries should have the primarily responsibility for creating a favourable environment for innovation in agriculture and food systems, through appropriate policies and investments that empower smallholder farmers, and facilitate private sector investments.
- Inadequate capacities of public sector research and extension services. Prevailing technology-uptake approaches are mostly linear, under-resourced, under-capacitated and failing to overcome numerous capacity and partnership blockages for agri-food innovation to impact at scale. Focus on productivity alone neglects other dimensions of sustainable development such as climate action, responsible consumption & production, gender equality, youth opportunities and eliminating rural poverty.

This action will focus on strengthening the Global and the African continental and sub-regional architectures and governance frameworks of the agricultural research and innovation for development systems to be more conducive to innovation and to achieve developmental impact on the ground. These entities at international, continental and regional levels are key actors to enable national agriculture research and innovation systems to better perform and integrate climate change challenges into their planning and action programmes. Partnership approaches with European organizations and networks will be particularly called upon to address capacity and organisational weaknesses.

At the global level the Global Forum on Agriculture Research (GFAR) and the Tropical Agriculture Platform (TAP) are targeted given their fundamental work for providing global public goods in the field, and for strengthening capacities of regional and national agricultural knowledge and innovation systems. At the African level, five continental and sub-regional Agricultural Research and Innovation organizations (FARA, AFAAS, ASARECA, CCARDESA and CORAF) are targeted, as their governance and operations need to be strengthened to better perform, collectively and individually, towards the achievement of their goals and their partners' expectations, and as they need to consolidate their work in support of climate relevant agricultural and related food and innovation systems.

The action will build on previous support provided to these organisations and platforms, as well as a wealth of lessons learnt through a series of reviews and evaluations recently carried out.

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network of 85 Universities in 35 African countries. ICRA is the International Centre for development oriented Research in Agriculture.

## 2 RISKS AND ASSUMPTIONS

Risks	Risk level (H/M/L)	Mitigating Measures
Uncoordinated action which might impact on effectiveness: different institutional capacity for implementation and coordination at different levels may limit effective collaboration among different actors	M	Development of a clear framework for implementation and coordination for each specific component of the Action. Set-up for the Action a strategic orientation and oversight mechanism
Limited capacity to link to national and local level actions	M	Establish good communication and knowledge sharing mechanisms among the different levels of intervention Prioritize actions consistently with national policies and investments
Difficulty to monitor progress of the Action - Some of the expected results represent qualitative “intangible” behavioural changes (increased capacities, shifts of paradigm in research organisations, more active role of smallholder farmers, etc.), necessary to generate the longer term sustained developmental impacts.	M	Develop a common M&E system, which would allow to measure progress against expected outcomes with attention to collecting and analysing data from the perspectives of gender and youth.
Disconnect between research and development (risk to fall into a business-as-usual approach to research and innovation)	M	Design into each specific contract to be signed under this Action clear outcomes and outputs, well designed impact pathways, and clearly identified end beneficiaries (youth and gender sensitive) – Build functional linkages with development interventions at national and local level
Financial sustainability of ex-pillar IV CAADP organisations	H	Contingency and reserves management policies defined and applied. Resource mobilisation and communication strategies are implemented with failure and success criteria
Fiduciary risks, in particular with CAADP ex-Pillar IV organisations	M-H	Fiduciary assessments done by IFAD before entering into specific grant agreements with individual organisations will be performed, with remedial measures if needed Lessons learnt from experiences in WB Multi-Donor Trust Fund support programmes used
Failure of the research agenda to be relevant to the lives and challenges facing smallholder farmers, in particular women and the youth	M	Ensure a thorough analysis of proposed research agenda from gender and youth perspective relevant to the country and regional context
<b>Assumptions</b>		
<ul style="list-style-type: none"> <li>Relevant continental, regional and national policies favourable to agricultural transformation and growth will prevail</li> <li>Adequate and appropriate policies and plans in partner countries for climate change adaptation and</li> </ul>		



Risks	Risk level (H/M/L)	Mitigating Measures
<p>mitigation in the agricultural sector.</p> <ul style="list-style-type: none"> <li>• Political support for agriculture as a major driver of sustainable national economic development will be upheld</li> <li>• All the coordinating and implementing partners will continue to work together adopting practices that foster effective collaboration</li> <li>• Multi-stakeholder partners will be motivated to share and exchange information and knowledge.</li> </ul>		

### 3 LESSONS LEARNT, COMPLEMENTARITY AND CROSS-CUTTING ISSUES

#### 3.1 Lessons learnt

Reviews and evaluations on EC support to agricultural research for development have been recently carried out at thematic level, at programme level; as well as at organisational level for GFAR and the Africa CAADP ex-Pillar IV organisations. The design of this action builds on recommendations that emerged from these reviews and evaluations.

The evaluation of “EU support to research and innovation for development in partner countries 2007-2013”<sup>3</sup> (2015) called for the formulation of a strategic approach to Research & Innovation (R&I) with a focus on establishing institutional framework for R&I to support at global level international research agendas related to global challenges in relevant sectors, and develop a strategy for R&I that adapts the support provided to the needs and level of development at country level. It calls for attention to support to networks, capacity development, careful selection of partner institutions, policy dialogue, actual funding of research for development, capitalisation of results and establishment and strengthening of national innovation systems. This more strategic, more visible and better-coordinated approach is seen as beneficial, with explicit complementarity with the EU’s framework programme for research and innovation.

A forward-looking review (2018) of FARA, AFAAS, ASARECA, CCARDESA, and CORAF underlined that these organizations provide the regionally-determined institutional architecture for promoting greater coordination and efficiency of agricultural research and extension, within and across Africa. It shows that development needs cannot be met by agricultural research and extension alone and processes for better foresight and societal demand, for farmer-participatory research, for the multi-partner innovation platforms required for generation and scaling of technologies and innovations and for the private sector investment in turning innovations into enterprise and income requires direct and coordinated investment. Multiple actors are required for impact at scale and the role of the regional and sub-regional organizations provides a vital lever around which to build national transformations and climate related action. Since 2008 €58 million support to these organisations has been channelled through the World Bank Multi-donor trust funds, leading to developing organisational capacities but also showed some limits in terms of overall support and oversight, as well as EU visibility.

The GFAR review (2017-2018) mentions the need to improve the capitalization of, and learning from results of the collective actions that GFAR supports or has supported, to

<sup>3</sup> Agriculture Research for Development accounted for more than 50% of DEVCO portfolio in R&I

develop a more explicit GFAR strategy with a focus recognizable to all, and to inform and engage agencies and strategic partners on what it brings and what it takes ‘to catalyse transformative change in Agri-Food Research and Innovation Systems’.

The PAEPARD<sup>4</sup> evaluation (2017) highlights that the need for scaling to be part of new initiatives and to further develop successful practices such as PAEPARD User Led Process projects. It underlines the need for better involvement of youth and women and greater focus on job opportunities. The review of the Global Programme for Agriculture Research in Development (GPARD, 2018) identifies that projects and programmes with focus on bringing about behavioural changes at smallholder farmers’ level (or other beneficiaries) should be prioritised for their potential in result transfer and hence impact at scale, calling for developmental “impact pathway” but taking into account the challenges and opportunities facing women and youth. It recognises the value that European ARIs and other qualified organisations with particular expertise and experience have in working in a participatory way with farmers and other key beneficiaries, with a substantial value to research and innovation projects. It also makes clear for the private sector to be more actively involved, particularly in the uptake pathways, and insists on systematic approach to Monitoring & Evaluation to be adopted, including through baseline studies and independent reviews.

During the past years different approaches and methodologies to farmer-centred agriculture innovation systems have been successfully experimented through initiatives such as the Sub-Saharan Africa Challenge Programme (Integrated Agricultural Research for Development and Multi-Stakeholder Innovation Platforms), PROLINNOVA (Strengthening and transforming national Agro-Food Innovation Systems through building multi-stakeholder action-research partnerships for farmer-led innovation), PAEPARD (Users Led Process for agricultural research for development), CDAIS (Conceptual Framework for Capacity Development of Agriculture Innovation Systems), and many others. They will be integrated in ways to build multistakeholder partnerships and actions under this programme.

### **3.2 Complementarity, synergy and donor coordination**

This action is by its very nature aims at building complementarity, synergy and coordination within the EU such as in the context of AU-EU High Level Policy Dialogue on Science, Technology and Innovation (on Food and Nutrition Security and Sustainable Agriculture), and with Member States’ and other actors’ initiatives.

The type of knowledge and innovation generated, supported and disseminated through this action, will also be linked to development cooperation programmes in food and nutrition security and in sustainable agriculture funded through EU geographic envelopes, in particular EDF and DCI.

Potential synergies and complementarities with other EU-funded programmes such as the €60 million programme to strengthen Research and Innovation capacity on ACP countries, will be assessed in the course of their respective implementation.

This action will have its own coordination mechanisms and reporting will be performed by the European Commission on a regular basis in the framework of meetings of the DeSIRA platform.

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<sup>4</sup> Platform of African and European Partnerships in Agriculture Research for Development

### **3.3 Cross-cutting issues**

#### ***Environment and climate change***

The whole action is designed to support adaptation and mitigation of agriculture and food systems in developing countries, supporting the implementation of their Nationally Determined Contributions.

In terms of environmental sustainability, the action will align to provisions of the European Consensus for Development.

#### ***Gender***

Promoting gender equality and women's empowerment - and creating specific opportunities for young women and men - are central to the achievement of Agenda 2030. The future productivity and sustainability of the agricultural sector and associated value chains is dependent on women and the youth to engage as smallholder producers, value chain actors and agripreneurs, with the ability to adopt and adapt adequate technologies. This is most urgent in contexts where there has been significant adult male outmigration, resulting in the 'feminisation of agriculture', and where the 'youth' cohort is growing rapidly. Addressing underlying causes for gender inequalities require working with decision-makers in policy dialogue and at the same time empowering rural women at home and in the community, engaging with men as allies for change, removing the structural, political, economic, cultural, and social barriers that limit women's access and rights to resources and assets, voice and participation in decision-making.

GFAR has initiated a Global Partnership Program, the Gender in Agriculture Partnership (GAP), which is a multi-stakeholder network for action involving individuals across many civil, private, governmental and inter-governmental institutions at global, regional, national and local levels, working together to promote gender equity and empower women in agriculture. The regional fora have also initiated a number of actions related to gender under the current GFAR programme of work that should inform specific activities of the programme, such as the multi-stakeholder partnerships and actions.

#### ***Right based approach***

This action builds on the commitment of the Commission to adopt a human rights based approach to development cooperation. Promoting innovation for building resilience to the effect of climate change and focusing on smallholder family farmers will contribute to ensure the fundamental right to food for the poor and the most deprived, by increasing availability, access, and stability for food security.

## **4 DESCRIPTION OF THE ACTION**

### **4.1 Objectives/results**

This Action is relevant to Agenda 2030; it contributes primarily to the progressive achievement of SDG Goal 2 (zero hunger), and combat climate change and its impacts (SDG13). It also promotes progress towards ending poverty (SDG1), gender equality (SDG5), decent work and economic growth (SDG8), responsible consumption and production (SDG12), combatting climate change and its impacts (SDG13), sustainably use of the oceans, seas and marine resources (SDG14), and ecosystem sustainability (SDG15).

**Impact:** Promote climate-relevant, productive, and sustainable transformation of agriculture and food systems in low and middle-income countries, thereby specifically contributing to the achievement of the following SDG Targets:

2.3 Double the agricultural productivity and incomes of small-scale food producers, in particular women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment;

2.4 Ensure sustainable food production systems and implement resilient agricultural practices that increase productivity and production, that help maintain ecosystems, that strengthen capacity for adaptation to climate change, extreme weather, drought, flooding and other disasters and that progressively improve land and soil quality;

2.A Increase investment, including through enhanced international cooperation, in rural infrastructure, agricultural research and extension services, technology development and plant and livestock gene banks in order to enhance agricultural productive capacity in developing countries, in particular least developed countries; and

13.2 Integrate climate change measures into national policies, strategies and planning.

**Outcome:** Improved effectiveness of public policies on agricultural research and extension services and technology development for climate change adaptation and mitigation of agriculture and food systems in low and middle-income countries'.

#### **Outputs:**

- Output 1: AKIS organisations and individuals' capacities on climate-relevant transformation of agriculture and food systems strengthened.
- Output 2: Collective multi-stakeholder actions for climate-relevant innovation in agriculture and food systems catalysed.
- Output 3: Knowledge products on climate-relevant transformation of agriculture and food systems available and accessible.
- Output 4: Policy coherence and investments for climate-relevant, inclusive, productive and sustainable innovation of agriculture and food systems advocated.

#### **4.2 Main activities**

The action will include activities that can be summarised as follows:

- Develop and implement a common framework for action for the main actors of the action (GFAR, TAP, FARA, AFAAS, ASARECA, CCARDESA, CORAF);
- Strengthen capacities of actor organisations (technical, organisational, and M&E capacities);
- Strengthen capacities of national agriculture and knowledge innovation systems (technical, organisational, and M&E capacities) at the individual, organisational, and institutional level;
- Promote and support collective multi-stakeholder partnerships and actions for climate-relevant innovation in agriculture and food systems;
- Develop and share knowledge products;
- Support advocacy for the climate-relevant transformation of agriculture and food systems in national/regional policies and investments;
- Develop and implement an M&E System for the action.

More specifically the activities will be organized under two main components: Component 1 covering GFAR and TAP and Component 2 covering African CAADP ex-Pillar IV organizations (FARA, AFAAS, ASARECA, CCARDESA, and CORAF).

### ***Component 1: GFAR and TAP***

Support to GFAR will be structured along the following activity areas (with examples of activities):

- Farmers and communities empowered at the centre of innovation (e.g. empowering rural communities as drivers of agricultural research and innovation, catalyse action on rediscovering forgotten foods, and ensuring benefits to smallholder farmers; empowering smallholder farmers on practices and tools, notably in the context of the digital revolution in agriculture);
- Knowledge and innovation turned into opportunity and enterprise (e.g. actions that address challenges of smallholder farmers, with emphasis on women's economic empowerment and fostering youth as agripreneurs, into profitable new agribusiness in production, processing, and marketing; organisation of the Global Conference on Agriculture Research for development or GCARD)
- Institutional architecture and capacity strengthened among GFAR Partners and constituencies and between regions (e.g. invite and facilitate inter-regional dialogues; empower youth in their setting out their desired agri-food systems opportunities in agri-food related industries)
- Strengthened knowledge management, policy advocacy, communication and impact-demonstration (e.g. GFAR directory of partners activities on climate change and a learning database of stories).

Support to the TAP will be structured along the following activity areas (with examples of activities):

- Support to the TAP secretariat;
- Assessments of capacity needs of national agriculture innovation systems and capacity strengthening (e.g. organisation and coordination of global, regional and national marketplaces for agriculture innovation systems' needs and investments; TAPipedia as the reference platform on CD for AIS);
- Further integration of TAP tools into African CAADP ex-Pillar IV organisations' approaches on innovation, and in regions such as Asia, Latin America.
- Sharing of knowledge, experiences, and lessons learnt and good practices (e.g. promotion of TAP common framework; system thinking and soft skills development – including the ability to collect and analyse data from a gender and youth perspective)

### ***Component 2: African CAADP ex-Pillar IV organisations (FARA, AFAAS, ASARECA, CCARDESA and CORAF)***

The focus of the support to these organisations is to strengthen their capacities to support African countries to deliver on CAADP results through more systemic and effective linkages to and use of science, knowledge and innovation for a climate-relevant transformation of agriculture and food systems.

This will be structured along the following activity areas (with examples of activities):

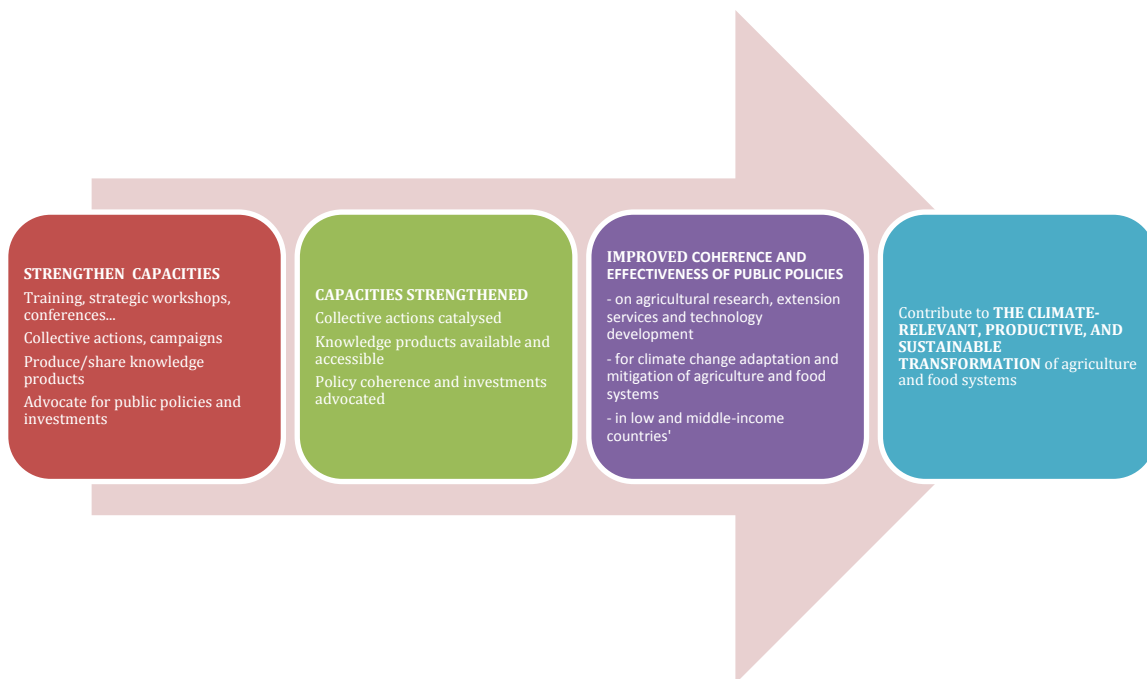
- Strengthen the capacities of the individual organisations (such as technical and organisational capacities in coordination, resource mobilisation, fiduciary processes) and capacities to work collectively; develop an implementation framework that supports strengthening of the continental, regional and national agriculture research and innovation delivery infrastructure for climate relevant science, technology and innovation through national, RECs and AU engagements; support countries to mainstream climate-relevant science and innovation in their national agriculture investments, with a strong gender and youth perspective;
- Facilitate and support of equitable multi-stakeholder partnerships for innovation, including uptake and scaling of technologies, innovations and management practices to achieve CAADP targets (such as country-based Climate Change thematic platforms; engagement of private sector and other non-state actors to increase industrialization & total factor productivity of agriculture in Africa; facilitate South-South and North-South research for development partnerships);
- Policy advocacy and harmonization, market linkages and strengthening regional institutional arrangements (such as development of capacities for application of foresight; establishment of sustainable funding mechanisms; supporting the strengthening of an enabling environment for regional trade, markets and transboundary commodity movement);
- Knowledge Management & Communication for decision support, innovation and advocacy (learning and sharing opportunities, centres of excellence and communities of practice for national research and extension systems and sub-regional organisations; set-up and strengthening of countries' capacities to translate, utilize & adopt/adapt STI knowledge/information/data; establish/maintain continental database of experts & European research and extension capacities to implement the proposed program).

### **4.3 Intervention logic**

The intervention logic of this Action is built around some key elements of the innovation system approach:

- The inter-linked reality of agriculture innovation systems at national and local level;
- The multiple entry points possible for innovations addressing climate change, whether from market demand, societal demand, technologies developed in Africa or elsewhere or from farmers own innovation;
- The importance of engaging communities in all processes, in particular through multi-stakeholder innovation platforms that combine advances from science with farmers own experience and innovation in dealing with climate change related issues;
- Innovations from agricultural science require transformation and access to be taken up by farmers and mobilize private sector actors in achieving scale out and adoption into use.

Capacity development is at the basis of the intervention logic of this action, which can be stylised in the following way:



Assumptions indicated in paragraph 2 and in the logical framework do apply be it at individual level (particularly continuity of responsibilities for people benefitting from training and involved in collective action) and at collective level (especially willingness of partners to share knowledge and build action together).

## **5 IMPLEMENTATION**

### **5.1 Financing agreement**

In order to implement this action, it is not foreseen to conclude a financing agreement with the partner country.

### **5.2 Indicative implementation period**

The indicative operational implementation period of this action, during which the activities described in section 4.1 will be carried out and the corresponding contracts and agreements implemented, is 72 months from the date of adoption by the Commission of this Financing Decision.

Extensions of the implementation period may be agreed by the Commission's authorising officer responsible by amending this decision and the relevant contracts and agreements.

### **5.3 Implementation modalities**

Both in indirect and direct management, the Commission will ensure that the EU appropriate rules and procedures for providing financing to third parties are respected, including review procedures, where appropriate, and compliance of the action with EU restrictive measures affecting the respective countries of operation<sup>5</sup>.

<sup>5</sup> [https://eeas.europa.eu/sites/eeas/files/restrictive\\_measures-2017-04-26-clean.pdf](https://eeas.europa.eu/sites/eeas/files/restrictive_measures-2017-04-26-clean.pdf)

#### **5.3.1.1 Indirect management with IFAD**

A part of this action with the objective of supporting African CAADP ex-Pillar IV organisation may be implemented in indirect management with the International Fund for Agricultural Development (IFAD).

This implementation entails that IFAD, as a co-funder of the action, would carry out the following budget-implementation tasks:

- Develop the details of the African CAADP ex-Pillar IV organisations' component of this Action will be elaborated jointly between IFAD and the Commission (and contributing EU Member States), in very close partnership with the targeted organisations.
- Assist the European Commission in the quality assurance of individual and collective actions from CAADP ex-Pillar IV organisations to be funded.
- Conclude grant agreements with these organisations for delivery of specific outputs and activities within the framework of a dialogue with them, the European Commission and involved EU Member States.
- Channel EU (and EU MS) resources to these organisations, accepting fiduciary liability for EU funds and thereby protecting the EU against financial risks.
- Review and approve the technical and financial reports submitted by these organisations benefiting from the contribution and preparing a consolidated report.
- Ensure that adequate monitoring arrangements for the programmes are in place and work towards joint monitoring.

This implementation is justified because IFAD has specific expertise in managing agricultural research, is involved in the management of EU contribution to CGIAR Trust Funds and has previous experiences in managing contracts with CAADP ex-Pillar IV organisations.

IFAD is currently undergoing an ex-ante assessment of its systems and procedures. Based on its compliance with the conditions in force at the time previously other indirect management actions were awarded to the organisation and based on a long-lasting problem-free cooperation, IFAD can also now implement this action under indirect management, pending the finalisation of the ex-ante assessment, and, where necessary, subject to appropriate supervisory measures in accordance with Article 154(5) of the Financial Regulation.]

The Commission authorises that the costs incurred by the entrusted entity may be recognised as eligible as of 1 October 2018 because a number of activities leading to the preparation of the overall component details and of specifications of the grant agreements with the different organisations, allowing sufficient fiduciary checks, will require time but should not delay the start of operations as early as possible in 2019 for reasons of continuity.

#### **5.3.1.2 Indirect management with FAO**

A part of this action with the objective of supporting GFAR and TAP may be implemented in indirect management with the Food and Agriculture Organization of the United Nations (FAO). This implementation is justified because GFAR has the legal status of a Trust Fund of FAO; and based on its global mandate for agriculture and food security and its role in capacity development in this context, FAO was tasked by G20 in 2012 to host TAP Secretariat.



This implementation entails that FAO, (as a co-funder of this component), will place EU funds in respective GFAR and TAP accounts, which will be managed in accordance with FAO standards and procedures.

The details of the GFAR and TAP component of this Action will be elaborated jointly between FAO and the Commission, in close partnership with the GFAR and TAP staff Secretariats.

FAO is currently undergoing an ex-ante assessment of its systems and procedures. Based on its compliance with the conditions in force at the time previously other indirect management actions were awarded to the organisation and based on a long-lasting problem-free cooperation, FAO can also now implement this action under indirect management, pending the finalisation of the ex-ante assessment, and, where necessary, subject to appropriate supervisory measures in accordance with Article 154(5) of the Financial Regulation.]

The Commission authorises that the costs incurred by the entrusted entity may be recognised as eligible as of 1 October 2018 because a number of activities leading to the preparation of detailed workplans and activities will require time but should not delay the start of operations as early as possible in 2019 for reasons of continuity.

#### **5.4 Scope of geographical eligibility for procurement and grants**

The geographical eligibility in terms of place of establishment for participating in procurement and grant award procedures and in terms of origin of supplies purchased as established in the basic act and set out in the relevant contractual documents shall apply.

#### **5.5 Indicative budget**

	<b>EU contribution (amount in EUR)</b>	<b>Indicative third party contribution, in currency identified</b>
5.4.1.1 Indirect management with IFAD (support to African CAADP Pillar IV organisations) – covering parts of results 1, 2 and 3(Component 2)	30,000,000	USD 10,000,000
5.4.1.2 — Indirect management with FAO, covering parts of Results 1,2 and 3 (Component 1) GFAR TAP	5,000,000 5,000,000	USD 2,500,000
5.8 – Evaluation, 5.10 - Audit	will be covered by another decision	N.A.
5.10 – Communication and visibility	N.A. (integrated in actions under each component)	N.A.
Totals	40,000,000	USD 12,500,000

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## 5.6 Organisational set-up and responsibilities

FAO will prepare distinct annual progress reports, both narrative and financial, for the support to TAP and GFAR. Progress will relate to progress achieved, results obtained (incl. indicators, milestones and targets in the respective logframes of the TAP and GFAR components) and to work plan for the subsequent reporting period. These reports will be submitted to the European Commission and presented respectively to existing TAP Steering Committee and to the GFAR Steering Committee to which the Commission participates and represents the donors at the latter.

IFAD will prepare annual progress reports, both narrative and financial, for the support to CAADP Pillar IV organisations. Progress will relate to progress achieved, results obtained (incl. indicators, milestones and targets in the respective logframes of each ex-Pillar IV organisations) and to work plan for the subsequent reporting period.

IFAD is expected to specific grant agreements with each Pillar IV organisation. Annual meetings will be organised to review the implementation of each of them, in presence of the Commission and/or interested EU Member States. These meetings could be organised back-to-back with the Board Meetings of each organisation.

Annual, or biennial, meetings -if possible to be organised back-to-back to other meetings- will gather the European Commission and interested EU MS<sup>6</sup>, FAO, IFAD, Secretariats of TAP and GFAR and FARA, and any other relevant entities for strategic reviews of the overall action.

## 5.7 Performance monitoring and reporting

The day-to-day technical and financial monitoring of the implementation of this action will be a continuous process and part of the implementing partner's responsibilities. To this aim, the implementing partners shall establish a permanent internal, technical and financial monitoring system for the action and elaborate regular progress reports (not less than annual) and final reports. Every report shall provide an accurate account of implementation of the action, difficulties encountered, changes introduced, as well as the degree of achievement of its results (outputs and direct outcomes) as measured by corresponding indicators, (including sex- and age-disaggregated data), using as reference the logframe matrix (for project modality).

The internal monitoring system for this Action will be part of the global monitoring system for DeSIRA, including country level actions together with measures intended to strengthen the global architecture of agricultural research for development. It will be developed for capturing information on outcomes of collective actions and their potential for transformative impact, developing criteria for assessing the critical success factors of multi-stakeholder platforms to deliver to SDGs; and capturing outputs and outcomes with a gender and age perspective.

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<sup>6</sup> in particular EU MS supporting technically and financially TAP, GFAR and CAADP Pillar IV organisations

The report shall be laid out in such a way as to allow monitoring of the means envisaged and employed and of the budget details for the action. The final report, narrative and financial, will cover the entire period of the action implementation.

The Commission may undertake additional project monitoring visits both through its own staff and through independent consultants recruited directly by the Commission for independent monitoring reviews (or recruited by the responsible agent contracted by the Commission for implementing such reviews).

## **5.8 Evaluation**

Having regard to the nature of the action, a mid-term and final evaluation(s) will be carried out for this action or its components via independent consultants contracted by the Commission.

The mid-term evaluation will be carried out for learning purposes, in particular with respect to the development and the implementation of a common framework for the whole action, and to the performance and collaboration of CAADP ex-pillar IV organisations, individually and collectively.

The final will be carried out for accountability and learning purposes at various levels (including for policy revision).

The Commission shall inform the implementing partner at least 3 months in advance of the dates foreseen for the evaluation missions. The implementing partner shall collaborate efficiently and effectively with the evaluation experts, and inter alia provide them with all necessary information and documentation, as well as access to the project premises and activities.

The evaluation reports shall be shared with the partner country and other key stakeholders. The implementing partner and the Commission shall analyse the conclusions and recommendations of the evaluations and, where appropriate, in agreement with the partner country, jointly decide on the follow-up actions to be taken and any adjustments necessary, including, if indicated, the reorientation of the project.

The financing of the evaluation shall be covered by another measure constituting a financing decision.

## **5.9 Audit**

Without prejudice to the obligations applicable to contracts concluded for the implementation of this action, the Commission may, on the basis of a risk assessment, contract independent audits or expenditure verification assignments for one or several contracts or agreements.

The financing of the audit shall be covered by another measure constituting a financing decision.

## **5.10 Communication and visibility**

Communication and visibility of the EU is a legal obligation for all external actions funded by the EU.

This action shall contain communication and visibility measures which shall be based on a specific Communication and Visibility Plan of the Action, to be elaborated at the start of implementation.

In terms of legal obligations on communication and visibility, the measures shall be implemented by the Commission, the partner country, contractors, grant beneficiaries and/or entrusted entities. Appropriate contractual obligations shall be included in, respectively, the financing agreement, procurement and grant contracts, and delegation agreements.

The Communication and Visibility Manual for European Union External Action shall be used to establish the Communication and Visibility Plan of the Action and the appropriate contractual obligations.

## APPENDIX - INDICATIVE LOGFRAME MATRIX (FOR PROJECT MODALITY) <sup>7</sup>

The activities, the expected outputs and all the indicators, targets and baselines included in the logframe matrix are indicative and may be updated during the implementation of the action, no amendment being required to the financing decision. When it is not possible to determine the outputs of an action at formulation stage, intermediary outcomes should be presented and the outputs defined during inception of the overall programme and its components. The indicative logframe matrix will evolve during the lifetime of the action: new lines will be added for including the activities as well as new columns for intermediary targets (milestones) for the output and outcome indicators whenever it is relevant for monitoring and reporting purposes. Note also that indicators should be disaggregated by sex whenever relevant.

	Results chain	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of verification	Assumptions
Overall objective: Impact	Contribute to the climate-relevant, productive, and sustainable transformation of agriculture and food systems in low and middle-income countries,	<p>1- Agricultural and pastoral ecosystems where climate relevant management practices have been introduced (number of hectares) (**)</p> <p>2- Degree of implementation of adaptation/mitigation measures related to FNS&amp;SA in partner countries National Determined Contributions (NDCs) to the Paris Agreement</p> <p>3- Investment increase in agricultural research and extension services, technology development and plant and livestock gene banks in order to enhance agricultural</p>	<p>1- To be estimated</p> <p>2- To be estimated for each intervention, globally or disaggregated by country</p> <p>3- To be estimated for each intervention, globally or disaggregated</p>	<p>1- To be determined in inception phase</p> <p>2- To be determined in inception phase considering the 2030 targets set in countries' NDCs</p> <p>3- To be determined in inception phase</p>	<p>1- Baseline and endline assessment reports</p> <p>2- Countries NDCs and latest available national reports</p> <p>3- CAADP available biennial and countries latest available national reports</p>	Relevant continental, regional and national policies favourable to agricultural transformation and growth will prevail

<sup>7</sup> Mark indicators aligned with the relevant programming document mark with '\*' and indicators aligned to the EU Results Framework with '\*\*'.

		<p>productive capacity in developing countries</p> <p>4- Public policies integrate research strategies relevant with climate change</p>	<p>by country</p> <p>4- To be analysed through ad-hoc studies for each intervention</p>	<p>4- To be determined in inception phase</p>	<p>4- Specific studies</p>	
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Specific objective(s): Outcome(s)	Improved coherence and effectiveness of public policies on agricultural research and extension services and technology development for climate change adaptation and mitigation of agriculture and food systems in low and middle-income countries'	<p>Number of small-scale farmers adopting sustainable and resilient agriculture practices thanks to this action, disaggregated by sex (*)</p> <p>Intensity ratio of government expenditure for agricultural research over agricultural GDP (ASTI indicator)</p>	<p>0</p> <p>To derive from ASTI database</p>	<p>To be determined during inception phase</p> <p>To be determined during inception phase</p>	<p>Project surveys of beneficiaries at mid-point and end of implementation</p> <p>ASTI reports, CAADP peer review reports</p>	<p>Conditions for transformation of agriculture and food systems in place: land tenure reform, enabling environment for private sector investments, adequate fiscal legislation, market infrastructure, ICTs, rural roads, rural credit, rural energy, to vocational training, rural advisory services, etc..</p>
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Outputs	Output1: AKIS organisations and individuals' capacities on climate-relevant transformation of agriculture and food systems strengthened	1.1 Number of organisations strengthened by the Action disaggregated by type and country	0	1.1 To be determined during inception phase	1.1 Annual project reports	Multi-stakeholder partners will be motivated to share and exchange information and knowledge
		1.2 Number of individuals trained by the Action , disaggregated by sex and age	0	1.2 To be determined during inception phase	1.2 Annual project reports / training participant database, disaggregated by sex and age	Smallholder agriculture is prioritised in partner countries policies for inclusive and sustainable growth and poverty eradication, and for climate change adaptation and mitigation action
	Output 2: Collective multi-stakeholder actions for climate-relevant innovation in agriculture and food systems catalysed.	2.1 Number of collective actions promoted/supported/facilitated with support of the action	0	2.1 To be determined during inception phase	2.1 Annual project reports	
	Output 3: Knowledge products on climate-relevant transformation of agriculture and food systems available and accessible.	3.1 Number of knowledge products elaborated/ disseminated/shared with support of the action	0	3.1 To be determined during inception phase	3.1 Annual project reports	
		3.2 Number of people informed about knowledge products elaborated/ disseminated/shared with support of the action		3.2 To be determined during inception phase		Beneficiaries who have been trained or informed about new techniques have an opportunity and resources to apply them in their organizations or households/farms
	Output 4: Policy coherence and investments for climate-relevant, inclusive, productive and sustainable innovation of agriculture and food	4.1 Number of people reached through advocacy actions implemented with support of the action	0	4.1 To be determined during inception phase	4.1 Annual project reports	
						Implementing



	systems advocated. Output 5: The international and regional institutional architecture <sup>8</sup> for governance of agricultural research and innovation for development is strengthened	5.1 Number of events and specific actions organized for/by international, regional, sub-regional and national organisations with the support of the action	0	5.1 To be determined during inception phase		partners will work together for effective collaboration.
		5.2 Number of international, regional, sub-regional and national organisations benefitting from activities with the support of the action	0	5.2 To be determined during inception phase		

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<sup>8</sup> International and regional institutional architecture includes organisations and platforms which are responsible for carrying out, managing, promoting, and advocating agricultural research for development