

FTA Prioritization Process

Setting FTA 2018 priorities and
preparing the 2018 POWB

1 November 2017



RESEARCH
PROGRAM ON
Forests, Trees and
Agroforestry

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CGIAR Research Program on Forests, Trees & Agroforestry (FTA)

FTA PRIORITIZATION PROCESS

1. Setting FTA 2018 priorities and preparing the 2018 POWB

Reply by 4 December 2017

Important notice

A priority-setting process is being introduced in FTA. The process has been crafted collectively by FTA Senior Management (FTA Director, FP leaders, MEL Leader) under the oversight of FTA ISC. It aims at promoting focus, alignment and coherence of the FTA POWB against a set of collectively identified priorities, resulting from the analysis of key knowledge gaps, major development demands, the comparative advantage of FTA and its partners, and given the goal of maximizing the effectiveness and impact of FTA's work. It also aims at streamlining and improving the overall transparency and inclusiveness of the POWB preparation, by providing a unified framework and a set of priority guidelines, which will help organize discussions on priorities and on the best use of W1+2 and bilateral resources. This is an advanced, experimental process, intended to be a learning exercise with the objective to improve it further for the next years, also taking into account the expected developments at CG System Level in 2018 (MARLO, RBM, system level indicators, etc...).

Process

For the purpose of this exercise, a **priority** is a coherent and focused set of works/activities (funded by bilateral projects or funded by W1+2) whose outputs aim at answering one or several key knowledge gap(s), and whose outcomes are directed to respond to a major development demand/challenge, building on the comparative advantage of FTA and its partners, and aiming at maximizing the effectiveness and impact of FTA.

1. As part of the overall planning process for the 2018 POWB of FTA, each FP and CCT (cross-cutting theme of the support platform) is requested to use the prioritization framework and guidelines (see corresponding separate note entitled "Prioritization framework and guidelines") to elaborate a draft list of priorities, as a basis for evaluating and coordinating the preparation of the POWB 2018.

2. Each FP/CCT leader is requested to propose and describe of up an *indicative* maximum of 6 (for FPs) or 3 (for CCTs) priorities. Each FP and CCT will list its priorities using the form in Annex 1, and each priority should be described in detail (using Annex 2), explaining how the intended work respond to the prioritization guidelines. Guidelines 1 to 4 will be treated as minimum requirements; all proposed work should satisfy these criteria. Guidelines 5, 6, 7 and 8 will be used to prioritize the use of W1+2 resources.

3. Proposed priorities are to be sent by 04 December 2017 to the CRP Director v.gitz@cgiar.org, copy m.kiczkajlo@cgiar.org and l.yamin@cgiar.org, using the MS Word forms (see Annex 1 and Annex 2). One separate Annex 2 form is to be used for each separate priority proposed.
4. Submitted forms will be shared by the MSU across the MT and CCT leaders to enhance the transparency and promote coordination and cross-feeds.
5. Based on the submitted material, the MT will review and decide on the ultimate list of priorities and related works at the level of FTA, applying the prioritization guidelines at program-level. A face-to-face MT meeting is organized in Bonn (16-17 December 2017) for that purpose. The MSU, with the support of MELIA, will prepare the meeting and discussions.
6. Decision at the MT level will include contingency planning considerations, as the FINPLAN will be divided into contingency tiers.
7. The priorities and activities retained will be inscribed in the 2018 POWB, serving as a basis for W1+2 resource allocation and for the “mapping” of new bilateral/W3 projects to FTA.

Nota bene:

- While FP Priorities Notes are submitted through FP leaders and CCT leaders, they should ensure that all teams, CoAs and partners in their FPs /CCTs are involved in the process.
- The priorities are not defined by the CRP structure, but by the identification process, and for instance will not necessarily replicate the CoAs structure within a FP: they can cut across CoAs
- Each priority will be “hosted” by a lead FP, but inter-flagship cooperation will be favored/prioritized, noting that integration is one of the key criteria for application of W1+2. Therefore, works might span across FPs and CCTs, and even CRPs, with the corresponding co-investments being duly specified (e.g. bilateral projects, time, expertise, other core resources etc.).
- The approach is integrated: bilateral/W3 and W1+2 funding are considered altogether in a priority, but with their specificities. The bilateral projects portfolio provides context for the maximal value adding application of W1+2 funds, and at the same time W1+2 funds are to drive the orientation of the bilateral portfolio. Specific additional guidelines/criteria (see below guidelines 5 to 8) apply for the use of W1+2 resources.
- The priorities proposals and related request for W1+2 funding should take into account that FTA aims at having W1+2 funding directed to a smaller set of more significant activities. A priority could represent for instance between a total of 100,000 and 300,000 USD of W1+2 asked.
- FP/CCT leaders are free to calibrate the overall W1+2 ask, the uplift budget of the FTA proposal can serve as a reference. Priorities that may not be retained in the 2018 POWB (given the final MT decisions under the constraints of the actual CGIAR FINPLAN for FTA in 2018), may be kept in reserve for purpose of collective fundraising.
- Works within a priority could be proposed for a multiple year implementation, but the CGIAR W1+2 funding decision will need to be renewed each year, with updated documentation.
- Any work not linked to a priority would, normally, not appear in the POWB.

- Contingency planning will try to address the uncertainty on W1+2 funding in 2018: the related mapping of W1+2 funded activities to contingency tiers will be decided subsequently, once the set of priorities and related activities have been decided.

This is not a competitive process, nor a call for otherwise unfunded “pet” projects. It is at the contrary a request to FP and CCT leaders to sort out, in inclusive ways and using the framework and guidelines provided (noting those especially related to the specificities of W1+2 resources) a set of priorities, and to articulate with them the list of relevant W1+2 and bilateral activities, elaborated with their FP partners. Some of these priorities could be transversal to FTA even if “housed in a FP”, and therefore we will invite FP leaders to also discuss with their peers such transversal priorities. Also, a priority could include possibly co-investments with other CRPs (see Fig. 1).

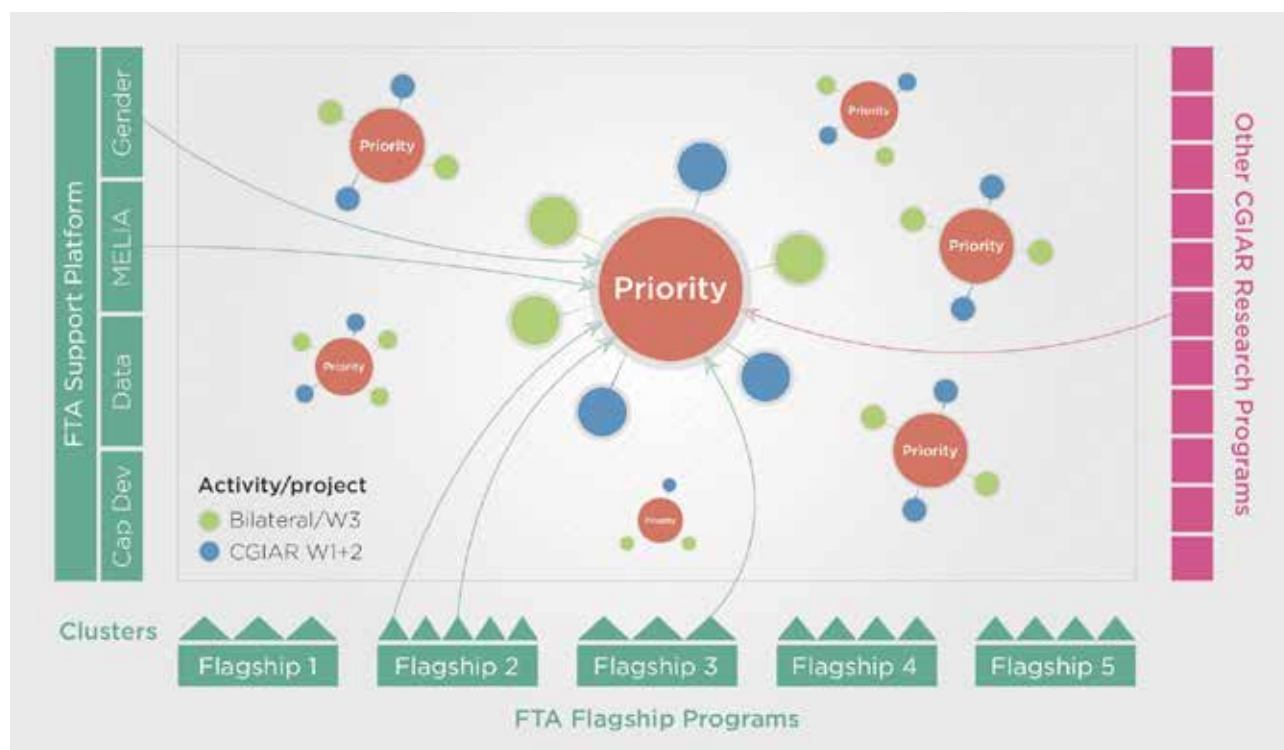
The aim of this process is to improve overall transparency, alignment and coherence of W1+2 funded activities vis-a-vis a set of FTA’s strategic priorities. The objective is to improve the quality of the documentation and sharing of information and promote internal discussions in order to foster cross-FPs cooperative approaches before the POWB is finalized. The process is also meant to further enhance quality of research leading to dialogue on how to best mobilize the cross-cutting themes in support of FTA FP research. The process will contribute to a shared understanding and alignment of FTA work with the specific role and purpose of CGIAR W1+2 funding (creation of IPGs, strategic value, program building) as well as promoting integration. Finally, this process should enable streamlined preparation of collegial decision making in FTA on the POWB.

Prioritization guidelines

1. **Relevance:** The proposed work clearly demonstrates the relevance of the work measured as to what extent it fits into the priority frame and the needs of the intended users.
2. **Scientific credibility:** The proposed work clearly explains the scientific rationale, research question(s) and methods, giving confidence that research findings will be novel, robust and scientifically trustworthy.
3. **Legitimacy:** The proposed work clearly explains how it will take account of and reflect stakeholders’ perspectives and values. Research is done in contact with beneficiaries and stakeholders are involved from the framing of questions to the design of research and solutions
4. **Potential Effectiveness:** The proposed work demonstrates that it is deliberately and convincingly positioned to contribute to significant outcomes, with high potential to contribute to development objectives and impact. W1+2 resources enable research to go as far as possible towards impact, considering all possible manners of doing so.
5. **Contribution to IPG:** The proposed work has high potential to develop methods and/or new knowledge that will have international public goods value.
6. **Strategic value:** The proposed work has high potential to add value at the FTA Program-level. Activities requesting for W1+2 funds, or projects requesting W1+2 co-funding, need to demonstrate how they strategically build-on and leverage bilateral funding to help realize the FTA ToC.

7. **Program growth:** The proposed work has high potential to contribute to the growth of FTA through developing and strengthening partnerships, generating additional development opportunities and attracting and leveraging new resources.
8. **Integration.** The proposed work (i) feeds or has potential to feed into other flagships and research areas and to bring coherence in methodological approaches, such as enabling the creation of extrapolation domains; and/or (ii) promotes continuity of action along the research to development continuum in FTA's impact pathways; and/or (iii) contains programmatic learning, extends projects' scientific and development relevance beyond their completion.

Figure 1. Schematic Representation of FTA priorities and relationships with the FTA structure



A set of priorities will be defined in FTA, according to the prioritization framework (illustrated by the shaded frame) and guidelines. Each priority will be proposed and housed in a FP (with contributions from one or several clusters of the FP, as indicated here for FP2 for illustrative purposes), but other FPs and/or cross-cutting themes of the Support Platform could (and ideally should) also contribute to it. Some priorities, such as in the one at the center of the Figure, could also be contributed to by other CRPs, through co-investments. Any bilateral/W3 project (represented in green in the Figure) and any CGIAR W1+2 funded activity (in blue) will be linked to a priority. This Figure is intended for illustrative purposes only: not all possible contributions to a priority have been displayed. The prioritization framework (shaded frame) and guidelines will ensure that priorities are articulated between themselves and related to the FTA Theory of Change (not displayed here).

Annex 1

FP / CCT Priorities for 2018

Flagship / Cross Cutting Theme <i>Provide FP/CCT title</i>

*Proposed 2018 FP Priorities (indicative maximum of 6 for FP, and of 3 for CCTs) <i>Provide the names of the FP/CCT Priorities for 2018</i>
1.
2.
3.
4.
5.
6.

Annex 2

Priority description template

Compile separately one template per priority indicated in Annex 1.

1. Title

Provide a title of the proposed Priority and corresponding No. as in Annex 1

Measuring progress of subnational jurisdictions towards low emissions rural development

2. Leading FP, positioning of work in FTA and in the CGIAR system

Line 1: Leading FP and CoA

FP5

Line 2: Other associated FPs and CoAs.

Line 3: Other CRP associated (Y/N), if yes indicate which one, and your contact point

3. Duration of the priority

*Line 1: Provide the number of years for which the priority would be implemented
(note: for W1+2 funded activities, the POWB inscription decision will be for 2018 only)*

2018

4. Geographic focus

Choose from West Africa, East Africa, South Asia, South-East Asia, Latin America, Other (specify), Global

Global

5. Target Countries

List the countries where research will take place (if relevant)

Brazil, Ecuador, Peru, Mexico, Cote d'Ivoire, Nigeria, and Indonesia

6. Priority short summary

Describe the basic idea of the proposed priority in a format suitable for general reader. (Max 20 lines)

The Governors' Climate and Forests (GCF) Task Force is a collaborative agreement between 38 states and provinces from Brazil, Colombia, Ecuador, Indonesia, Ivory Coast, Mexico, Nigeria, Peru, Spain and the United States. Together, they hold over one-third of the world's tropical forests and have committed to reducing deforestation in their jurisdictions ([Rio Branco Declaration of 2014](#)), while aligning with sustainable supply chain initiatives, promoting the rights of indigenous people, and pursuing finance for low emissions rural development ([Balikpapan Challenge of 2017](#)).

As part of CIFOR's MoU with the GCF Task Force, and new collaboration with Earth Innovation Institute (EII) and the Climate Community and Biodiversity Alliance (CCBA), we are assessing the progress of GCF Task Force member jurisdictions towards low emissions rural development. In 2017, we are compiling secondary data and interviewing key local stakeholders to create a jurisdictional profile for each member state or province. We are also implementing the [CCBA Sustainable Landscapes Rating Tool](#) in 13 of the member jurisdictions where a rating (A,B,C) is given to various indicators of jurisdictional sustainability. After data collection, we are holding workshops with local stakeholders to validate (and revise) the results.

In 2018, we would use FTA funds to implement the CCBA rating tool – and hold validation workshops – in the remaining tropical member jurisdictions (22). All information will contribute to the recently-launched [GCF Impact Platform](#), which allows jurisdictions to show progress towards low emissions rural development, promote transparency, and connect with investors and markets. This effort is a promising impact pathway for FTA, since our research will feed directly into an information platform that will be used to attract finance for sustainable landscapes.

7. List of bilateral projects contributing to the priority

Please list the bilateral projects contributing the the priority, adding additional rows as needed

	Project title	Secured (= signed) at 1 st January 2018 (Y/N)	Was this project already included in FTA portfolio as of 2017 (Y/N)
1	A global comparative study for achieving effective, efficient and equitable REDD+ results (Norad)	Y	Y
2	From climate research to action under multilevel governance: building knowledge and capacity at landscape scale (IKI)	Y	Y
3			
4			
5			

For each project listed above please compile the table providing the number of the project corresponding to the table. Please use one separate table by project, updating the table No. (8.1, 8.2, 8.3 etc)

8.1 Bilateral Project title
<i>Name, Institution and email of principal investigator of project</i>
A.Characteristic of Bilateral Funding
<i>Name of donor(s)</i>
<i>Name of partners</i>
<i>Overall envelope of project (USD) in 2018</i>
<i>Overall envelope of project mapped to FTA (in case the project is partly mapped outside FTA)</i>
<i>Mapping of bilateral resources to partners (list the 2018 project budgets going to different FTA partners)</i>
B. Key research outputs in 2018
<i>Describe research products/deliverables that the project will produce <u>in 2018</u>.</i>
1
2
3
4
5
6
7
8
9
10

9. W1+2 Ask				
A. Overall envelope requested for the priority				
Describe the total W1+2 ask for 2018 for this priority (in USD)				
B. Research activities and outputs in 2018 from requested W1+2 resources				
Describe research activities and products/deliverables that the requested W1+2 resources would produce in 2018				
	Activity	Output	W1+2	Bilateral
1.				
2.				

3.				
4.				
5.				
6.				
7.				
8.				

C. 2018 W1+2 Partition to FTA partners and contingency tiers

Describe 2018 W1+2 amounts that partners ask for each activity

Activity No.	CIFOR	ICRAF	Biovers.	CATIE	CIRAD	Tropen.	INBAR	Other (specify)	Tier (will be filled out later)
1									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
...									
TOTAL									

10. Priority Outcomes

To which outcomes will the set of projects and W1+2 resources contribute to, and when.

Specify what will the next-users do differently (e.g., policies, investments, services, practice) as a result of project outputs? (max 10 lines per outcome)

1
2
3
4
5
6
7
8
9
...

11. SUMMARY Budget Information for the Priority for 2018 and beyond (if relevant) (note: the POWB inscription/mapping decision will be for 2018 only)						
Budget	Partner	2018	2019	2020	2021	2022
Requested W1+2 funds	CIFOR					
	ICRAF					
	Bioversity					
	Cirad					
	CATIE					
	TBI					
	INBAR					
Total W1/2						
Bilateral funds (all bilateral projects)	CIFOR					
	ICRAF					
	Bioversity					
	Cirad					
	CATIE					
	TBI					
	INBAR					
Total funds						

12. Partnerships
FTA Strategic partners <i>List in bullets FTA strategic partners involved and describe the role of each partner (max 2 lines per partner)</i>
Other partnerships <i>List other partners involved for out-scaling and achieving outcomes, including their roles.</i>
Collaboration with other CRPs <i>Document any joint work with other CRP as relevant covered by/included in this activity</i>

13. GUIDELINE 1 - RELEVANCE		
13.1 Main research gap addressed		
<i>Which research gap category(ies) are addressed by the priority ? (list 1 to 11 from the categories in the background document)</i>		
<i>What are the key research questions? (10 lines max) Please refer to the background document and Annex B for list of detailed questions.</i>		
13.2 Development demand/priority addressed		
<i>Main categories of development demand / priority addressed? (list 1 to 7 from the categories in the background document)</i>		
<i>Main detailed specific recommendation(s)/goals(s) to which the research will make a contribution. (10 lines max). Please refer to the background document and Annex C for the detailed list.</i>		
13.3 Contribution to FTA ToC		
<i>Describe how the proposed priority set of activities contributes to FTA ToC (max 15 lines)</i>		
13.4 Contribution to FTA 2022 Outcomes		
<i>Describe the contribution of the proposed work to FTA 2022 outcomes</i>		
13.5 Contribution to CGIAR Sub-DOs and, to FOTA 2020 outcomes, and to FTA 2018 Milestones		
CGIAR Sub-DO <i>Describe the contribution of the work</i>	FTA 2022 Outcomes <i>Describe the contribution of the work to FTA 2022 outcomes</i>	Milestone (progress marker) <i>Describe the contribution of the work to any relevant 2018 milestone</i>
13.6 FTA's comparative advantage		
<i>Describe the comparative advantage of FTA undertaking the work: alignment to FTA's missions and roles, existence of internal competencies, available data, building on previous works etc. (max 7 lines)</i>		

14. GUIDELINE 2 - Scientific credibility:*Explain the scientific rationale, research question(s) and methods.***15. GUIDELINE 3 - Legitimacy:***Explain how the work will take account of and reflect different stakeholders' perspectives and values.***16. GUIDELINE 4 - Potential Effectiveness***Explain how the work is deliberately and convincingly set out to credibly contribute to significant outcomes, with high potential to contribute to impact. W1+2 resources enable research to go as far as possible towards impact, considering all possible manners of doing so.***17. GUIDELINE 5 - Contribution to IPG:***Describe how the proposed project will develop methods and/or new knowledge that will have international public goods value.***18. GUIDELINE 6 - Strategic value addition:***1. Describe how the proposed work will add value at the FTA Program-level**2. Explain the specific value addition brought by the W1+2 funds requested**3. Describe how, for categories 1, 2 and 3, W1+2 funds will be used to strategically build-on and leverage bilateral funding to help realize the FTA ToC.*

19. GUIDELINE 7 - Program Building:

Describe how the proposed work will contribute to increasing the robustness of FTA through developing and strengthening partnerships, generating additional development opportunities, attracting and leveraging new resources and any other relevant means.

20. GUIDELINE 8 - Integration:

Explain how the work contributes to vertical, horizontal and/or temporal Integration (see above).



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The CGIAR Research Program on Forests, Trees and Agroforestry (FTA) is the world's largest research for development program to enhance the role of forests, trees and agroforestry in sustainable development and food security and to address climate change. CIFOR leads FTA in partnership with Bioversity International, CATIE, CIRAD, ICRAF, INBAR and TBI.



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