# Independent Evaluation of IAASTD

Report to the Agriculture and Rural Development
Sector Board
The World Bank

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## *Program at a Glance*

**Table 1: Program at a Glance: International Assessment of Agricultural Knowledge, Science and Technology for Development (IAASTD)**

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| **Start date** | April 15, 2006 |
| **Broad Objectives** | a. Undertake global and sub-global assessments of the role of AKST as it pertains to agriculture in reducing hunger and poverty, improving rural livelihoods and health, increasing incomes and facilitating equitable, environmentally, socially and economically sustainable development.<br>b. Provide robust information for decision makers<br>c. Bring together the range of stakeholders to share views, gain common understanding and vision for the future. |
| **Specific Objectives** | a. Assess the effects of agricultural KST policy and institutional environments, as well as practices in the context of sustainable development |
| | b. Make the resulting state-of-the-art objective analysis accessible to decision makers at all levels |
| | c. Identify information gaps |
| | d. Further the capacity of developing country nationals and institutions to generate, access, and use agricultural KST that promotes sustainable development. |
| **WBG Contributions** | World Bank (DGF) (PO94195): USD $1.5 million |
| | GEF Project Preparation Facility (TF053915) of $ 350,000 plus GEF Grant (2006-2008) of $3.0 million |
| **Other Contributions (USD)** | A Multi Donor Trust Fund (TF 54513) totaling $3, 343 Million with contributions from Canada, UK, Ireland, Australia, Switzerland, EC, Private Sector (Crop Life), Sweden and USA., |
| **Location** | Distributed Secretariat based at World Bank, UNEP and UNESCO with coordination of sub-global assessments at host organizations: ACTS (Nairobi, Kenya); ICARDA (Aleppo, Syria); WorldFish (Penang, Malaysia) and IICA (San Jose, Costa Rica) |
| **Governance** | Intergovernmental process with a multi-stakeholder advisory Bureau composed of 30 government representatives and 30 representatives of stakeholder organizations (NGOs, producers' organizations, private sector, international organizations. |
| **Management** | Director, Prof. Robert Watson, Co-Chairs: Prof. Judi Wakhungu and Dr. Hans Herren The distributed Secretariat included a Coordinator, 2 Senior Technical Specialists, and support staff at the World Bank; 2 staff members at UNESCO; and 2 staff at UNEP; four Regional Coordinators and support staff at the subglobal host institutes. . |
| **Latest program level evaluation** | None carried out |

## *Glossary*

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| **AKST** | Agricultural Knowledge, Science and Technology is a term encompassing the ways and means used to practice the different types of agricultural activities and including both formal and informal knowledge and technology. (Global Report) |
| **Assessment** | The IAASTD assessment is a critical, objective evaluation and analysis of information, including traditional and local knowledge, designed to meet user needs and support decision making. It applies the judgment of experts to existing knowledge to provide evidence-based information pertinent to policy relevant questions, quantifying where possible the level of confidence. |
| **Assessment (2)** | An assessment is an evidence-based analysis undertaken for decision-makers from a specified authorizing environment. It is problem-driven and identifies gaps in knowledge for implementation of outcomes. It requires judgments that are clearly flagged and provides synthesis to reduce complexity. Its coverage is sufficient to deal with the main range of uncertainty associated with the identified issues. (Compiled from Global Report p. 4-5) |
| **Credibility** | Refers to whether an actor perceives information as meeting standards of scientific plausibility and technical adequacy. Sources are considered trustworthy, processes are considered "scientific" rather than interest driven, and individuals or organizations have a track record. (Cash, Clark, et. al. 1992) |
| **Donor** | Any organization or entity that makes a financial or in-kind contribution to a program that is reflected in the audited financial statements of the program. Therefore, this includes not only “official donors” but also developing countries that contribute annual membership dues, seconded staff, or office space, provided that these are formally recognized in the financial statements of the program. |
| **Efficacy** | The extent to which the program has achieved, or is expected to achieve, its objectives, taking into account their relative importance. The term is also used as a broader, aggregate measure — encompassing relevance and efficiency as well — of the overall outcome of a development intervention or an Assessment. |
| **Efficiency** | The extent to which the program has converted or is expected to convert its resources/inputs (such as funds, expertise, time, etc.) economically into results in order to achieve the maximum possible outputs, outcomes, and impacts with minimum possible inputs. |
| **Epistemic Community** | A network of professionals with recognized expertise and competence in a particular domain and an authoritative claim to policy-relevant knowledge within that domain or issue-area (Haas, 1992) |
| **Evaluation** | The systematic and objective assessment of an ongoing to completed policy, program, or project, its design, implementation, and results. The aim is to determine the relevance and achievement of its objectives, and its developmental effectiveness, efficiency, impact, and sustainability. |
| **Evidence-based assessment (1)** | The decision to consider all types of relevant AKST meant that IAASTD could not use “scientific peer review” as the gold standard for assessment. The principles and procedures provided for non-peer-reviewed references as evidence and acknowledged that there can be more than one interpretation of the same evidence based on different worldviews. (from Global Report) |

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| **Evidence-based assessment (2)** | Evidence-based assessment (EBA) emphasizes the use of research and theory to inform the selection of assessment targets, the methods and measures used in the assessment, and the assessment process itself. (Hunsley and Marsh 2007) [ |
| **Exit strategy** | A proactive strategy to change the design of a program, to devolve some of its implementation responsibilities, to reduce dependency on external funding, or to phase out the program on the grounds that it ha achieved its objectives or that its current design in no longer the best way to sustain the results which the program has achieved. |
| **Food security** | In IAASTD, food security is defined as a situation that exists when all people, at all times, have physical, social and economic access to sufficient safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life and is obtained in a socially acceptable and ecologically sustainable manner. (Global Report, p 10) |
| **Food sovereignty** | Food sovereignty is defined as the right of peoples and sovereign states to democratically determine their own agricultural and food policies. (Global Report, p. 10) |
| **Fund providers** | In the case of IAASTD, donors to the Multi-donor Trust Fund, GEF, World Bank DGF, and co-sponsors making contributions in kind .and others that provide financial resources for the development of the Assessment. |
| **Governance** | The structures, functions, processes, and organizational traditions that have been put in place within the context of a program's authorizing environment to ensure that the program is run in such a way that it achieves its objectives in an effective and transparent manner. It is the framework of accountability and responsibility to users, stakeholders and the wider community, within which organizations take decisions, and lead and control their functions, to achieve their objectives. |
| **Impacts** | Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. |
| **Independent Evaluation** | An evaluation that is carried out by entities and persons free from the control of those involved in policy making, management, or implementation of program activities. This entails organizational and behavioral independence, protection from interference, and avoidance of conflicts of interest. |
| **Indicator** | Indicator A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. |
| **International Public Goods** | The evaluation team goes beyond the classic definition of "public good" (see below) to look for three essential elements: 1) high benefit to society, 2) correct for various forms of market failure, and 3) the risk of state failure is less than the risk of market failure. In the case of IAASTD, IPGs can take many forms: goods, intermediate products, service in delivery of knowledge, capacity building, institutional innovations, and institutional architecture for research. |
| **Knowledge** | The way people understand the world, the way in which they interpret and apply meaning to their experiences. IAASTD recognizes and values all types of knowledge: 1) scientific, 2) explicit, 3) empirical, 4) local, and 5) traditional (ecological) knowledge. (Global Report, Glossary) |

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| **Legitimacy (1)** | As a criterion for assessing governance and management, the way in which governmental and managerial authority is exercised in relation to those with a legitimate interest in the program — including shareholders, other stakeholders, implementers, beneficiaries, and the community at large. |
| **Legitimacy (2)** | Refers to whether an actor perceives the process in a system as unbiased and meeting standards of political and procedural fairness. Policy and scientific participants attribute legitimacy in the degree to which they believe that the processes are respectful of their views and concerns and conform to their perceptions of procedural fairness. (Cash, Clark et al 1992). |
| **Management** | The day-to-day operation of the program within the context of the strategies, policies, processes, and procedures that have been established by the governing body. |
| **Monitoring** | The continuous assessment of progress achieved during program implementation in order to track compliance with a plan, to identify reasons for noncompliance, and to take necessary actions to improve performance. Monitoring is usually the responsibility of program management and operational staff. |
| **Multifunctionality** | In IAASTD, multifunctionality is used solely to express the inescapable interconnectedness of agriculture's different roles and functions. The concept of multifunctionality recognizes agriculture as a multi-output activity producing not only commodities (food, feed, fibers, agro fuels, medicinal products and ornamentals), but also non-commodity outputs such as environmental services, landscape amenities and cultural heritages. |
| **Networks** | In the context of IAASTD, networks are organizations that encompass a number of organizational partners with shared interests in some or all of the goals of IAASTD. They are represented by proxy usually through some principal stakeholder member of the Bureau (e.g. various civil society organizations (CSOs) and networks of CSOs linked through a separate website. Private companies individually represented on the Bureau were also members of an industry association that, while not represented on the Bureau, contributed to the Multi-Donor Trust Fund. The Alliance of Future Harvest Centers, a network of international agricultural research institutes supported by the CGIAR was represented on the Bureau. |
| **Outcomes** | The achieved or likely short-term and medium-term effects of the outputs of a development intervention. |
| **Oversight** | One of the core functions of the governing body of a program: the performance of the program management unit, appointing key personnel, approving annual budgets and business plans, and overseeing major capital expenditures. |
| **Partners** | Stakeholders who are involved in the governance or financing of the program (including the members of the governing, executive, and advisory bodies. |
| **Public goods** | Goods which produce benefits that are non-rival (many people can consume, use, or enjoy the good at the same time) and non-excludable (it is difficult to prevent people who do not pay for the good from consuming it). If the benefits of a particular public good accrue across all or many countries, then the good is deemed a global or international public good. |

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| **Relevance** | The extent to which the objectives and design of the program are consistent with (a) the current global/regional challenges and concerns in a particular development sector and (b) the needs and priorities of beneficiary countries and groups. |
| **Salience** | Refers to the relevance of information for an actor's decision choices or for the choices that affect a given stakeholder. Attributes include timeliness, relevance to the decision being made and applicability to the particular level or domain. (Cash, Clark et.al. 1992) |
| **Science, Technology and Innovation** | Includes all forms of useful knowledge derived from diverse branches of learning and practice. It also includes the policies used to promote scientific advances, technology development, and the commercialization of products, as well as the associated institutional innovations. Innovation includes all of the processes that bring a technology to market. (Global Report) |
| **Stakeholders** | The parties who are interested in or affected, either positively or negatively, by the program. Stakeholders are often referred to as "principal" and "other", or "direct" and "indirect". While other or indirect stakeholders — such as taxpayers in both donor and beneficiary countries, visitors to a beneficiary country, and other indirect beneficiaries — may have interests as well, these are not ordinarily considered in evaluations unless a principal stakeholder acts as their proxy. |
| **Sustainability** | When the term is applied to the activities of a program, the extent to which the benefits arising from these activities are likely to continue after the activities have been completed. When the term is applied to organizations or programs themselves, the extent to which the organization or program is likely to continue its operational activities over time. |
| Traditional Knowledge | Traditional knowledge, indigenous knowledge and local knowledge are often used interchangeably to refer to the matured and long-standing traditions and practices of regional, indigenous or local communities, which encompass their wisdom, knowledge and teachings accumulated through generations of experience, careful observation and trial-and-error experiment….While traditional knowledge is entrenched in these communities, it is also considered dynamic because it adapts to and incorporates new knowledge from outside sources to suit gradually changing environments. (ESAP Sub Global Report) |

Source: Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards. Independent Evaluation Group, World Bank 2007 (where not otherwise indicated)

## Executive Summary

1. The IAASTD grew out of a convergence of a number of ideas and activities that started to come together at the WSSD in Johannesburg: the reform of international agricultural research, the demands for a clear policy by the World Bank on biotechnology, in particular, transgenics, and special concerns with the case of Sub-Saharan Africa. There was a willingness on the part of both the private sector and civil society organizations to consider a process by which they could come to some understanding around several contentious issues. The recent successes of the Intergovernmental Panel on Climate Change (IPCC) and the Millennium Ecosystem Assessment (MEA) provided support to the proposal that an "assessment" of agricultural knowledge, science and technology would be a good way to bring a wide body of stakeholders together around complex issues.

2. A worldwide consultative process overseen by a high-level steering committee, recommended the creation of the International Assessment of Agricultural Knowledge, Science and Technology endorsed by a multistakeholder plenary in Nairobi, August 30-September 3, 2004. IAASTD was established with a combination of attributes that gave rise to a claim of uniqueness: an intergovernmental process with a multistakeholder "Bureau with principles and procedures that were a "hybrid" of the IPCC and MEA. It would be a multi-sponsor, multi-level, multi-disciplinary, and multi-themed "evidence-based assessment" of "all types of relevant agricultural knowledge, science and technology (AKST) as well as "the role of institutions, organizations, governance, markets and trade".

3. This evaluation focuses on process issues but it is useful to mention IAASTD's contributions as a "very significant step in the crucial work of identifying and addressing the structural roots of the global food crisis, as well as in paving the way to design more sustainable food systems for the 21st century". One significant, but understated, achievement of the IAASTD is its contribution to sparking a debate that has been postponed for too many years: the issue of the diversity of agricultural development paradigms".[1]

4. The IAASTD was a unique ground-breaking assessment in terms of governance (a hybrid between the more classical intergovernmental and non-governmental processes of the Intergovernmental Panel on Climate Change (IPCC) and Millennium Ecosystem Assessment (MA) respectively. It provided a forum in which people from different epistemic communities and different disciplines collaborated over several years. This evaluation is an early attempt to identify some of the many lessons for process and governance that the experience will generate.

5. The evaluation found that IAASTD was similar to other assessments in the sense that design elements coming from the consultative process had implications for later

[1] Oliver de Schutter, UN Special Rapporteur on the Right to Food. CSD preparatory meeting, Feb, 2009.

processes and outcomes. These were related to scope, scale, and focus, as well as governance and management. Moreover, with turnover of authors at various stages of the process, it was a continuous effort to keep agreement on key concepts, definitions and practices and focus on a story line within chapters, across chapters and among regional and global reports.

6. Given the scope and scale of IAASTD, it was necessary to develop an evaluation methodology that could answer the questions in the TOR in a way that reflected the ambition of IAASTD itself. To do this, the team took the following steps:
    a. Consultation with a range of stakeholders (CGIAR, GFAR, NARS leaders, donors, NGOs, Science Council, and individual resources) during the AGM of the CGIAR in Maputo (December 2008)
    b. A review of lessons and good practices from other assessments and multistakeholder processes that could serve as templates for reviewing the IAASTD experience.
    c. Designed an on-line Survey of IAASTD authors, reviewers, Bureau members and participants in the Johannesburg plenary based on email addresses provided by the Secretariat. Some questions were stimulated by the interviews in Maputo. The Survey was inclusive and provided structured data, open-ended answers with volunteered information and an entrée to follow up.
    d. A review of the evolution of IAASTD from proposal through the consultative period to the approval of final procedures in the Bureau meeting in Montpellier. Decisions taken during this period affected the focus and implementation of IAASTD.
    e. Regional evaluators were encouraged to look at the Sub Global processes and eventually the outcomes in relation to the Global messages of IAASTD. In ESAP the evaluator used a concept model to compare the Global and ESAP messages. In addition to email and telephone follow up of respondents to the Survey, regional evaluators made targeted interviews with key informants and people referred by them. In SSA a short SMS survey of extent of awareness of IAASTD by respondents complemented the other data.

7. The evaluation looks at IAASTD as a component of a knowledge system designed around the goals of IAASTD and answers the sixteen evaluation questions relating to its efficiency, effectiveness and relevance as a system defined around three broad objectives and four specific objectives. (See Program at a Glance).

8. With respect to the “broad objectives”, IAASTD successfully completed the Global and five Sub Global Assessments of the role of AKST as it pertains to the multiple goals of a social, economic and environmental nature. It brought together a range of stakeholders, many of them not normally in debates over agricultural KST, and they shared views and their evidence. Given the process of selection and attrition of authors, it was inevitable that “consensus” would be difficult. An “assessment” prefers a clear statement of areas of disagreement to weak “consensus” by dilution and deletion. Divergent stakeholders gained better understanding of each others’ views, had a shared commitment to the IAASTD goals but retained different

interpretations of both the causes of problems and future pathways to achievement of those goals.

9. With respect to the "specific objectives", they assessed the effects of agricultural KST and institutional environments following a formal process of review and revision using evidence that was acceptable under the principles and procedures. Summaries for Decision Makers at each level, designed to "reduce complexity", were negotiated in Plenary in Johannesburg (April 2008) and adopted by 57 governments with three large agricultural countries expressing reservations. Both the strong supporters and the critics of the Summaries will argue that they hide the treasures or the errors of the full reports.

10. There remain some gaps in the assessment. The loss of a full analysis of scenarios, which would have brought the institutional drivers and the technical drivers together, made it difficult to assess the probability of alternative scenarios and the feasibility of working towards them. The final specific objective was to further the capacity of developing country nationals and institutions to generate, access and use agricultural KST.

11. An attempt to develop an assessment of the capacity needs to implement the changes in the way business was done was eventually abandoned with information was eventually integrated into other chapters with consequential reduction in treatment of this important subject.

12. In addition to an assessment of the capacity needs to change the way business is done, one end-of-project status of IAASTD was "capacity built to assess agricultural KST at national and regional levels, with decision makers intimately involved with assessment processes." Participants in the Subglobal reports gained valuable experience (Annexes 11 and 12) but it is too soon to see countries or regional organizations adopting the "assessment" model rather than other types of review that are continuously being proposed.

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13. Through evidence from the Online Survey, follow up exchanges, and interviews with key informants the team recognizes the efficiency and effectiveness of the Secretariat in achieving most of the formal outcomes of the Program. Through interviews it also ascertained that the regional implementing organizations (the hosts of the sub-global coordinators) performed well.

14. IAASTD has been viewed as a unique "social experiment", particularly with respect to its hybrid intergovernmental process with a multi-stakeholder Bureau as well as for is scope and scale: the multiple objectives that AKST is seen to address and its integration across themes, disciplines, scales of analysis and levels of decision making.

15. The evaluation team believes that the IAASTD experiment should have anticipated the potential for conflict where different world views were in discussion and put in

place conflict resolution mechanisms and codes of conduct that would have prevented minor disputes from growing into major distractions Given the general support for multistakeholder processes, the role of the Bureau can be studied for lessons for future actions (see: "Governance and Management" and Annex 1: An accountability framework).

16. The evaluation team used the on-line Survey to analyze how the participants themselves valued the outputs of the Assessment for different purposes. As the producers, first users and potential champions of the Assessment, their views may be considered well informed (with an expected bias to the positive).

17. The 22 key findings of IAASTD (Global Summary for Decision Makers) plus the Executive Summary of the Synthesis report and the Executive Summaries of the 5 Sub-Global reports were painstakingly negotiated in a formal plenary in Johannesburg in April 2008. While noting the critical importance of AKST, Australia, Canada and the United States commended IAASTD for an important contribution but did not approve the SDM noting disagreement with a number of assertions, options, and observations that required a more "balanced" treatment. The endorsement by 57 governments is an important part of IAASTD's "brand" image.

18. Reservations by particular governments with respect to individual findings were also noted. Several countries underlined that signing the document would not have any implication for their governments' position in international negotiating fora. A bloc of African countries noted that the report did not deal sufficiently with capacity building needs to meet existing and emerging challenges and to develop and apply new AKST.

19. Through interviews with donors, co-sponsors, research organizations and other partners and users of the outputs, the evaluation team learned that commitment will be demonstrated by actions taken to use the results. Since the outreach campaign will end before the documents in electronic format become widely accessible, the IAASTD "brand" will be used to promote selected parts of the IAASTD message of particular interest to the given champion.

20. The evaluation team found little demand for a strong "institutionalization" of IAASTD. The reasons were different and in some cases contradictory. The now published and soon to be available electronic versions of the Reports are a public good and a resource to which many different actors will add their value. However, useful this might be, we argue that some effort is still required to clarify the message and the IAASTD brand and ensure their use. Suggestions are made for a positive way forward.

21. The team identifies among IAASTD participants and other interviewees two potentially compatible but not necessarily converging pathways. An advocacy pathway takes the main message of enhanced attention to agroecology in general plus the individual messages that various champions promote with donors (such as food sovereignty and multifunctionality). The second approach is more research-oriented:

it says that IAASTD needs to fill gaps in coverage such as capacity building, clarify the IAASTD message on contentious issues such as transgenics; quantify the salience of different options and assess the feasibility of implementing them. Only then can benchmarks be set against which progress can be measured and signing the Johannesburg documents becomes a commitment to action.

22. The evaluation team congratulates the Director, Co-Chairs, Bureau, Secretariat, and all the authors and review editors who contributed their time and efforts to bring the Assessment to a successful outcome.

23. The independent evaluation team has included outcome ratings of the IAASTD in compliance with the GEF Terminal Guidelines. Annex 13 provides the detailed ratings and background comments.

## *Overview:*

### Setting the Scene

#### Origin and Purpose

In 2001, the private sector approached the World Bank to undertake a study /process that would result in a clear statement by the Bank with respect to controversial technologies, particularly transgenics. At about the same time, members of the ARD sector board were also pointing to the need for a Bank policy on genetically modified organisms (GMOs).

In 2002, civil society organizations met and though skeptical about participating in a World Bank sponsored endeavor, decided that participation by CSOs was the best way to potentially broaden the scope of the endeavor to the wider universe of agricultural KST and thus prevent a process that might otherwise be dominated by biotech companies and produce an uncritical endorsement of GMOS. Assurances of a balanced process from the World Bank Vice President were reinforced by their confidence in Prof. Watson as likely Director if the Assessment were agreed.

Coming at a time when there were pressures for reform of the CGIAR, the World Bank was open to a broader look at the role of Agricultural Science and Technology. The proposal coming from Prof. Watson to carry out an "assessment" taking a format and lessons from the Intergovernmental Panel on Climate Change, the Global Environmental Outlook and the Millennium Ecosystem Assessment. The model of an "assessment" was proposed because of its usefulness in dealing with contentious issues. From the earliest discussions, the IAASTD proposal argued the need for both scientific credibility, political buy-in by governments and legitimacy both regionally and among civil society.

#### Consultative Process and Design

During 2003, ten consultations were held under the auspices of an international multi-stakeholder Steering Committee to determine whether an international assessment of agricultural knowledge, science and technology was needed, how it would be governed, and how it would be implemented.

The following is an agreed description of the IAASTD assessment:

> The IAASTD assessment is a critical, objective evaluation and analysis of information, including traditional and local knowledge, designed to meet user needs and support decision making. It applies the judgment of experts to existing knowledge to provide evidence-based information pertinent to policy relevant questions, quantifying where possible the level of confidence.

It was constantly necessary to remind authors of the difference between an assessment and a review[2]and to stress that it was policy relevant but not policy prescriptive. As the consultative process continued, there emerged a strong support for continuation of a multistakeholder, multi-disciplinary, multi-level assessment of knowledge of all types and the means by which it was applied.

Drawing on the experience of the Intergovernmental Panel on Climate Change (IPCC) and the Millennium Ecosystem Assessment (MA) the proposal was for a "hybrid model" of governance that brought the advantage of an intergovernmental process with a multi-stakeholder advisory Bureau.

Given the scope of issues covered by "agricultural knowledge, science and technology", and particularly the need to deal with traditional and local knowledge, it was necessary to develop criteria for the acceptance of evidence that was not peer-reviewed, the criterion that had been applied to "scientific assessment" in the IPCC

#### Endorsement: Nairobi, September 2004

The IAASTD was endorse at the IAASTD Intergovernmental Plenary , held in Nairobi from 30 August to 3 September 2004 where agreement was reach on objectives, goals, scope, key questions, design, preparation and peer review processes, outputs, timetable, budget, and governance structure[3].

The project claimed several unique attributes related to its governance structure, focus on user needs through an inclusive and consultative process multiple dimensions (theme, level, temporal, spatial), integration of formal and informal knowledge, and assessment of policies and institutional arrangements, as well as KST.

## Conceptual Framework for Evaluation

#### A Systems framework for presenting findings of the evaluation

This presentation tries to understand and present IAASTD by treating it as an AKST project and analyze it using some systems thinking. Every system is defined by its objective and then by its environment, components, resources and means of coordination. Annex 3 provides an interpretation of IAASTD's evolution through a consultative process to establish its objective, scope, governance, rules of procedure and means of coordination. The environment for IAASTD has evolved during this same period which

[2] Global Report p 4-6.
[3] IAASTD Project Document, Annex 13, March 2006.

affects the demand for its outputs. While the evaluation focuses on process, this cannot be divorced from a consideration of the substance in the reports and we follow a roadmap similar to that used by IAASTD itself.

- 'Setting the scene' describes the origin and set up of the Assessment
- 'Conceptual framework' links evaluation concerns to the scope of IAASTD
- 'Analysis of IAASTD as a system' looks at the objectives that define the environment, the components, the resources and the means of coordination of the parts of the system.
- Evaluation of Processes and Outputs: efficiency, effectiveness, relevance responds to the specific TOR for the evaluation
- Looking to the future: looks at the sustainability of the IAASTD achievements and use of the public goods created.

The evaluation was asked to respond to 16 specific questions in its terms of reference. Those responses will be found not in the order in which they were asked by in this conceptual framework.

### Methodological considerations for the evaluation

The scope of IAASTD was enlarged during the consultative phase by the addition of "Knowledge" ("K") to the original "Science and Technology" ("S&T"). 'Members generally shared the view that looking solely to the usual academic experts for answers would limit the utility of the assessment. Members noted that the inclusion of bearers of traditional knowledge – i.e. non-formal scientific knowledge based on an understanding of one's environment built over generations and based on observations and experience— would provide an important source of information and understanding for the proposed assessment. Some participants voiced concern over the practical problems of using traditional knowledge (e.g., it is mostly non-peer reviewed), but most felt that the positive benefits provided by traditional knowledge outweighed the difficulties that might be encountered in accessing it. In this regard, it is useful to recollect the contribution of a participant in the Addis Ababa workshop: traditional knowledge helps communities realize and apply their own expertise. (IAASTD Steering Committee Minutes, Cork, Ireland June 25, 2003)

The objectives formalized in the Nairobi Plenary brought it a knowledge system framework and the commitment to look at all types of knowledge. Annex 1 discusses the way that the Evaluation Team adapted the evaluation methodology to the complexity of IAASTD while dealing with the TOR questions. In particular, it borrowed the concepts of "salience", "credibility" and "legitimacy from the Global Environmental Assessment Project; looked for application of lessons from UNEP and UNSCD on multistakeholder processes. It recognized the need to deal with different perspectives on how science interacts with policy and the role of science in society. It explored the history of IAASTD to understand its evolution, taking account of the different epistemic communities and their objectives

### Inclusiveness of the Evaluation and use of On-Line Survey and SMS Survey

On-Line Survey. Following interviews with a wide range of participants and stakeholders (researchers and academics, government representatives, GFAR members, and CSO participants in IAASTD)[4] we took the decision to do a comprehensive on-line survey of writers, authors, review editors, Bureau members and participants in the final Johannesburg plenary. Email addresses were provided by the Secretariat. The Coordinator of the Evaluation sent out email-letters to all people on the lists provided explaining the evaluation and inviting recipients to contribute to the evaluation through an on-line Survey that took approximately 10-15 minutes to complete.

The Survey had three purposes: 1) inclusiveness and an invitation to follow up discussion; 2) generation of structured information about processes and outputs, and 3) solicitation of open-ended comments and an invitation for follow up. The response was very good with 230 usable responses with 156 giving names and contact details for follow up. Of these, 106 were contacted by email to follow up on interesting suggestions; 60 provided additional information in response to these questions. In addition, forty-six people were interviewed by telephone and 27 in face-to-face interviews.

SMS Survey in SSA. The evaluator for the Sub-Saharan Africa Region was innovative: recognizing that email and connectivity for on-line surveys can be unreliable, but that mobile phones are ubiquitous, he developed a random phone survey using short message service (SMS). Using telephone contacts from a long-term database of conference participants in agriculture, a total of 350 practitioners in agriculture were asked to indicate willingness to participate in a survey. A total of 130 agreed to respond to short message texts with questions seeking simple NO or YES answers. They were all officials based in research institutions or government departments responsible for crop and livestock production in 16 countries. The survey was "random" in the sense that he did not have any prior information as to whether these people had been involved in IAASTD or were aware of it. A subset of respondents (58) who were aware of IAASTD, the World Development Report (WDR) and the IPCC compared the three reports for their relevance to and potential for influencing the African agricultural agenda. As with the on-line Survey, this was also a useful way of initiating follow up contact.

### Organization of the Evaluation

The Evaluation was carried out at the Global and Sub-Global levels with an attempt to draw out the common findings and the region-specific findings. The Coordinator was responsible for the Global and NAE reports while experienced researchers and research managers contributed as evaluators at for the Sub Global reports: CWANA, ESAP, LAC and SSA. Key findings from the sub-global reports are included in the Main Report.

## Findings

[4] The interviews took place during the CGIAR Annual General Meetings in Maputo (December 2008).

1. The case for an "assessment" of agricultural (knowledge), science and technology that would build on and complement other major reviews was accepted by a wide range of scientific, stakeholder groups and financing organizations with different stakes in addressing the goals of reducing hunger and poverty while practicing equitable, socially, environmentally and economically sustainable agriculture.
2. During the consultation phase, the "knowledge", which was associated with intellectual property in the private sector group became "all types of knowledge" including traditional knowledge. The meeting in Cork, Ireland where this took place was seen as an important win by social scientists oriented to knowledge systems.
3. The Director brought experience with global science policy and the use of evidence-based assessments. The design of the IAASTD was a "hybrid" model between the Millennium Ecosystem Assessment and the Intergovernmental Panel on Climate Change. The Principles and Procedures were derived from those experiences.
4. The "uniqueness" of IAASTD was its character as a multi-theme, multi-level, multi-stakeholder initiative. This complexity called for new arrangements: among them an intergovernmental process (for political buy-in) and a multi-stakeholder (advisory) Bureau with 30 government and 30 representatives of Civil Society (NGOs, consumers groups, private sector, inter-governmental and international institutions). This was part of what was later called a "social experiment".
5. The Director was no stranger to conflict in the IPCC where mechanisms for managing conflict had been developed. In IAASTD his approach was consciously "hands off" so that groups could work out their difficulties. This approach generally worked well and a large number of interviewees spontaneously mention that learning to work across disciplinary and sectoral boundaries was one of the benefits of participation. However, the mechanisms that worked in IPCC were (peer review, side meetings, and the relationship of a scientific core to a policy dominated governance structure) did not work in a few key contentious areas of IAASTD. For future assessments conflict resolution mechanisms need to designed

## *Analysis of IAASTD as a System*

Our analysis will answer the specific TORs referring to the following general observation of IAASTD as a "system". Systems are defined first and foremost by their objectives and then by their components, resources, environments and means of coordination.

- Goals and Objectives: The overall development and sustainability goals to which IAASTD relates are long term and contributions from IAASTD cannot be verified at this time. Though in two of the recent high-level UN meetings on food price volatility, IAASTD findings have been highlighted as part of way forward.
- Project Objectives (Purposes). The IAASTD project objectives were 1) Assess and use information and knowledge, and 2) Capacity building. The specific TORs relating to production and use of public goods are covered in this discussion as efficiency and effectiveness considerations as well as the discussion of outreach and communication.
- Components of the System include: 1) the multistakeholder Advisory Bureau, 2) the Secretariat with sub-global coordinators hosted in established organizations,

3) co-sponsoring agencies, 4) contributors to a multi-donor trust fund, including the private sector, 5) representatives of civil society organizations, the academy, the CGIAR, private sector entities, producer and consumer groups, and research organizations) and 6) many hundreds of authors, reviewers and review editors.

- Means of coordination: The Assessment operated under a set of policies and procedures imported from IPCC that were designed to ensure transparent and unbiased review and credible information. The role of the Director as a central figure was signaled by many interviewees and events explained by his presence or his absence and his dominance or his hands-off policy. The Secretariat managed the processes with energy and formal precision. Financial accountability and operational relations with the cooperating organizations at the sub-global level was ensured through a technical specialist with funds supplied by a donor.
- Resources at $11.3 m were complemented by $5-6 million in time and expenditures volunteered by authors, reviewers and review editors. Concern with costs led the Bureau to adopt policies relative to honoraria and reimbursement of travel costs to OECD country participants and may have affected the pool of authors.
- The Environment for IAASTD included trends in global agricultural and environmental research and development, changes in global research, and economic instability. Given the change in the global environment since the completion of IAASTD, one urgent follow-on activity would be a report on the relevance of IAASTD's findings to the current situation.

The independent evaluation was asked to focus primarily on process issues largely because it is too soon to judge the impact of the outputs. Nevertheless, the terms of reference (specifically TOR 1-?) call for an evaluation of "efficiency and effectiveness". The team has tried to use organized information from its Survey and interviews to aid in its evaluation.

## *Efficiency and Effectiveness*

*The questions asked by TOR 2 were: i) To what extent is IAASTD providing Global and Regional Public Goods; ii) supporting international advocacy to improve policies at the national level; iii) producing and delivering cross-country, relevant lessons to client countries; and iv) mobilizing substantial incremental resources?*

#### Effectiveness 1: Generation and increased access to International Public goods (TOR 2, TOR 7)

Knowledge, if accessible, can be the quintessential public good. IAASTD produced all the documents called for in the project document. However, knowledge may not spread to weak organizational environments without special effort. The project called for the development of an outreach and capacity building strategy. This strategy, a responsibility of the Bureau and the Secretariat, was not developed. It is only implicit in the current dissemination and outreach activities. Capacity building has not been documented or described, although below we summarize what IAASTD participants describe as their personal gains from participation.

The AKST systems framework is a public good applicable across many levels of analysis. Capacity building allowing participants to apply the "Assessment" methodology was one of the expected outputs; however, in spite of the expression by participants that follow by the regions was needed there is little outreach organized either nationally or regionally. (Refers also to TOR 3)

IAASTD invested political capital in getting acceptance of its definition of "multifunctionality."[5] However, multifunctionality will only be sustainable in a non-subsidized environment when there are markets for ecosystem services. The North American/Europe report Global Reports give some examples of payments to encourage farmers to transition towards integration of environmental goods into farming practice and payment for conservation. Since "multifunctionality", in its IAASTD definition, is a key message, then one follow-on theme would be to stimulate research on ways of making the concept operational and benchmarking impact.

Service in support of the transfer of IAASTD knowledge could be considered a public good under current definitions of IPGs. This does not imply that an Assessment has a comparative advantage in taking on this function.

IAASTD experiences with multistakeholder partnerships, processes for managing assessments, and engaging policy makers are a potentially strong public good. The International Platform on Biodiversity and Ecosystem Services has been studying the IAASTD experience and following some of its procedures.[6] GFAR is using the concept of multistakeholder partnership in its forum function for relations with the CGIAR. CSOs at the Global Partnership on Agriculture and Food Security (GPAFS) meeting called for a multistakeholder advisory committee in the IAASTD mould.

#### Effectiveness 2: Coherence with other reviews or partner activities (TOR 4, TOR 7)

*The specific question of TOR 7 is "To what extent has IAASTD achieved its stated objectives and is adding value to i) what other partners are doing in the sector, and ii) what developing countries are doing in the sector in accordance with their own priorities?*

We deal with the second question first. We return to the first question below. IAASTD is demonstrably different from other frequently mentioned comparators (The InterAcademy Council Report on sub Saharan Africa, World Development Report 2008.)[7]. It is "complementary" to those reports to the degree it is an "assessment" with policy relevant but not policy prescriptive information. It is also very different from the U.S. National Academies of Science study on emerging technologies to benefit farmers in SSA and South Asia.

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[5] Specific attention to "multifunctionality" was written into the Assessment at the time of the Nairobi Plenary. Many reviewers warned that the term would inevitably provoke reactions because of its connotations in trade negotiations. The Bureau debated it repeatedly but resolved to keep it.

[6] IPBES (http://ipbes.net) has reviewed a number of assessments and is currently running an e-review of its gap analysis on strengthening the science-policy interface).

[7] A more complete discussion of this comparison is found in Annex.4."The Complementarity of IAASTD and Other Major Initiatives"

There does not seem to have been much involvement of the agricultural sub-regional organizations as authors or stakeholders of IAASTD in SSA and LAC. This was a surprise to the team. The hosts of the sub global cooperating institutions, all with relevant expertise, were largely kept in a logistic role.

#### Effectiveness 3: Coherence of Global and Sub-Global Reports (TOR 5)

***The specific question of TOR was: Did the global and sub-global assessments contain appropriate information on historical lessons; plausible scenarios on agricultural consumption and production and implications for environmental conditions; agricultural KST policy and institutional arrangements in relation to environmentally sustainable agriculture.***

During the consultative phase that led to the creation of IAASTD, partners in the regions argued firmly that the Global Report should be built up from the Sub Global reports. Both levels began from the same conceptual framework but operated in parallel with little time for interaction. Follow up interviews to Survey respondents confirm that although time was scheduled at meetings, the pressure to complete their work in their separate regions prevented the desired level of interaction. The inability to take a sequential approach is attributed to funding and time pressure from donor countries. The integration along thematic lines in the Synthesis Report attempts to bring the two levels together.

The sub-global reports were able to bring out issues of particular concern to their regions. The buy-in by authors and participants to their own reports (and their lack of familiarity with the reports of the other regions) reinforces a finding of the team that an enhanced effort at the sub-global level and a sequential approach would have drawn more sub-regional support and strengthened the prospects of implementation of IAASTD at the sub-global level where indeed it must take place.

The key findings from the Sub-Global Reports are found in Annex 8
The basic finding is that the participants in the Sub-Global Reports agree that a review of AKST at the regional and national levels is important.

Participants valued their experience with the multistakeholder process
Each of the reports notes the diversity of the region and the difficulty of adequately reflecting that in analysis and recommendations. There are some parts of the region for which the generalized history is not applicable. (TOR 8)

Each of the sub-regional evaluations comments that the decision by the Bureau to drop the scenarios work abruptly was a frustration and a loss to the logical coherence of their work which would relate options to some view of the future. The Bureau rejected the scenarios work after reviewers pointed to deficiencies in the technical modeling. The team has interviewed widely, including both Bureau members and technical specialists. It finds that the discussion of alternative approaches (Chapter 5 in the Global and NAE) reports point to a rich menu from which a fit for purpose approach could have been

designed. In fact, scenario planning is an iterative procedure with an iterative "strategic conversation" between the qualitative models and the quantitative narratives. Even though LAC continued with their scenarios, there was no mention of the chapter in the Summary for Decision Makers. For future assessments, the team finds that scenarios are essential to develop options and there must be time and money for a sequential approach.

#### Effectiveness 4: Outreach and Communication (TOR 7)[8]

We deal with outreach and communication as an effectiveness issue responding to TOR 7: *To what extent has IAASTD achieved its stated objectives?*

Outcome 4 in the Project Document was "Outreach and communication of IAASTD findings in various media and to all stakeholders". Further detail is found in Annex 7.

The Bureau had the responsibility to produce "an effective strategy…which makes the outputs widely available in appropriate formats and languages to all stakeholder groups, who in turn disseminate effectively through their own networks."[9] While the Bureau had a sub-committee on outreach and communication, the requested strategy was never produced.

Official release of the published reports took place on January 31, 2009. All the Summaries for Decision Makers (Global and Sub Global) as well as the Executive Summary of the Synthesis Report, a synthesis of material found in the global and subglobal reports on eight topics, were printed in six official UN languages[10].

The team commends IAASTD for its decision to translate these documents into the six official UN languages. We have noted the difficulty that working in the English language presented for authors from some regions (and the decision to work in Spanish n LAC and translate the reports to English). Various international organizations are finding that effective global outreach in the future will require publication in Chinese, Arabic and Russian. IAASTD has the right to authorize translation into all other languages.

Limited numbers of the full reports were printed and the purchase price makes them inaccessible to developing countries ($95 plus shipping for the Global reports and $65 plus shipping for the regional reports). There is an embargo on electronic distribution of the full reports within 6 months of publication, which limits the ability to promote the use of IAASTD ideas while the post-release interest is high. (Other similar studies of a public good nature have had simultaneous release in print and web-based downloads)[11]. IAASTD's buy-back of reports for distribution shows that the Global Summary for Decision Makers (12,000 copies) and the Synthesis Report (10,000 copies) will be the main documents of record in print format.

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[8] See Annex 7
[9] PAD. p.30
[10] Details in Annex 7.
[11] Cambridge University Press posted electronic copies of the report on the web simultaneously with the release of print publications.

Contracted video presentations of IAASTD (available on YouTube) include an 11 minute documentary and a playlist of 14 short clips of an interview with the Director. The Director and Secretariat volunteer the information that they were not satisfied with the results for an investment of approximately $175,000. With some assiduous search one can also find links to full length discussions recorded during presentations to organizations like the foreign press association. These links, however, are hidden within documents posted on limited traffic websites.

When the evaluation was commissioned, the only outreach activity had been one in the CWANA region. Various interviewees note that it did not attract the high level of decision maker targeted. Since that time there have been numerous presentations sponsored by the IAASTD. Authors were invited to submit proposals for outreach activities, usually presentations in professional, policy or public awareness fora. Most activity has been at the "global" level. Some 100 events are recorded as having been assisted by IAASTD. (Relates to TOR 11)

#### Effectiveness 5: The IAASTD Website (TOR 10)

*The specific questions were: 1) did the web system provide a user-friendly platform for the authors and peer reviewers? 2) Is the website user-friendly for the outside community and does it contain the appropriate material?*

The Team separates the internal and the external functions of the IAASTD website. Internally, it played a critical role in the sharing of documents and management of the electronic review process. As an external source of information about IAASTD it has provided basic historical information. It is updated when the web manager (a staff member of UNEP) receives information (e.g. press releases, PowerPoint presentations) from authors and others. [12]

For understanding (one view of) the process of governance, the Greenpeace website (www.agassessment-watch.org) has proven much more useful to the Team. It provided historical information on meetings, posted reports from NGO Bureau members on the discussions at key meetings, and provided the only copies of draft reports accessible to authors during the editing and publication period.

The ability of IAASTD to "brand" its message at the critical time of release of the documents was weakened through the dormancy of this resource: a missed opportunity for impact. There are many interpreters of the IAASTD message claiming the IAASTD brand and the authority of 60 governments and 400 authors while the IAASTD full reports are not available for reference.[13]

Annex 10 ("A positive way forward") makes suggestions for the web strategy drawing on ideas from interviewees and respondents to our Survey.

[12] For instance, the Issues in Brief Series has just been posted in the Spanish language.
[13] The team has been receiving Google Alerts and notes that what is reported is not always what

**Effectiveness 6: Resilience of IAASTD (TOR 6) and Capacity Building (TOR 7)**

*The specific question posed by TOR 6 was: "How resilient are the outcomes and impacts of IAASTD?*

The term "resilience" is something that is not normally applied to a term encompassing the ways and means used to practice different types of agricultural activities (AKST) or to a compendium of professional chapters whose information remains robust in the face of changed circumstances. However, we can ask whether the various IAASTD findings provide adaptable options in the face of price shocks and collapsing world trade. The AKST framework is applicable and the information in the reports is useful but with some gaps. For example, non-subsidized "multifunctionality" may require the existence of markets for ecosystem services, an issue that is not addressed in the reports. The message "business as usual is not an option" and the recommended agro-ecological options are generic and will require adaptation and in some cases proof of concept research for application at scale.

A second view resilience might look at some organizational continuation of IAASTD as a subsystem (a "platform") would be effective in addressing the emerging issues. While there is a concern not to lose what has been built up by IAASTD there is not strong support for institutionalization. A range of suggestions for a positive way forward is discussed in Annex 10).

Capacity building was a second purpose of the IAASTD. There are some strong champions among people involved in outreach activities since May 2008 but IAASTD support for outreach will end in June 2009. Although there are suggestions of possible assessments being planned in a few countries, it is premature to claim these as outputs. Annex 11 provides a bulleted summary of the various ways that participants in IAASTD say they have gained from their experience. This could be considered an increase in tacit knowledge associated with the Assessment.

Analysis of outreach events (about 100) between May 2008 and planned to May 2009 shows a balance of presentations to science fora, policy meetings, including high-level UN venues, and public awareness. The Director has been used in high level policy meetings; both co-chairs have been active across all types of event and a core group of NGO related academics and CSO participants have been active across all three types of events: professional meetings, UN fora, parliamentary committees and outreach to the wider community.

The Director targeted influential meetings such as the World Bank Rural Week, CSD ministerial meeting, CBD, COP, and the UNEP Governing Council for addresses on the findings of IAASTD. The two co-chairs also participated in high level meetings.

There is renewed attention to the messages of IAASTD and their relevance to current economic conditions,

The following sections refer to issues of "efficiency" raised by the terms of reference.

#### Efficiency 1: Monitoring of Project Activities (TOR 8)

*The specific question was "To what extent did IAASTD have: i) a clear program and component objectives with verifiable indicators; ii) a structured set of quantitative and qualitative indicators, iii) systematic and regular processes for data collection and management; iv) independence of program-level evaluations; and v) effective feedback from monitoring and evaluation?*

The project provided regular updates on activities for the World Bank and received reports from the regional coordinators. Financial reporting followed World Bank guidelines and procurement regulations that created some extra costs for them.

The main monitoring tool seems to have been the project work plan and reports to the Bureau. Comments on progress have benefited from informal reports on Bureau meetings posted on the NGO website. The evaluation team was not aware of any formal M&E process in place or indicators collected and reported.

The web-based review processes were tightly managed to be able to provide material for the scheduled writers meetings.

#### Efficiency 2: Resources, Uses and Completion on Time (TOR 9)

*The specific question associated with TOR 9 is "Was the project completed on schedule within the approved budget and to what extent did funding positively or negatively affect: i) the strategic focus of the program; ii) the governance and management of the program; and iii) the sustainability of the program?*

Information on resources and uses is based on accounting up to June 30, 2008. Further detail is provided in Annex 9: Resource Mobilization and Financial Management (also responds to TOR 12)

<u>Resources: The following status of resources comes from the Secretariat:</u>

1. In May 2007, the Bureau revised the timeline from that presented in the Project Document. The final publication and translation of the reports was pushed back from April to August 2008 and the official publication release took place on January 30, 2009. Outreach activities will be completed by June 30, 2009.
2. Total resources (as of figures from June 30, 2008) were $ 11,365,562 coming from a multi-donor trust fund ($3.3m), the World Bank Development Grant Facility

($ 1.5m), GEF Grants ($3.35m) and In-Kind Grants from various co-sponsoring agencies ($3.1m).[14] As of March 31, 2009 there was less than $400,000 remaining.
3. Major expenditures were for Meetings $ 3.8 m; organizational costs of the IAASTD Secretariat ($902,042) and the Regional Institutes ($914,974) plus in-kind contributions.
4. The budget will be fully expended by June 2009 through a rush of outreach activities already programmed.

Uses

1. IAASTD recognizes that a sequential process was needed if the global study was to be built up from the sub-global assessments. It also recognizes that scenario planning requires a sequential process. The carrying out of the global and sub-global activities in parallel and the inability to engage in an iterative scenario planning approach is attributed to donor time pressure and funding. This is one clear case where funding affected the way the work was done. For future assessments, both the resources and the scheduling should take account of this process logic.
2. Strategic decisions were taken by the Bureau and the Secretariat to bring in authors from developing countries in the interest of legitimacy, capacity building and buy-in. Decisions with respect to reimbursement of expenses of potential collaborators from OECED countries affected recruitment and retention of desired authors. Within OECD countries, government support for their nationals varied widely across countries. With the cost of Global meetings running from $100,000-$300,000 and joint Global Meeting/Sub-Global joint meeting running from $300,000-$500,000 participants have suggested that some trade-offs could have been made: 1) fewer meetings, 2) fewer stakeholder meetings during the consultative process, or 3) fewer authors to save resources for incentives to authors needed to fill gaps.
3. The Bureau voted to hold an extra meeting prior to the final plenary with the costs being taken out of outreach, communications and publications.

The second large category of the terms of reference concerns governance and management of IAASTD. We will proceed as above to answer the specific questions asked recognizing that there will be some cross-reference between efficiency and effectiveness and governance and management.

## *Governance and Management*

### Funding (TOR 12)

*The specific questions posed were: "To what degree did IAASTD achieve: i) the required project funding; ii) efficient allocation of resources and financial management; iii) funding from the OECD governments and other institutions for OECD author travel; iv) benefits that are most cost-effective that those that could have been achieved by providing the same service on a country-by-country basis; v) benefits that are more cost-*

[14] Annex 9 provides detail on resources and uses as of June 30, 2008. This was also the basis for the SOPE report of October 2008 that is available on the World Bank website.(Figures provided by the Secretariat: "Overall summary of MDTF/DGF/GEF Cash Expenditure (Note 16)

*effective than those that could be achieved if individual contributors to IAASTD acted alone?*

**Achieving Required Funding 1: Resource mobilization includes volunteers. (TOR 12)**

By the standards of other major assessments (GEO, MA, IPCC) the IAASTD has not been a large project.

Financial management has been well done. IAASTD selected "regional implementing organizations" to host their coordinators with careful scrutiny of their ability to meet World Bank standards of accountability. The application of Bank requirements sometimes created difficulties for the RIO (e.g. requiring original receipts and travel stubs from travelers having returned home required a waiver that took time to achieve). All RIOs were ultimately acknowledged for the good way they accounted to the Bank.

In kind contributions to IAASTD came from co-sponsoring organizations and the government of Finland. Other governments chose to engage consultants to follow the process on their behalf (Sweden, Switzerland). The UK contracted with CABI to coordinate their involvement and consultation process. France instructed its research institutes to participate and Canada increased its contribution to the MDTF which allowed the Secretariat to provide travel support to Canadian authors and review editors. There is one case of an author from Australia who was allowed to use existing grant funds from a US company for IAASTD-related travel so that his knowledge of conservation agriculture would be assured at a meeting.

Several interviewees indicated that their involvement began as volunteers and authors but were later brought on as review editors. No one was paid, although some authors and review editors, primarily from developing countries did receive token honoraria and some authors and review editors received travel support.

**Achieving required funding 2**: Collective effort, wide inclusiveness (TOR 12)

The Assessment could only be done with collective funding. While individual countries have their special initiatives (and the PAD identified both international and national studies in this area) the assessment itself was seen as a way to capture synergies. No individual country or donor would have had the interest or been able to cover the breadth of issues, regions and levels of analysis covered by IAASTD.

Matching a collective effort on the funding side was the inclusiveness of wide participation on the part of developing country representatives and co-sponsoring agencies. Their uptake of the messages will be a good indicator of IAASTD's success.

IAASTD did not set out to produce a tightly controlled expert review with an institutional message as the outcome such as the WDR 2008. The complementarity between IAASTD and other board reviews is further dealt with in Annex 4.

### The role and impact of the Bank (TOR 13)

*The specific questions posed by TOR 13 was: "To what extent has the Bank's presence as a partner catalyzed non-Bank resources for the program and to what extent are partners maximizing their comparative advantages in support of the IAASTD at the global level (global mandate and reach, convening power, mobilizing resources) and at the country level (multi-sector capacity, analytical expertise, country level knowledge)?*

The Bank served as a catalyst through its convening power especially during the consultative phase leading up to the Assessment. From the official accounts in the Preface to the reports, discussions at the Bank brought the private sector and the CSO community together with specific reassurances of a balanced process.

Hosting the Secretariat in the Bank led to many preconceptions that the IAASTD was a Bank-dominated process. The Team encountered several interviewees who did not distinguish between "Secretariat people" and "Bank" people when attributing actions or motives. The Director notes that it was critical that the World Bank had no oversight role or ability to arbitrate. It had to remain the host of an intergovernmental process without giving any appearance of control over the process and direction.[15]

All participants had their special interests and agendas. Annex 3 describes the existence of separate epistemic communities which had an opportunity to bring scientific interest, advocacy and activism around issues, and commercial concerns to the table. Sub Saharan Africans noted that the effectiveness of one's voice is a function of representation (being at the table), contribution (speaking and writing) and influence of the contribution (inclusion of the contribution in further discussion and in the final reports. Some groups were highly influential because of their time and focus on a special issue. IAASTD provided the platform and the methodology which was supposed to be good at handling uncertain and controversial issues. The Bank was not in a position to arbitrate the debate, only ensure the platform, IAASTD. Any overt intervention by the Bank would have been seen as an attempt to dominate the process.

### Governance and Management in IAASTD (TOR 14)

*The specific questions asked in TOR 14 were: Did the IAASTD Bureau, Secretariat and the Sub-Global institutions function effectively and to what extent is the governance and management of the program: i) transparent in providing information about the program, ii) clear with respect to roles and responsibilities, iii) fair to clients, and iv) accountable to donors, clients, scientists, professionals and other stakeholders.*

IAASTD has been described as a "social experiment" but more correctly as "an experiment in governance of intergovernmental processes" A key part of the experiment was the creation of a multi-stakeholder advisory Bureau while retaining the formality of

[15] This issue is discussed further in Annex 1 as an example of dealing with Multiple Accountability Disorder (Koppell 1995).

an International process in which governments vote. It was described as a hybrid model of governance inspired by experience with the Intergovernmental Panel on Climate Change (IPCC) and the Millennium Ecosystem Assessment (MEA). The IPCC, through its intergovernmental governance brought the government of key countries to endorse a fundamental way of thinking. It was criticized for not having enough participation of scientists from developing countries. The MEA managed to hold together hundreds of scientists who volunteered their time but did not have an intergovernmental structure to give formal endorsement of the report.

Annex 1 resulted from the Team's reading of the literature of intergovernmental and multistakeholder processes for lessons and templates against which the IAASTD experience could be measured. It was then used to help design the On-Line Survey of participants which inquired into the performance of critical functions by the IAASTD governance and management as seen by those involved in the processes.

1. The Global Environment Assessment Project argues that the effectiveness of an assessment should be evaluated not only by its ultimate impacts on the environment but also through its influence on the behavior of key actors, the strategies of key actors, issue frames and agendas, the terms of the debate and the perception of knowledge needs. It also points out that there is a continuous struggle to achieve the right balance between "salience, credibility and legitimacy". Because people perceive these attributes differently, mechanisms such as formal peer review processes and safe spaces and may be needed to resolve conflict as it arises. Boundary organizations may be required to bridge across disciplines, levels and the policy-action frontiers.
2. Haas introduces the notion of different "epistemic communities": networks of professionals with recognized expertise and competence in a particular domain and an authoritative claim to policy-relevant knowledge within that domain or issue area.
3. The UN Commission on Sustainable Development and UNEP have established formal classification of nine civil society organizations and processes for their involvement in policy meetings. The UNEP manual on preparation of negotiators has important lessons for members of a multistakeholder Bureau, particularly in terms of understanding the positions of other groups.
4. Annex 3 traces the evolution of IAASTD through the consultative phase to the finalization of principles and procedures at the Montpellier meeting of the Bureau. The behavior and effectiveness of the three components is influenced by the path that brought them together.
5. Annex 5 draws on the Survey of participants to assess the processes and the outcomes of IAASTD from two perspectives: the regional and the professional affiliation of the participant. This was to address the "framing" question.

#### The Bureau

The Steering Committee of the Consultative Process recommended the multi-stakeholder Board as follows: "(the) proposed intergovernmental process should ensure ownership by governments, while the integrated Bureau allows the full range of stakeholders to meet as a single body creating opportunities for constructive exchanges and building consensus.

The composition of the Bureau approved in the Nairobi Plenary provide for 2 co-chairs, 30 government representatives, 22 non-government representative and 8 representatives from international organizations. The 22 non-government representatives would consist of 6 NGOs, 6 private sector, 6 producers and 4 consumers.

The two Co-Chairs of the Assessment, eminent scientists from Switzerland and Kenya, also co-chaired the Bureau. In addition, they were to provide intellectual leadership along with the Director. Each co-chair had responsibility as the focal person for the Sub Global assessment in SSA and CWANA respectively where they were appreciated for their role in moderating discussions.

There was a regional distribution of government representatives and, while the non-government groups would have their own selection processes, they should have a good regional distribution and name people with expertise in a relevant scientific field.

The CSOs entered the process with two assurances from the Vice President of the World Bank: 1) that if there was any suggestion that the process was not totally open and inclusive then the CSOs would have every right to walk away from the process; and 2) that the assessment would focus on agriculture and agro-ecosystems writ large. The CSO participants saw the IAASTD process as a strategic opportunity to have an impact on the future of AKST; they were instrumental in broadening the scope of IAASTD to include all knowledge and science views, and they played a strategic role in the search for authors, reviewers and review editors. The majority of nomination, however, came from governments.

The private sector was represented by multiple individual companies, not the trade association, CropLife, which contributed to the Multi-Donor Trust Fund. There was attrition and non-replacement of some private sector Bureau members, largely for personal reasons.

There was turnover among Government representatives, primarily due to the nature of government work—promotions, transfers within departments, etc – but about 50% of the original individuals on the Bureau at the outset were still members at the end.

The Panel of participating governments would "make major decisions in Plenary meetings with *advice* from a 60 member multi-stakeholder Bureau". The Bureau would, however, make decisions on intersessional matters such as authors, reviewers and financial matters.

The Bureau voted on lists of candidates for lead authors. Once votes were counted the chapter teams were approved by the Bureau on a no-objection basis. (If four members of the Bureau objected to a candidate (with justification) he or she would be rejected from the team.

The role of the multistakeholder Bureau is discussed in greater depth in Annex 1 in relation to oversight of the process, technical decisions and conflict resolution.

### The Director

The Director was the central figure in holding the Assessment together through his knowledge of the assessment processes and personality.

He was a strong proponent of the wider scope of AKST and diverse participation as authors and as members of the multistakeholder Bureau.

Given the complexity of the Bureau and the different agendas represented on it, a particularly important role fell to the Director and the two co-chairs for conflict resolution at the level of the writing teams. The Director's own philosophy was one of "hands off" to allow authors to work out their differences with the possible help of review editors and to develop ownership of the ideas. However, the mechanisms for conflict resolution that worked in the IPCC and MA (peer review, side meetings, and review editors) did not work in the case of IAASTD where conflicting parties were speaking from different paradigms.

The relationship between the Director and the Bureau merits study for the design of future multistakeholder processes. The Bureau was active (and united) in rejecting the scenarios work in the absence of the Director. In this case it behaved like a "Board". In the case of the resignation of two Syngenta authors, followed by the withdrawal by CropLife of its sponsorship, the Bureau did not seem to have been invoked as a conflict resolution mechanism to convince the industry sponsor to stay in the process. The lines of authority and accountability were not clear.

The Director attended all of the meetings (some partially) and while he was there his impact on process and outcome was great.

During his transition to his new function at DEFRA, he played less of a day-to-day role and some delegation shifted to the Secretariat.

### The Secretariat

The Secretariat was headed by the Director, Prof Watson with experienced staff at UNEP, UNESCO and the World Bank who had worked on the consultative process and previous assessments such as the Millennium Ecosystem Assessment, GEO and the IPCC. This experience was critical when it came to drafting policies and procedures and implementing the processes of the assessment.

The Secretariat organized the call for nomination of authors and review editors. Washington based members of the Bureau met with staff at the World Bank to assess the curricula vitae of nominees for their appropriateness to chapters and regions. These candidates were forwarded to the Bureau for their votes. The Bureau was also asked to consider expertise with consideration for geography and gender. In the cases where a selected candidate was unable to serve, another candidate was selected from the list of alternates created by the DC Bureau working group.

There was turnover of authors and a need for replacement. The Secretariat used various networks to seek suitable candidates and proposed for approval by the Bureau on a no-objection basis.

#### The Regional Implementing Organizations

The RIOs were all well-established organizations: two CGIAR Centers, an intergovernmental policy and technical agency governed by Ministers of Agriculture and an African Center for Technology Studies.

The Regional Coordinators were hosted by the RIO, not managed by them. The coordinators and assistants were managed from Washington. The regional coordinators were responsible for editing, helping authors draft text, finding appropriate graphics and fact-checking the chapters of the subglobal report to which they were assigned. The regional coordinator in CWANA eventually served as a review editor and presenter in several outreach activities.

The experience among the four RIOs was similar in that they were all treated as logistic service providers to the Bank and IAASTD did not fully profit from their potential scientific input and networks in the regions. .

In the final evaluation, they all acquitted themselves well.

#### Effectiveness in managing critical processes: evidence from the Survey and Interviews

Annex 5 provides a detailed analysis of how participants viewed the effectiveness of IAASTD in performing critical functions associated with managing a multistakeholder process, synthesizing findings in consultative mode and dissemination of IAASTD outputs.

The general finding is that the large majority of participants learned from and appreciated the multistakeholder process.

There were significant differences among groups when participants are grouped by region or work affiliation.
Their appreciation of the processes is also a good indication of the evaluation of the usefulness of the output and also their likelihood to serve as a champion for IAASTD findings afterwards.

### Participation of Partners from Developing Countries and Transition Countries (TOR 15)

*The specific question posed was: "To what extent did developing and transition partner countries, clients, experts and beneficiaries participate and exercise effective voice in the various aspects of the program design, governance, implementation, peer review, monitoring and evaluation.*

The team was only able to speak to this through observations by regional coordinators, review editors and other third parties since there was a low response to the On-line Survey and difficulty in contacting such participants. However, the regional evaluators for CWANA and SSA have contributed important insights.

The negligible response to the On-Line Survey is variously attributed to poor connectivity for email (something that CLAs mentioned) or insufficient command of English to respond to a Survey that was posted in English.

Language was a critical factor in the CWANA region where Arabic, French, Turkish and Russian (a lingua franca in Central Asia) might be preferred by different groups.
The language problem appeared in many forms: French speaking West Africans found themselves disadvantaged in discussion and dominated by bilingual authors who were not necessarily resident in Africa. In the NAE, people with limited English were useful in review and verifying information even though their oral contributions were more limited.

Review editors who have worked in these linguistically diverse areas note that provision should be made for teams to work in a commonly shared regional language with translation of outputs into English. Latin America worked in Spanish with translation of the reports.

Some lead author respondents to the on-line Survey were downgraded to contributing author for various reasons and subsequently not invited to Johannesburg with a consequent feeling of abandonment. The Secretariat clarified that some authors were reclassified due to lack of attendance at the required number of meetings and that the limited role of authors in a government-focused Plenary combined with financial constraints usually motivated such decisions.

The team was unable to make a judgment on any capacity development that might have taken place with this group, although the review editors contacted professed satisfaction with their own experience.

Anecdotal evidence suggests that the turnover of Bureau members from developing countries was high and that some of the voting representatives in Johannesburg were participating for the first time in a Bureau meeting. However, overall 65% of the original members were in the Bureau throughout the process.

#### Risk Assessment and Management. (TOR 16)

*The specific question posed by the TOR was: "To what extent have the risks associated with the program been identified and effectively managed?*

Annex 5 contains a more complete discussion of identifying and managing risks. There were no climatic or physical risks that needed to be assessed as would be normal for environmental projects. The risks might have been anticipated and prepared for were associated with human behavior:

- Managing the complexity of AKST and its broadened scope brought in new epistemic communities and increased the likelihood of conflicting views of credibility, legitimacy and saliency

- Managing a large Multistakeholder Bureau with differing degrees of commitment and strategic interest among sub-groups could have an impact on the effectiveness of the Bureau.

The team did not obsess over the cases of the dropping of the scenarios and the conflict over chemicals and "biotechnology" that precipitated the walk out by two scientists from Syngenta and CropLife (a donor). However, it did speak with the principals involved and with several close witnesses. It concluded that there are lessons for multistakeholder processes and the structure of governance. The first is that conflict must be anticipated and prepared for and the second is that conflict resolution mechanisms must be appropriate to the governance structure and the nature of the conflict.

## Lessons from IAASTD

1. Future of IAASTD: There is little support for the institutionalization of IAASTD. There are several recommendations made so that what has been achieved is not lost.
2. There is an opportunity for self-forming communities of practice or even formal networks to form to deal with the unfinished business: scenarios, biosafety, quantification of the recommendation domain of options, and benchmarks for measuring progress towards IAASTD objectives.
3. Future assessments with multistakeholder governance should learn some lessons from IAASTD.
   - Managing the trade off between salience, credibility and legitimacy will always create tension
   - There should be clear rules of conduct and participants need to be given special coaching on the performance of their functions.
   - Prepare for conflict and establish conflict resolution procedures appropriate to the parties involved and the nature of the conflict
4. Professional facilitation is recommended, especially where knowledge differences, linguistic challenges, and cultural practices may lead to the loss of input (or failure to record the input) from groups that are silenced by dominant personalities. The team is aware of the argument that downside of professional facilitation is that authors lose ownership and that IAASTD did not want to take the risk. However, the frequency and emotion with which Survey respondents and interviewees cited the lack of facilitation motivates this recommendation.
5. The final risk could be called the erosion of the IAASTD brand before it was fully established. In retrospect, this could be associated with the excessive publicity given to the withdrawal (originally discreetly) by the private sector donor; the long hiatus between the approval of the reports in Johannesburg and their availability electronically, and the appropriation of the IAASTD cachet (60 governments and 400 authors in a UN report) for partial messages not faithful to the IAASTD report. The lesson is the urgency of establishing the brand name and the purity of the product quickly.

## *Annex 1: General issues in multi-stakeholder programs with special relevance to evaluation of environmental assessments.*

### Introduction

This Annex is dictated by the need to develop a methodology for evaluation of IAASTD that attempted to do justice to the complexity and inclusiveness of the Assessment itself. Evidence-based assessment (EBA) emphasizes the use of research and theory to inform the selection of assessment targets, the methods and measures used in the assessment, and the assessment process itself. This led the evaluation team to review the significant body of literature on assessments and multistakeholder processes, design an inclusive survey of IAASTD authors, reviewers, Bureau members and participants in Plenaries, and to formulate the questions for that Survey after a first round of some thirty interviews with people who had been involved with IAASTD.

There is an abundant literature on multi-stakeholder collaboration, multi-level negotiation and multi-disciplinary partnership from which important lessons have been learned and have guided choices in the design of IAASTD. New insights continue to be gained from the Global Environmental Assessment Project[16]; UNEP has published guidelines for negotiators of multi-lateral environmental agreements[17], while the World Bank[18] and GEF[19] have guidelines that are incorporated in the Terms of Reference of this evaluation.

This note extracts key findings from work in the public domain that can serve as templates for evaluating the design and implementation of the IAASTD.

### The Global Environmental Assessment Project (GEAP)

The Global Environmental Assessment Project makes the following observation about the effectiveness of an assessment (TOR 7-11)

The effectiveness of an assessment should be evaluated not only through its ultimate impacts on the environment (e.g., bringing about a decrease in damage due to acid deposition), but also through its influence on:

- the behavior of key actors (e.g., bringing about a decrease in emissions);
- the strategies of key actors (e.g., inducing active promotion of an international agreement to change emissions);

[16] Clark, William and Nancy Dickson, The Global Environmental Assessment Project: Learning from Efforts to Link Science and Policy in an Interdependent World.
[17] UNEP Multilateral Environmental Agreement Negotiator's Handbook (2007)
[18] World Bank, Independent Evaluation Group: Sourcebook for Evaluating Global and Regional Partnership Programs: Indicative Principles and Standards. (2007) and World Bank, IEG Guidelines for Global and Regional Program Reviews (January 2007).
[19] GEF Evaluation Office. The GEF Monitoring and Evaluation Policy. (Evaluation Document 2006 No. 1) and GEF Evaluation Office. Guidelines for GEF Agencies in Conducting Terminal Evaluations. Evaluation Document No 3. 2008.

- issue frames and agendas (e.g., precipitating a decision to pay attention to an ENSO forecast, or to view the climate issue as one of poor peoples' vulnerability rather than rich peoples' emissions; raising concern for the acidification problem);
- the terms of the debate (e.g., introducing non-$CO_2$ greenhouse gases to the climate debate; introducing liming to set of options considered in the acid rain debate);
- the perception of knowledge needs (e.g., identifying a critical need for research on heterogeneous chemistry in the stratosphere).

The list is not exhaustive or unambiguous. Its importance is merely in stressing that assessments can and do exert their immediate impacts -- if any -- in a variety of ways. The particular paths of influence are a matter for empirical investigation rather than theorizing or assumption. Our research suggests the not surprising result that assessments exert their immediate impact on the policy process through the lower end of the list more often than they do through the higher.

A key paper (Cash et al 2002)[20] argued that the boundary between science and policy is only one of several boundaries that hinder the linking of scientific and technical information to decision-making. Managing boundaries between disciplines, across scales of geography and jurisdiction, and between different forms of knowledge is also often critical to transferring information. They found that:

> Information requires three (not mutually exclusive attributes—salience, credibility, and legitimacy—and that what makes boundary crossing difficult is that actors on different sides of a boundary perceive and value salience, credibility and legitimacy differently.

They went on to explore:

> 1) how effective boundary work involves creating salient, credible and legitimate information simultaneously for multiple audiences; 2) the thresholds, complementarities and tradeoffs between salience, credibility and legitimacy when crossing boundaries; and 3) propositions for institutional mechanisms in boundary organizations which effectively balance tradeoffs, take advantage on complementarities, and reach thresholds of salience, credibility, and legitimacy.

They give the following definitions: (abbreviated by this author)

> "Salience" refers to the relevance of information for an actor's decision choices, or for the choices that affect a given stakeholder. [Some attributes are that it

[20] Cash, David, William Clark, Frank Alcock, Nancy Dickson, Noelle Eckley and Jill Jäger,. "Salience, Credibility, Legitimacy and Boundaries: Linking Research, Assessment and Decision Making" JFK School of Government, Harvard University. RWP02-046

comes at the right time, is relevant to the level of decision being made, and it is applicable to the given recommendation domain.][21]

"Credibility" refers to whether an actor perceives information as meeting standards of scientific plausibility and technical adequacy. [Sources are considered trustworthy, processes are considered "scientific" rather than "interest" driven, and individuals or organizations have a track record.]

"Legitimacy" refers to whether an actor perceives the process in a system as unbiased and meeting standards of political and procedural fairness. [Policy and scientific participants attribute legitimacy in the degree to which they believe that the processes are respectful of their views and concerns and conform to their perceptions of procedural fairness.

At time they were writing, the IAASTD had barely begun is exploratory consultations. However, they noted that the IPCC had been strong on "credibility" but was criticized in the early days for putting too little focus on "legitimacy" and developing country participants began to question the lack of third world scientists and perspectives on the assessment process. This undoubtedly found its way into the discussions of how an IAASTD should be governed.

The GEAP has more recent results that are useful to this evaluation team in exploring key issues and events surround the IAASTD. Clark[22] notes (inter alia):

- There are tight tradeoffs among S, C, and L given the potential power of findings for stakeholders
- Stakeholders can treat assessments as games in which they can choose 1) to shun (if they think they can only lose); 2) to play for gain (while maintaining exit options, and 3) to bind themselves to (as a good gamble).
- The challenge is to get multiple parties to play and stay, and
- Efforts to connect knowledge to action are effective on if they are sufficiently salient, credible AND legitimate with multiple audiences simultaneously.
- The notion of "boundary" goes beyond science and policy to encompass the frontiers between disciplines, between organizational levels and between knowledges generally.
- The research can help "illuminate the institutional arrangements, procedures and norms (collectively called "boundary work) that make for better or worse systems of evidence-based policy making while simultaneously elaborating on criteria by which judgments might be made.
- Create forums for learning from assessment experience.

[21] Bracketed comment added by this author.
[22] Bill Clark, "What have we learned from 30 years of Global Environment Assessments?" Harvard University (2004) AMS Summer Policy Colloquium.

Other points from Global Environment Assessment Project

- Boundaries in knowledge-action systems…such boundaries demarcate the socially constructed and negotiated borders between science and policy, between disciplines, across nations and across multiple levels.
- Scientists, managers and scholars of science focus on "credibility"
- Recent research and practice, however, point to the danger of overestimating the importance of credibility alone, while undervaluing two other attributes of science and technology systems: "salience", or "relevance to decision making"; and "legitimacy", or fairness to a variety of actors.

Clark and Dickson put it as follows:

> Saliency, credibility, and legitimacy are not independent properties of assessments. Sometimes they overlap, as when an effort to achieve political legitimacy through greater sensitivity to the views of previously excluded stakeholders results in an increase in saliency of the resulting assessment to those groups. At other times, they seem to compete, as when an effort to increase political legitimacy through inclusion of multiple perspectives results in what many perceive to be a lowering of the scientific credibility of the result. Similarly, efforts to maximize the scientific credibility of assessments often drive them away from addressing the sorts of questions that would make them more salient to decision makers. It is such tensions and complementarities in the development of effective assessments that we hope to untangle or make sense of though our research and workshops.
>
> If assessments become effective by being salient, credible, and legitimate, what imbues an assessment with these characteristics? These are the ultimate questions that drive our project. Current work is focusing on three sets of factors that we have found exert a substantial influence on the effectiveness of global environmental assessments: historical context (When in the evolution of an issue are different sorts of assessment most effective?), characteristics of the assessment user or audience (What sort of capacity does it take to be able to use an assessment?), and characteristics of the assessment itself (How does the institutionalization and process management of an assessment matter?).

One other "lessons" that come from the GEAP: a large part of the effectiveness of an Assessment is determined by the planning and design that went into it. This calls for special attention to the preparatory consultations that went into IAASTD.

The series of consultations at the global and regional level sought commitment to: 1) the need for such an assessment; 2) the design and structure of governance, and 3) the key themes.

### "Europeanization" and "Environmental Policy Integration" (EPI)

It may be argued that some of the "dialogue of the deaf" that took place may have stemmed from different frameworks for looking at environmental policy integration and multi-level governance[23]. The European Union has been moving to integrate environmental policy among member states. Research on modes of governance has discovered that the move to greater integration must take careful account of the basic model from which a country is starting. There are numerous case studies of how new members of the EU have adapted their policy. Jordan (2004)[24] discusses how the UK, with its distinctive laws, structures and concerns adapted to its place in the EU. As Jordan says:

> To conclude, the national environmental policy style in Britain today is more consultative and more anticipatory that it was in 1973. EU membership is of course deeply implicated in this change but there are many other, more important forces behind it. However, it is clear that the EU has: (1) created a more explicit and transparent framework of environmental protection, reinforcing the trend towards a more open and transparent policy style; (2) generated much more environmental information, which has made it easier for environmental NGOs to mount legal challenges to government decisions as part of a gradual shift towards a more adversarial policy style; (3) in many key areas (e.g. acid rain, marine pollution, ozone depletion etc) made British policy considerably more anticipatory; (4) forced British negotiators to adopt a more informal and negotiated policy style in order to secure British interests in Brussels.

In fact, Jordan argued that the UK had a mode of governance (albeit top-down) that was conducive to implementing environmental policy integration because the hardware was in place to coordinate policy across sectors. What was lacking was the political will.

The European approach to EPI recognizes path dependency and should therefore favor co-existence of different models and pathways to policy integration. Von Homeyer concludes that it is "difficult to show that certain basis modes of governance are inherently more conducive to EPI than others. Much depends on the fit with the wider institutional and political context in which the instruments are adopted and employed[25].

### "Epistemic communities" and the multi-stakeholder Bureau

It is necessary to take into account the presence on IAASTD of different epistemic communities[26].

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[23]--von Homeyer, Ingmar. Environmental Policy Integration and Modes of Governance—State of the Art Report (2006)

[24] Jordan, Andrew (2004) The Europeanization of UK Environmental Policy, 1970-2000. University of East Anglia

[25] Von Homere (op cit) describes several modes: 1) communicative governance and voluntarism; 2) market-oriented governance, 3) network governance, corporatism, and the co-ordinated market economy.

[26] Peter M. Haas. Introduction: Epistemic Communities and International Policy Coordination. International Organization, Vol. 46. No.1 Knowledge, Power and International Policy Coordination. (Winter 1992.

> An epistemic community is a network of professionals with recognized expertise and competence in a particular domain and an authoritative claim to policy-relevant knowledge within that domain or issue-area. Although an epistemic community may consist of professionals from a variety of disciplines and backgrounds, they have (1) a shared set of normative and principled beliers, which provide a value-based rationale for the social action of community members; (2) shared causal beliefs, which are derived from their analysis of practices leading or contributing to a central set of problems in their domain and which then serve as the basis for elucidating the multiple linkages between policy actions and desired outcomes; (3) shared notions of validity—that is, intersubjective, internally defined criteria for weighing and validating knowledge in the domain of their expertise; and (4) a common policy enterprise—that is, a set of common practices associated with a set of problems to which their professional competence is directed, presumably out of the conviction that human welfare will be enhanced as a consequence.

Haas continues:

> .it is the combination of having a shared set of causal and principle (analytical and normative) beliefs, a consensual knowledge base, and a common policy enterprise (common interests) that distinguishes epistemic communities from various other groups. They differ from interest groups in that the epistemic community members have shared causal beliefs and cause-and-effect understandings. If confronted with anomalies that undermined their causal beliefs, they would withdraw from the policy debate, unlike interest groups. Peterson's case regarding the management of whaling, for example, stresses the difference between the epistemic community of cetologists, the economic interest group of whaling industry managers, and the issue-oriented lobbying coalition of environmentalists.

### Existing Analyses of IAASTD following along these lines

Global Engagement with Global Assessments.

The Team had the benefit of a good paper by Ian Scoones[27] which examined IAASTD's attempt to be inclusive and participatory in both design and process. Focusing on two cases of controversy within IAASTD (quantitative scenario modeling and the role of genetically modified crops in developing country agriculture) it concluded that "assessments of this sort, the politics of knowledge needs to be made more explicit, and negotiations around politics and values, framings and perspectives needs to be put center-stage in assessment design. It also had the benefit of commentary on the paper by `

[27] Scoones, Ian. Global Engagements with Global Assessments: The Case of the International Assessment of Agricultural Knowledge, Science and Technology for Development (IAASTD) IDS Working Paper 313. November 2008.

Through the on-line Survey and follow-up with respondents (Annex 2) the Team was able to elaborate further on some of the issues he raised.

IISD: Comparison of IPCC, GEO-4 and IAASTD[28]

The International Institute for Sustainable Development (IISD) and Agriculture and Agri-Food Canada (AAFC) undertook a review of three global science assessments and the implications for Canadian agriculture. An annex to the report contains summaries of the IPCC, GEO-4 and IAASTD organized under 11 topic heading: climate change; land degradation; urban sprawl; biodiversity; water quality; water supply; biotechnology; energy and production use; consumer demand; human health; and trade and markets. The summaries focused on current emerging drivers and trends in the agricultural sector and their potential impacts on AAFC policies.

Pinter[29]uses concepts put forward by Clark et al to look at GEO and the factors that make global integrated environmental assessment and report mater. As Head of Assessment at IISD he was associated with the comparison of IPCC, MA, and GEO-4 that is discussed above. The IISD website hosts a UNEP Multilateral Environmental Agreement (MEA) newsletter that provides valuable case study lessons with such agreements and comments on different governance structures.

This is a clear example of how a country with a good policy analytic capacity can use integrated global assessments to inform policy makers.

### UNCSD Lessons on Multistakeholder Dialogues

The UN Commission on Sustainable Development drew several lessons from its experience with multi-stakeholder dialogue[30].

With respect to effectiveness it argued:

> Effectiveness was assessed in terms of a number of indicators, including:
> - The degree to which participants, observers, experts in the substantive fields involved consider the outcomes of the dialogues fruitful and legitimate

[28] Barr, Jane, Brady Deaton, Jenny Gleeson and Alfons Weersink. "Review of International Assessments" International Initiative on Agri-Environmental Issues. (April 2008) for International Institute for Sustainable Development. See also: http://www.iisd.org/measure/knowledge/sectors/assessments.asp

[29] Pintér, László (2002) Making Global Integrated Environmental Assessment and Reporting Matter. University of Minnesota. PhD Dissertation.

[30] Department of Economic and Social Affairs, Commission on Sustainable Development (2002) Multi-Stakeholder Dialogue: Learning from the UNCSD Experience.

- The degree to which the dialogues have influenced the formulation and implementation of sustainable development goals and strategies in the topic areas they address
- The degree to which the dialogues have generated concrete follow-up efforts.

In the case of the CSD organizers, the primary objective of the dialogues was to "provide an opportunity for government and major group representatives to engage in joint problem-solving. They concluded that they were still some distance away from realizing such a vision, but the dialogues had helped calm fears of improper crossing of boundaries and created an infrastructure of networks that can be deepened and widened.

The priorities of major group delegates were to obtain references in the negotiated decision that is the official output of the CSD, inject specialized knowledge and values into an important forum on sustainable development, and build consensus across major groups. Each of these goals is complicated by the institutional norms of intergovernmental for a, the difficulty of amalgamating different types of knowledge into coherent policy prescriptions , and the requirements—in terms of time, resources and mastery of dialogue process mechanics—for forging consensus between variegated and internally divided interests on policy issues.
In the light of this definition, some of the things that the Evaluation of IAASTD could look for are:

- Cross-fertilization of ideas as evidenced by satisfaction with the way diverging views were dealt with
- Numerically significant expressions of the value of IAASTD to the participants and the nature of the gain they derived from it.
- Percentage of ideas where areas of agreement were achieved
- Satisfaction of participants that the main messages were coming through.
- Importance of the areas where agreement was not reached and gaps in coverage of the issues appeared.

In terms of the efficiency and effectiveness of the process, the Evaluation could look at the structure, facilitation and flow of the actual team dialogues and discussions, and the role of different actors in it. Some elements to document are:

- The development of the Outline and Content of the Global and Sub-Global Reports.
- The evolution of the Global and Sub-global reports in practice and whether themes changed at the chapter level due to team composition and coordination leadership.
- The flow of information and potential synergies between the Global and the Sub-Global reports.
- Facilitation of the process: global, sub-global, support from regional host organizations of IAASTD
- Coordination of the various distributed writing teams (e.g. Coordinating Lead Authors, Lead Authors) for individual chapters
- The Processes for dealing with two rounds of external peer review.

- Coordination across Chapters at the Global and Sub-Global Levels.
- The nature of the discussions in the intergovernmental negotiating sessions and the multistakeholder dialogue: the relative prominence allocated to different topics in the respective policy arenas.

A finding from CSD was that"

> We found that dialogues during CSD-8 focused to a significant degree on issues that were already contentious in the intergovernmental arena; that controversy among major groups could actually push governments toward a greater, rather than lesser, level of generality of language…and that major groups do indeed provide perspectives that expand the intergovernmental debate. Importantly, the most productive, in terms of incorporation into the governmental negotiations, appear to be suggestions that fall into the category of new ideas.

The overall assessment highlighted six elements that need to be incorporated into a dialogue structure:

1. Representation and participation
2. Time constraints
3. Agenda setting
4. Facilitation
5. Linkage to decision making
6. Follow-through (implementation)

The specific recommendations from their review of UNCSD were:

1. Clarify objectives
2. Sharpen the thematic focus
3. Conduct a situation assessment during the preparatory phase
4. Devise ground rules for interaction before, during and after the CSD sessions
5. Provide additional facilitation
6. Help follow through on outcomes achieved.

In an aggregate way, the Survey of IAASTD authors, reviewers and Bureau members provides some evidence on these issues. However, it was during the follow up with almost all of the respondents to the Survey (156) who provided names for contact that the nature of the responses could be grouped into numerically significant observations.

### UNEP Good Practices for formal negotiations in multi-stakeholder processes

UNEP has prepared a Multilateral Environmental Agreement Negotiator's Handbook.[31] that offers some useful lessons for those planning multistakeholder processes. While

[31] The Handbook can be accessed at: http://www.unep.org/DEC/docs/MEAs_ Negotiator's_Handbook.pdf

IAASTD was not a "negotiation", participants can recognize some of the wisdom captured below.

> [The] Handbook begins with "Twelve essentials" for negotiators, including reminders that representing your country in a multilateral negotiation is a serious undertaking and a major responsibility, not to be entered into lightly, and to prepare as much as possible to understand the subject of the negotiations, your country's interests, and the interests of other countries. It suggests that negotiators learn about the forum and its rules of procedure, both formal and informal, support the process and participate constructively even in difficult situations, and look for win-win situations. It offers hints for how to look for opportunities to support countries with different interests where possible, and to treat other participants courteously and honestly, underscoring that good relationships and trust are invaluable assets in negotiations. It suggests that humor and diplomacy can be very persuasive, and negotiators should focus on substantive issues and be flexible in wording when their instructions allow. It proposes that negotiators consider workshops or informal groups as mechanisms that may help to resolve an impasse, and reminds them that responsible judgment is essential, they should listen carefully to what is said and, just as importantly, to what is not said, and they should prepare carefully for interventions, with a clear focus on objectives. Finally, it suggests being prepared for practical necessities, including alternative transportation, alternative meals, and local currency, because a negotiator's life is unpredictable, and meals do not always happen when planned!

The Evaluation Team, through interviews with participants and Bureau members attempted to evaluate whether or not the formal intergovernmental format married to a multi-stakeholder Bureau (as a "social experiment") was successful and which of the above factors played a role. Did the output of IAASTD have more saliency, legitimacy and credibility as a result of the approval process followed in Johannesburg?

### Governance and the Multistakeholder Bureau

The IAASTD was a hybrid of the IPCC and the Millennium Ecosystem Assessment (MA). The IPCC, through its intergovernmental governance brought the governments of most of the key countries to endorse a fundamental change in thinking: that climate change is increasingly due to human activity; that it may be accelerating and that we may be approaching a tipping point. The MA held hundreds of scientists who volunteered their time but did not have an intergovernmental governance structure and no formal endorsement of the report by governments. In retrospect, some people consider that its limited profile is due to the absence of a formal endorsement by governments.

The IAASTD adopted a "unique" model of an intergovernmental body with a multi-stakeholder "Bureau". This was part of what was later described as a "social experiment".

The roles and responsibilities of the Bureau, the Secretariat and the various types of "authors" were discussed and negotiated in the Nairobi plenary (2004) along with Principles and Procedures. Modifications were adopted by the Bureau at Meeting in Montpellier and the Bureau delegated some decisions with respect to the identification of review editors to the Secretariat. This evaluation will look at the functioning of the Bureau, the decisions taken, and the impact they are believed to have had on the outcome of the IAASTD.

The Nairobi Plenary (30 Aug-3 Sept, 2004) determined the TOR for the Bureau as follows[32]:

- Designing the nomination process for the IAASTD co-chairs
- Selecting authors for the design meeting
- Selecting authors for the preparation of the global and sub-global assessments
- Selecting review editors
- Developing an outreach and communications strategy
- Developing a capacity building strategy
- Overseeing the management of the sub-global assessments
- Advising the Plenary on emerging issues of concern
- Accepting additional functions requested by the Plenary; and
- Oversight of the budget.

These functions gave considerable authority to the Bureau with the provision that "if a vote needs to be taken on a specific issue, i.e., in the event that consensus cannot be reached, only the government members will vote, after listening to the views of the non-government representatives, given the intergovernmental nature of the IAASTD." [33]

From Survey and discussions with Bureau members, we learned that the perceptions are as varied among Bureau members as among the participants as a whole. A more refined analysis would look at various sub-groups represented on the Bureau and this is possible by categorizing information gained from individual Survey respondents and interviewees.

However, for current purposes, we can deal with the Bureau as a whole. In a nutshell:

1. Some Bureau members felt that there should be no permanent institutionalization of IAASTD while others recommended continuation through networks, a minimal secretariat to provide for updating, and monitoring progress. Most Bureau members called for rapid publication of the full text of all documents on the website and some form of updating.
2. Recommendations on active outreach identified the targets either in terms of advocacy with governments and international organizations or in terms of

[32] Decision 7. First Plenary Meeting. "Agreed Decisions".
[33] Decision 8, First Plenary Meeting. "Agreed Decisions"

outreach to farmers and client groups, according to the particular interest group to which the individual belonged.

3. A few noted that IAASTD needs to be reviewed, that certain studies need to be continued, and that periodic reporting on what has occurred could be linked to regular meetings of FAO, GFAR or other organization without requiring institutionalization.
4. Bureau members gained from the multistakeholder experience. It was sometimes complex and not always rewarding, but valuable. It was an experiment with multistakeholder processes at scale from which lessons could be learned. For a few, it was an introduction to the UN-style negotiation.

There were some comments on the Composition of the Bureau as follows:

- From the days of the preparatory consultations there was space reserved for the CGIAR. One view was that in light of the broad AKST approach that the Assessment ended up taking, the Director of the CGIAR should have participated.
- The participation of farmers groups was weak and something that should be rectified in future multistakeholder processes.
- The representation on the Bureau by the US was by USDA (which has the technical agriculture) while USAID had the development orientation. USDA was in a position to seek review comments from scientists in the land grant system. (These views were individual scientific commentary but conflated with the "US government position".
- France, having taken a decision to be present at all levels, was represented on the Bureau at a high level (technically and politically) with designated scientists from French institutions in the global level teams and at the sub-global level.

The evaluation team was surprised to find that very few of the authors and non-bureau participants had clear understanding of how the Bureau operated. It was seen as somewhat remote and opaque; the reasons for its decisions were not uniformly understood by participants. This is illustrated by the many interpretations of the rejection of the scenarios modeling, the way in which it was done, and the management of the conflict.

The multistakeholder Bureau, composed of 30 people from governments, 30 people from civil society organizations and 2 co-chairs is considered by many to be an IAASTD achievement and a model to be copied in other international fora.[34]

[34] Greenpeace: Agriculture at a crossroads: Why the international community must read the UN Agriculture Assessment. The GPAFS Madrid Summit was criticized by the NGO community for being "top down" and not having given the NGO community sufficient time to circulate all the papers among their affiliate networks before the meeting. A joint statement by Action Against Hunger, Save the Children, CARE, Concern Worldwide and Tearfund noted that current proposals fail to acknowledge the role of civil society in the GPAFS, the groups who bring the "voice of the people who are ultimately affected by the policy decisions made at national and international levels" and recommended that GPAFS learn from and build on

Continuing discussions on the Global Partnership for Agriculture and Food Security must incorporate the findings of IAASTD in their analysis, and should follow the organizational model of the IAASTD which engaged all stakeholders in defining effective policies. Greenpeace calls on the international community to give the IAASTD a permanent status. Only the IAASTD, with its multi-stakeholder structure and the wide range of scientific expertise it represents, is capable of addressing current social, environmental and economic challenges in agriculture by guaranteeing a proper assessment and monitoring of all the different aspects of agriculture, food production and consumption.

### Governance: an Accountability Framework

Are there any lessons for any eventual institutionalization of IAASTD or structuring of governance mechanisms for new multistakeholder processes? Given that IAASTD has an innovative governance mechanism, we turned to an accountability framework that could be used to highlight relationships. [35]

The Public Administration Dictionary (cited by Koppell) defines accountability as "a condition in which individuals who exercise power are constrained by external means and by internal norms." External means could include the directives of citizens, legislatures, elected and appointed executives, and courts. Laws regulations and moral principles also "constrain individuals who exercise power. He poses the question, "Is an organization accountable only if it is constrained by all of these external means?" What if, to use the language of principal-agent theory, there is a conflict among the principals?

The lack of specificity regarding the meaning of accountability—or failure to articulate a choice—can undermine an organization's performance. It may be accountable in the wrong sense (e.g. a judge taking political orders) or, perhaps worse, it may try to be accountable in every sense. "Organizations trying to meet conflicting expectations are likely to be dysfunctional, pleasing no one while trying to please everyone. Ironically, this may include failures of accountability –in every sense imaginable. He calls this MAD: "multiple accountabilities disorder."

He puts forward five conceptions of accountability as shown in Table A1.1 below:

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technical mechanisms such as the FAO and World Bank-sponsored IAASTD. (http://www.new-ag.info/09/02/develop./dev2.php).

[35] Koppell, Jonathan GS. Pathologies of Accountability: ICANN and the Challenge of "Multiple Accountabilities Disorder". Public Adminisatration Review. Jan-Feb 2005.

| Table A1.1 Conceptions of Accountability | |
|---|---|
| **Conception** | **Key Determination** |
| **Transparency** | **Did the organization reveal the facts of its performance?** |
| **Liability** | **Did the organization face consequences for its performance?** |
| **Controllability** | **Did the organization do what the "principal" wanted?** |
| **Responsibility** | **Did the organization follow the rules?** |
| **Responsiveness** | **Did the organization fulfill the substantive expectation (demand/need)?** |

The lines of authority and accountability are rather unclear in IAASTD. The Bureau is "advisory" to the Plenary; the Director is accountable to the Bureau, the Co-Chairs preside over the Bureau and provide Technical Leadership to the authors and teams on the same plane as the Director, the Secretariat transmits instructions to writers in the name of the "Bureau" which gets involved in directing the research. To whom is the Bureau accountable?

It is beyond the TOR of this evaluation, but we believe that an accountability framework would be useful to analyze the lines of accountability and direction.

Lessons for Multi-stakeholder Bureaus

1. Define carefully what you want and expect from a multi-stakeholder Bureau and its members. It appears as if "legitimacy" was the principal concern in IAASTD but there is also specific knowledge and information, buy-in to enhance implementation, and creation of champions for the messages.
2. There are many different types of civil society organization (CSO); the FAO and CSD recognize 9 "major groups. In any future assessment, the diversity of farmers' organizations needs to be better recognized on the Bureau. While the Bureau had strong representation from international advocacy NGOs, future Bureaus would be strengthened by including a diversity of farmers' organizations, and international development NGOs with a strong focus on agriculture.
3. Responsibilities, rules of procedure, and codes of conduct for members of the Bureau need to be clear. Most decisions were communicated by the Secretariat on behalf of the Bureau, which itself was "advisory to the Panel" For efficiency and expedience, the Secretariat made recommendations to the Bureau on author replacement and engagement of reviewers and review editors on a no-objection basis that became effective if at least four members of the Bureau did not object.
4. In multistakeholder fora, where the ultimate authority is a plenary, there should normally be a clear understanding of a participant's authority and mandate to sign a

document on behalf of his government or constituency and whether this commits his country or organization to action of some type.
5. There should be a process of conflict resolution appropriate to the types of conflict that are likely to arise.
6. The Co-Chairs of the Bureau and the Director shared responsibility for intellectual leadership. The team believes that this includes managing the process of conflict resolution.

### The Definition of Public Goods: for the IAASTD Evaluation

The evaluation team is fully aware of the standard economist definitions of pure public and pure private goods and recognizes that most goods are "impure" It recognizes the way that institutional arrangements can turn some potentially public goods into "club goods" or "toll goods" and the way that IPR and legislation can effectively privatize some goods that are non-excludable and non-rival in consumption. Others have suggested that the degree to which a good is "public" is associated in peoples' minds with the questions: Who benefits, who should pay and who should produce the public good in question? However, for an Assessment that is oriented towards public discourse and decision-makers it is more useful for this exercise to adopt the approach suggested during a side meeting on Public International Goods in AR4D held in Maputo in November 2008[36].

The lead speaker noted that there were three essential elements that should be associated with public goods:

- They bring high benefits to society
- They correct for various forms of market failure that will lead to underproduction by individual actors (e.g., externalities, high risk and uncertainty, large economies of scale, and poverty), and
- The cost and risk of state failure is less than the cost and risk of market failure.

It was recognized that public goods are context specific. Their applicability may depend on a product, socio- economic and management practices and on institutional factors (such as intellectual property regimes, investment climate and role of the private sector). Such combinations of factors may explain the co-existence of public information and extension of open-pollinated seed as public goods alongside the use of hybrid seeds among some classes of farmers in the same country.

Where the potential gains from knowledge, information or a product cross over a border they pick up the designation of "international" public goods. The benefits depend on this "spillover potential", the economies of size in research and development and the value of collective action. IPGs can be produced in a given country but if they are intended to become IPGs then the recommendation domain and impact pathway must be explicitly articulated ex ante.

[36] CGIAR Science Council and the Alliance of CGIAR Centers. "International Public Goods Workshop" November 27, 2008, Maputo, Mozambique.

IPGs may take many forms:

- Goods: finished products, embodied technologies; information
- Intermediate products: tools, knowledge and understanding, raw germplasm
- Service: in delivery of knowledge
- Capacity building: human and institution.
- Institutional innovations: e.g. weather index-based insurance
- Institutional architecture for research: networks, treaties, rules, collective action

Most research and development involves multiple products since knowledge and understanding requires more than information alone. A stand alone policy recommendation is not an IPG; if it robust and applies in the international domain it can be an IPG (but proof of concept requires more than one usually contextualized example).

In terms of expected impact (e.g. from an Assessment) we would need some clarity of the size of the domain over which its findings are relevant and significant (or "salient").

The additional concern of making explicit the pathways to impact of a global or regional public good is required because IPGs, although freely available, are not costless to deliver to weak institutional settings. This is where a clear understanding of the nature and cost of capacity building becomes essential.

The evaluation team looks, therefore, for examples of the six types of public good produced by IAASTD and the pathways planned for their utilization.

## *Annex 2: On-line Survey of IAASTD Authors, Reviewers and Bureau Members*

### Purpose of the On-Line Survey

Surveys can be immensely time-consuming and often do not yield robust results for purposes of evaluation. However, we made the decision to undertake an on-line Survey of IAASTD participants following consultation with a number of key participants and following a set of interviews by the Coordinator with approximately 30 participants and stakeholders of IAASTD attending the Annual General Meeting of the CGIAR in Maputo, December 2008. The On-line Survey responded to three specific needs of this evaluation:

1. Inclusiveness and self-selection of respondents: the need to be inclusive in inviting input to the evaluation and follow-up contact.
2. Structured information: the need for some structured information about the processes and the outputs as perceived by key stakeholders from identifiable groups
3. Invitation to Follow-Up. Participants open to further follow-up were self-selecting: a final section of the report asked participants to provide email and telephone contacts if they were willing to be contacted. It proved to be an excellent introduction to the evaluation and means of engaging respondents.

The Survey was pretested with several participants in IAASTD (economists, sociologists and other social scientists) before being sent to the Authors, Bureau Members, Reviewers and Participants in the Johannesburg plenary using email addresses supplied by the IAASTD Secretariat. Since the first mailing was done in late December 2008, during a year-end vacation period, two follow-up contacts were sent in January 2009 after the time people were likely to have resumed their work in the New Year.

### Inclusiveness

Letters explaining the Survey and inviting participation in the evaluation were sent out in English, French and Spanish. The Survey itself was posted in English for centralized processing in the automated survey tool[37]. In one respect, the Survey may have repeated a weakness of the IAASTD in using English as the working language as it had been for IAASTD itself. Responses from non-native English speakers who were comfortable in responding in English recalled the difficulties of their colleagues who were less fluent. Respondents were given the option of responding anonymously but were encouraged to invite follow-up contact by providing their name, address, and contacts by email and telephone.

[37] SurveyMonkey © (http://www.surveymonkey.com/).

The Survey was completed by 233 respondents with a reasonable distribution across the Global and Sub-Global levels, but only 230 observations were useable (Table 1). Most of the respondents who provided a name and contact information were followed up by email, telephone call or both.

Of the 235 respondents, 155 provided contacts for follow-up; 97 were contacted with questions tailored to our interpretation of their response to the survey and eliciting further specific invitation, and 55 provided additional information; 48 were contacted by telephone by members of the Team. Interview notes from face-to-face discussions or telephone interviews (usually lasting between 40 minutes and one-hour) were filed for further reference during write-up but they were not formally transcribed and are treated as confidential).

**Technical Characteristics of the Survey**

**Table 1 Characteristics of the sample**

| Variable | N = 230 | % |
|---|---|---|
| Regional distribution of respondents based on work placement | | |
| Sub-Saharan Africa | 38 | 16.52 |
| Central, West Asia, North Africa | 23 | 10.00 |
| East, South Asia and Pacific | 20 | 8.70 |
| Latin America and Caribbean | 39 | 16.96 |
| North America/Europe | 110 | 47.83 |
| Respondents' most active level of regional focus of analysis | | |
| Sub-Saharan Africa | 28 | 12.17 |
| Central, West Asia, North Africa | 19 | 8.26 |
| East, South Asia and Pacific | 17 | 7.39 |
| Latin America and Caribbean | 31 | 13.48 |
| North America/Europe | 22 | 9.57 |
| Global | 113 | 49.13 |
| Respondents' focus on thematic areas | | |
| Context, concept and history | 27 | 11.74 |
| Impact of AKST on development | 17 | 7.39 |
| Prospective/outlook | 30 | 13.04 |
| Policy | 30 | 13.04 |
| Investment and economic returns | 6 | 2.61 |
| Two or more of the above themes | 120 | 52.17 |
| Respondents' work organization | | |
| National agricultural research institute | 38 | 16.52 |
| Universities | 59 | 25.65 |
| Government agency, ministries and other public institutes | 50 | 21.74 |
| International Agricultural Research Centre and other international organizations | 30 | 13.04 |
| Civil society organizations or NGOs | 22 | 9.57 |
| Private sector organizations | 8 | 3.48 |
| Consultants | 23 | 10 |

| Variable | N = 230 | % |
|---|---|---|
| Other affiliation[a] | | |
| Yes | 149 | 64.78 |
| No | 81 | 35.22 |
| Respondents' function within their primary organization | | |
| Executive and administrator | 56 | 24.35 |
| Technical advisor and consultant | 42 | 18.26 |
| Scientists/researcher | 65 | 28.26 |
| Senior Research Manager or Division Leader | 45 | 19.57 |
| Program Leader | 22 | 9.57 |
| Duration of participation in the IAASTD process (no. of years)[b] | 3.89±1.58 | |
| Type of participation in the IAASTD process | | |
| Governance and design | 31 | 13.48 |
| Coordinating Lead Author | 48 | 20.87 |
| Lead Author and Contributing Author | 93 | 40.43 |
| Synthesis writing, review editor and post-plenary revision | 15 | 6.52 |
| Reviewer | 15 | 6.52 |
| Participants in Johannesburg Plenary | 28 | 12.17 |
| Served as a reviewer[c] | | |
| Yes | 47 | 20.47 |
| No | 183 | 79.57 |
| Served on a synthesis writing team[d] | | |
| Yes | 54 | 23.48 |
| No | 176 | 76.52 |
| Drop out of the IAASTD process[e] | | |
| Yes | 48 | 20.87 |
| No | 182 | 79.13 |
| Self-rating of overall participation | | |
| None | 8 | 3.48 |
| Marginal | 27 | 11.74 |
| Occasional | 33 | 14.35 |
| Active | 103 | 44.78 |
| Very active | 59 | 25.65 |
| Consultation of the IAASTD website (the last three months) | | |
| Never | 49 | 21.30 |
| Seldom (once or twice) | 98 | 42.61 |
| Often (time to time) | 76 | 33.04 |
| Very often (at least once a week) | 7 | 3.04 |
| Consultation of Greenpeace IAASTD-watch website (the last three months) | | |
| Never | 135 | 58.70 |
| Seldom (once or twice) | 66 | 28.70 |
| Often (time to time) | 25 | 10.87 |
| Very often (at least once a week) | 4 | 1.74 |

process

| Variable | N = 230 | % |
|---|---|---|
| Recent contact with new colleagues met as a result of the IAASTD | | |
| No contact | 61 | 26.52 |
| Contact within the last seven days | 39 | 16.96 |
| Contact within the last 30 days | 44 | 19.13 |
| Contact within the last 60 days | 33 | 14.35 |
| Contact within the last six months | 53 | 23.04 |
| Recent networking contact as a result of the IAASTD process | | |
| No contact | 105 | 45.65 |
| Contact within the last seven days | 14 | 6.09 |
| Contact within the last 30 days | 47 | 20.43 |
| Contact within the last 60 days | 24 | 10.43 |
| Contact within the last six months | 40 | 17.39 |
| Recent active project networks as a result of the IAASTD process | | |
| No contact | 169 | 73.48 |
| Contact within the last seven days | 10 | 4.35 |
| Contact within the last 30 days | 13 | 5.65 |
| Contact within the last 60 days | 11 | 4.78 |
| Contact within the last six months | 27 | 11.74 |
| Changes in conceptual understanding | | |
| No comment | 66 | 28.70 |
| No change | 120 | 52.17 |
| Some changes[f] | 44 | 19.13 |
| Reaction to IAASTD stakeholder processes | | |
| No comment | 66 | 28.70 |
| No reaction | 10 | 4.35 |
| Some reaction[g] | 154 | 66.96 |
| Comments provided for way forward | | |
| No comment | 56 | 24.35 |
| Do nothing | 23 | 13.22 |
| Do something[h] | 151 | 65.65 |

Notes:

[a]Other affiliations: member of national ministries and specialized institutes (16.78%), member of national agricultural research institute (1946%), member of sub-regional organization (14.77%), member of international agricultural research centre (13.42%), member of bilateral development agency (0.67%), member of multilateral donor program (2.68%), member of technical agency (10.74%), and board member of NGO, Civil Society Organizations (37.58%)

[b]Mean±SD

[c]Served as a reviewer: context, concept and history (72.34%), impact of AKST on development (55.32%), prospective/outlook (70.21%), policy (93.62%), and investment and economic returns (19.15%).

[d]Served on a Summary for Decision-Maker writing team: Executive Summary of Synthesis Report (44.44%), Global Summary for Decision Makers (42.59%), Summaries for Decision Makers: Sub-Saharan Africa (11.11%), Summaries for Decision Makers: Central, West Asia, North Africa (16.67%), Summaries for Decision Makers: East, South Asia and Pacific (3.70%), Summaries for Decision Makers: Latin America and Caribbean (18.52%), and Summaries for Decision Makers: North America/Europe (14.81%)

[e]Drop out of the IAASTD process: difficulty with direction of the study (39.58%), difficulty with the process (33.33%), time commitment was too great (31.25%), participants' ideas not represented in the process (25%), no longer contacted by the Secretariat (18.75%), and lack of financial incentive or cost reimbursement (16.67%).

[f]Some changes in conceptual understanding: systems framework (36.64%), interconnectedness of the issues (36.36%), and multifunctionality of agriculture (25.00%)

[g] Some reaction: appreciation of new perspectives (56.49%), appreciation of new technical knowledge (37.01%), frustration in dealing with other perspectives (3.90%), frustration in integrating different disciplines or types of knowledge (2.60%)

[h]Do something: disseminate (34.41%), establish network of some type (34.44%), institutionalize for regional and national follow up (21.19%), and find some acceptable host institution for global secretariat (5.96).

#### Structure of the questionnaire

Questions 1 and Q 4-7 in the questionnaire allow us to characterize the respondent by region, place of work and function. Questions 2-3 and 8-18 sought information on the nature of the respondent's participation. Question 19-23 deal with the respondent's evaluation of the processes, products, use of IAASTD materials, and networking links maintained as a result of IAASTD. Questions 24 and 25 were open-ended questions inviting information on the value to the individual of having participated in IAASTD and recommendations for the future.

#### Self-selection of respondents for follow-up contact

Respondents who provided contact details were followed up with an email request for elaboration of certain points that came out of their answers to the structured questions (e.g. why a particular product or process was ranked highly or poorly) or requesting elaboration of their recommendation for the future of IAASTD. The response to the email request for information was ( ) out of ( ) requests; the average length of written response was 3-4 paragraphs with several responses between 2 and 5 pages.

#### Techniques of the Analysis of the Survey Data

The survey data was downloaded from the online survey tool and imported into a spreadsheet and subsequently into statistical software for further analysis. The analysis involved the characteristics of the sample, summary statistics, factor analysis of the respondents' perception of the effectiveness and usefulness of the IAASTD, and influence of organizational factors on their perception.

The responses on stakeholder perception on the effectiveness and usefulness of the IAASTD on the five-point rating scale (Question 20-22) were converted into four-point scale assuming that the option 'No Answer' as a missing value. In the questionnaire, respondents were asked to rate their perception in a five-point rating scale (1 = 'no answer' and 5= 'very effective' or 'very useful'). However, 'no answer' was in fact a

missing value and was replaced by mean value, thus generating a four-point rating scale (1= 'least effective' or 'least useful' and 4= 'most effective' or 'most useful').
The four-point scale responses on effectiveness of the IAASTD processes, usefulness of the IAASTD products and usefulness of the knowledge gained from the IAASTD were separately subjected to factor analysis to identify the patterns of the underlying factors of the respondents' perception on the effectiveness of the IAASTD processes and usefulness of IAASTD products and knowledge gained from the processes and products.

The factor analysis identified the structural patterns of the underlying factors of the effectiveness and usefulness of the IAASTD processes and products. The four-point rating scores of the twelve items about the effectiveness of the IAASTD were subjected to common factor analysis (CFA) to identify the underlying factors of the effectiveness as: synthesizing findings, disseminating findings and managing multi-stakeholder processes. The summated scales of these factors were calculated and subsequently subjected to multivariate regression analysis as dependent variables. The independent variables were respondents' role in the IAASTD processes and their organizational environments.

Similarly, the four-point rating scores of the nine items about usefulness of the IAASTD products were subjected to factor analysis and two factor solution were derived as: regional summary documents for decision makers, and the global summary and other synthesis documents. Summated scales of these factors were calculated and subjected as dependent variable in a multivariate regression. The four-point rating scores of the eight items about usefulness of the knowledge gained from the IAASTD process and products were also subjected to similar analysis.

The validity of the data for factor analysis was assessed using Bartlett's test of sphericity, a measure to determine the suitability of matrix structure for factor analysis (Hair et al. 2006). Other measure of validity test was the Kaiser-Meyer-Olkin (KMO) Test of sampling adequacy. The reliability of the overall items in the data set and individual factors extracted through factor analysis was determined using Cronbach's α. Further details of the data analysis techniques are provided along with the findings.

## Findings of the Survey

### Effectiveness of the IAASTD process

Twelve items about the effectiveness of the IAASTD processes were subjected to common factor analysis. The 12X12 correlation matrix gives determinant $|R| = 0.002$. This indicates that there is at least one linear dependency in the matrix and the items are factorable because the desirable value of the determinant for factorization is $0 < |R| > 1$. If $|R| = 1.0$, the correlation matrix is an identify matrix, meaning a matrix having 1's on the diagonal and 0's on the off-diagonal, and the items would not be suitable for factoring. Similarly if the absolute value of the determinant is zero, meaning the items are too highly correlated, this often distorts the integrity of the results (Pett, Lacky and Sullivan 2003).

Another measure of the matrix structure is Bartlett's test of sphericity (Hair et al. 2006; Pett, Lacky and Sullivan 2003). The Bartlett's test gives calculated $\chi^2 = 1388.21$ with df = 12 (12-1)/2 = 66. Since the p-value = 0, we reject the null hypothesis that the correlation matrix is not an identify matrix in favour of the alternative hypothesis that there is relationships among the items. This test indicates that the matrix is factorable.

Sampling adequacy for factor analysis can be assessed in absolute as well as relative terms. In absolute terms, it is unwise to attempt factor analysis if the sample size is less than 50 and a sample of 100 or more is preferable (Hair et al. 2006). In relative terms, it is suggested that the sample size should range anywhere from 2 to 20 respondents per variable (Stevens 2002). Both relative and absolute criteria indicate that the sample size of 230 is adequate. Moreover, the Kaiser-Meyer-Olkin (KMO) Test for sampling adequacy gives meritorious result with a value of 0.87. The KMO value of more than 0.50 is minimally acceptable, and that of more than 0.80 and 0.90 are meritorious and marvelous, respectively ((Hair et al. 2006; Pett, Lacky and Sullivan 2003).

Using CFA, a three factor solution was extracted (Table 2). The number of factors was determined based on the observation of screen plot and general observation of the items based on the development of IAASTD process into conceptual synthesis of the findings, dissemination of the findings and management of the multi-stakeholder processes. The three underlying factors that explain the IAASTD process are labeled as follows based on the items with highest loadings as follows: (1) *synthesizing findings*, (2) *disseminating findings, and* (3) *managing multi-stakeholder processes*. The factor loadings are the Pearson product moment correlations between an item and factor on which the factor is loaded. Three items are loaded on the Factor 1. For example, the item 'synthesizing research findings and experience-based findings through consultation' is loaded on the Factor 1 (synthesizing findings) with a loading 0.8430. The loadings of the other two items on this factor are 0.76215 and 0.52552. Thus, the Factor 1 is the linear combination of the three items with loadings on this factor.

All items in the respective factors in Table 2 have acceptable level of loadings because when sample size is more than 100 absolute value of loadings 0.30 to 0.40 is the minimum level loadings for interpretation of factor structure (Hair et al. 2006). These loadings suggest practically defined factor structure.

**Table 2. Factor loadings of the perceived effectiveness of the IAASTD process**

| Items | Common factor loadings | | | Uniquenes |
|---|---|---|---|---|
| | 1 | 2 | 3 | |
| *Factor 1: Synthesizing findings* | | | | |
| Synthesizing research findings and experience-based findings through consultation (Item #6) | **0.84300** | -0.03999 | 0.06155 | 0.25064 |
| Developing or synthesizing an evidence base for presentation at workshops (Item #5) | **0.76215** | 0.13777 | -0.01053 | 0.30532 |
| Identification of the need for such a study (Item#1) | **0.52552** | -0.06333 | 0.13513 | 0.64860 |
| *Factor 2: Disseminating findings* | | | | |
| Dissemination of findings through popular media distribution (Item#12) | -0.02830 | **0.83698** | -0.03229 | 0.35072 |
| Dissemination of findings through published brochures and reports (Item#10) | -0.00399 | **0.79970** | 0.02403 | 0.34183 |
| Dissemination of findings through public presentations to policy makers (Item#11) | -0.02236 | **0.66278** | 0.16992 | 0.42603 |
| Dissemination of findings through Website (Item#9) | 0.20138 | **0.61723** | -0.08871 | 0.52898 |
| *Factor 3: Managing multi-stakeholder processes* | | | | |
| Identifying the stakeholders and participants (Item#2) | 0.18118 | -0.03295 | **0.61067** | 0.47135 |
| Implementing a consultative process (Item #4) | 0.24907 | 0.04004 | **0.54592** | 0.41897 |
| Selection of authors and writing teams (Item#7) | 0.30812 | -0.02278 | **0.51811** | 0.43948 |
| Obtaining political and financial support from a wide coalition of donors (Item#3) | -0.05130 | 0.13366 | **0.47759** | 0.72051 |
| Managing the peer review process (Item#8) | 0.25745 | 0.13163 | **0.41241** | 0.50685 |
| No. of items in respective factors | 3 | 4 | 5 | |
| Mean±SD | 2.33± 0.71 | 1.91± 0.57 | 2.28± 59 | |
| Cronbach's α | 0.81 | 0.84 | 0.82 | |
| Variance explained by the factor (%) | 52.13 | 10.55 | 3.22 | |
| Extraction Method: Common Factor Analysis<br>Rotation Method: Promax Rotation (3.0)<br>Overall Cronbach's α = 0.90 | | | | |

In CFA, common variance (1-uniqueness) is of interest to assess the robustness of the analysis. Common variance represents communality for an item, the sum of its squared factor loadings on the extracted factors. For example, the item 'synthesizing research findings and experience based findings through consultation' has uniqueness 0.25064. Subtracting this uniqueness from one (1-0.25064) gives communality of 0.74936, this is equal to the sum of the squared factor loadings 0.84300, -0.03999 and 0.06155. The higher the communality (or lower the uniqueness), the greater the association of an item with the factor.

The commonalities of the individual items (1-uniqueness) are all greater than 0.30, the minimum desirable limit of communality, expect for one item in the Factor 3, representing a strong association of the items to the respective factors.

The factors are interdependent because the extracted factors were subjected to an oblique rotation. This is a preferred rotation when the factor analysis is intended for subsequent analysis of the factor analysis results, such as through multivariate regression. In multivariate analysis, the multiple dependent variables are correlated, specifically when the dependent variables are derived from the same data set.

**Table 3. Seemingly unrelated regression coefficients for the three underlying factors of the IAASTD processes effectiveness**

| Variables | Synthesizing findings | Disseminating findings | Managing processes |
|---|---|---|---|
| Most active level of analysis 1 ( 1= Sub-Sahran Africa, 0= otherwise) | 0.229* (0.129) | 0.364***(0.117) | 0.084(0.109) |
| Most active level of analysis 2 ( 1= Central, West Asia, North Africa, 0= otherwise) | -0.172(0.147) | -0.083(0.134) | -0.250**(0.124) |
| Most active level of analysis 3 (1= East, South Asia and Pacific, 0= otherwise) | 0.443***(0.159) | 0.175(0.144) | 0.184(0.134) |
| Most active level of analysis 4 ( 1 = Latin America and Caribbean, 0 = otherwise) | 0.271**(0.123) | 0.148(0.112) | 0.182*(0.104) |
| Most active level of analysis 5 ( 1 = North America/Europe, 0 = otherwise) | 0.294**(0.143) | 0.066(0.130) | 0.167(0.121) |
| Thematic area of concentration 1 (1 = Impact of AKST on development, 0 = otherwise) | -0.108(0.182) | 0.010(0.165) | -0.258*(0.154) |
| Thematic area of concentration 2 (1 = Prospective/outlook, 0 = otherwise) | -0.410***(0.157) | -0.166(0.143) | -0.534***(0.133) |
| Thematic area of concentration 3 ( 1 = Policy, 0 = otherwise) | -0.337**(0.156) | -0.197(0.142) | -0.400***(0.132) |
| Thematic area of concentration 4 ( 1 = AKST investments and economic returns, 0 = otherwise) | -0.765***(0.274) | -0.519**(0.249) | -0.604***(0.232) |
| Thematic area of concentration 5 ( 1 = two or more of the above themes, 0 = otherwise) | -0.264**(0.126) | -0.145(0.155) | -0.324***(0.167) |
| Work organization 1 ( 1 = Universities, 0 = otherwise) | -0.049(0.129) | -0.022(0.117) | -0.046(0.109) |
| Work organization 2 ( 1 = national public other than agricultural research institutes, 0 = otherwise) | -0.121(0.131) | -0.152(0.119) | -0.136(0.111) |
| Work organization 3 ( 1 = IARC and other international agencies, 0 = otherwise) | -0.260*(0.151) | -0.093(0.137) | -0.030(0.127) |
| Work organization 4 ( 1 = Civil Society Organization or NGO, 0 = otherwise) | 0.119(0.172) | -0.134(0.157) | 0.044(0.146) |
| Work organization 5 ( 1 = Private sector organization, 0 = otherwise) | -0.161(0.238) | -0.100(0.216) | -0.134(0.201) |
| Work organization 6 ( 1 = Consultant/self-employed, 0 = otherwise) | -0.160(0.177) | 0.052(0.161) | -0.069(0.150) |
| Other affiliation (1= yes, 0=No) | 0.025(0.091) | 0.079(0.083) | 0.073(0.077) |
| Function within the primary organization 1 ( 1 = Technical Advisor and Consultant , 0 = otherwise) | 0.082(0.133) | -0.214*(0.121) | -0.042(0.113) |
| Function within the primary organization 2 ( 1 = Scientists and Researcher, 0 = otherwise) | 0.200*(0.118) | 0.004(0.108) | 0.004**(0.100) |
| Function within the primary organization 3 ( 1 = Research Manager, Div. Leader, 0 = otherwise) | -0.048(0.125) | -0.106(0.113) | -0.028(0.106) |
| Function within the primary organization 4 ( 1 = Program Leader, 0 = otherwise) | 0.073(0.153) | -0.194(0.139) | 0.042(0.129) |
| Type of participation 1 (1 = Coordinating Lead Author, 0 = otherwise) | 0.068(0.149) | -0.198(0.135) | -0.082(0.126) |
| Type of participation 2 (1 = Lead Author and Contributing Author , 0 = otherwise) | 0.203(0.135) | 0.073(0.123) | 0.108(0.114) |
| Type of participation 3 ( 1 = Synthesis, review editor and revision, 0 = otherwise) | 0.207(0.206) | -0.071(0.188) | 0.246(0.175) |
| Type of participation 4 ( 1 = Reviewer, 0 = otherwise) | 0.303(0.195) | 0.093(0.177) | 0.067(0.165) |
| Type of participation 5 ( 1 = General participants, 0 = otherwise) | 0.185(0.184) | 0.047(0.167) | 0.186(0.156) |
| Duration of participation ( No. of years) | -0.012(0.029) | 0.025(0.026) | 0.023(0.025) |
| Served as reviewer (1=Yes, 0= No) | -0.062(0.110) | 0.064(0.100) | -0.017(0.093) |
| Served on a synthesis writing team (1=Yes, 0= No) | 0.259**(0.103) | 0.266***(0.094) | 0.254***(0.087) |
| Dropped out of the process (1=Yes, 0=No) | -0.388***(0.103) | -0.023(0.094) | -0.351***(0.087) |
| Frequency of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | -0.081(0.111) | -0.049(0.101) | -0.025(0.094) |
| Frequency of the IAASTD website consultation 2 (1= time to time, 0= otherwise) | 0.318**(0.128) | 0.049(0.117) | 0.158(0.109) |
| Frequency of the NGO discussion of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | 0.074(0.097) | 0.106(0.088) | 0.202**(0.082) |
| Frequency of the NGO discussion of the IAASTD web consultation 2) (1= time to time, 0= otherwise) | 0.274*(0.143) | 0.173(0.130) | 0.286**(0.121) |
| Constant | 2.288***(0.273) | 1.842***(0.249) | 2.291***(0.231) |
| $R^2$ | 0.3974 | 0.2178 | 0.3610 |
| $\chi^2$ (34) | 151.67*** | 64.04*** | 129.94*** |
| Breusch-Pagan test of independence $\chi^2$ (3) = 173.462*** | | | |

Notes: *Significant at 10 per cent, **Significant at 5 per cent, and ***Significant at 1 per cent; Estimated standard errors are in parentheses.

*1. Perceived effectiveness as influenced by respondents' involvement in various levels of analysis*

Respondents involved in the analysis at the global level are taken as a reference category. Compared to the respondents involved in the analysis at the global level, respondents active in SSA studies perceive **greater effectiveness** of the IAASTD processes in terms of *synthesizing and disseminating findings*, not in terms of managing multi-stakeholder processes.

Compared to the respondents involved in the analysis at the global level, respondents active in CWANA studies perceive **lesser effectiveness** of the IAASTD processes in terms of *managing multi-stakeholder processes*, but not in terms of synthesizing and disseminating findings.

Compared to the respondents involved in the analysis at the global level, respondents active in ESAP and NAE studies perceive **greater effectiveness** of the IAASTD processes in terms of *synthesizing findings*, but not in terms of disseminating findings and managing multi-stakeholder processes.

Compared to the respondents involved in analysis at the global level, respondents active in LAC studies perceive **greater effectiveness** of the IAASTD processes in terms of *synthesizing findings and managing multi- stakeholder processes*, but not in terms of disseminating findings.

*2. Perceived effectiveness as influenced by respondents' involvement in various thematic **areas***

Respondents who were assigned conceptual and historical work are taken as a reference group. Compared to respondents who concentrated on conceptual and historical analyses, those involved in the analysis of the AKST on development perceive **lesser effectiveness** of the IAASTD process in terms of *managing multi-stakeholder processes*, but not in terms of synthesizing and disseminating findings.

Compared to respondents who concentrated on conceptual and historical analyses, those involved in the analysis of the outlook of AKST and policy perceive **lesser effectiveness** of the IAASTD process in terms of *synthesizing findings and managing multi-stakeholder processes*, but not in terms of disseminating findings.

Compared to respondents who concentrated on conceptual and historical analyses, those involved in the analysis of AKST investments and returns perceive **lesser effectiveness** of the IAASTD process in terms of all three underlying factors – *synthesizing findings, disseminating findings, and managing multi-stakeholder processes.*

*3. Perceived effectiveness as influenced by respondents' work organizations*

Respondents who work in the national agricultural research institutes are considered as a reference group for the purpose of comparison. Compared to respondents who work in national agricultural research institute, those in IARC and other international development agencies perceive **lesser effectiveness** of the IAASTD process in terms of *synthesizing findings,* but not in terms of disseminating findings and managing multi-stakeholder processes.

*4. Perceived effectiveness as influenced by respondents' functions within the primary work organization*

Executives and administrators are considered as a reference group. Compared to executives and administrators, technical advisors and consultants perceive **lesser effectiveness** of the IAASTD processes in terms of *disseminating findings,* but not in terms of synthesizing findings and managing multi-stakeholder processes.

Compared to executives and administrators, scientists and researchers perceive **greater effectiveness** of the IAASTD processes in terms of synthesizing findings and managing multi-stakeholder processes.

*5. Perceived effectiveness as influenced by type and duration of participation in the IAASTD*

Respectively 45 per cent and 25 percent of the respondents claimed their active and very active participation in the IAASTD process.

There are no perceived differences between respondents with respect to type and duration of participation. However, compared to all other participants, those who served on a synthesis writing team perceive greater effectiveness of the IAASTD processes in terms of all three underlying factors – synthesizing findings, disseminating findings and managing multi-stakeholder processes.

Respondents who drop out of the process perceive **lesser effectiveness** of the IAASTD processes in terms of *synthesizing finding and managing multi-stakeholder processes*, but not in terms of disseminating findings. About 40 percent of them mentioned that they discontinued because of the difficulty with direction of the study, followed by difficulty with the process (33.33%), high time commitment (31.25%), participants' ideas not represented in the process (25%), no longer contacted by the Secretariat (18.75%), and lack of financial incentive or cost reimbursement (16.67%).

*6. Perceived effectiveness as influenced by the frequency of website consultation*

Compared to those who never consulted the IAASTD website during the last three months, those who consulted time to time perceive **greater effectiveness** of the IAASTD processes in terms of *synthesizing findings*, but not in terms of disseminating findings and managing multi-stakeholder processes.

Compared to those who never consulted the NGO discussion of the IAASTD website during the last three months, those who consulted once or twice perceive **greater effectiveness** of the IAASTD process in terms of *managing multi-stakeholder processes*, and those who consulted time to time perceive **greater effectiveness** of the IAASTD processes in terms of *synthesizing findings and managing multi-stakeholder processes.*

It is intriguing that those who consulted the websites do not perceive greater effectiveness of the IAASTD process in terms of disseminating findings.

#### Usefulness of the IAASTD products

Nine items about the usefulness of the documents produced through the assessment were subjected to CFA. The 9X9 correlation matrix gives determinant $|R| = 0.003$. This indicates that there is at least one linear dependency in the matrix and the items are factorable. Another test of matrix structure, the Bartlett's test gives calculated $\chi^2 = 1347.661$ with df = 9 (9-1)/2 = 36. Since the p-value = 0, we reject the null hypothesis that the correlation matrix is not an identify matrix in favour of the alternative hypothesis that there is relationships among the items, meaning that the matrix is factorable. The KMO Test for sampling adequacy gives meritorious result with a value of 0.87 is meritorious.

The two underlying factors that explain the nature of IAASTD products are labeled as follows: (1) *regional summary documents for decision makers*, and (2) *global summary and other synthesis documents*. These factors are interdependent because the extracted factors were subjected to an oblique rotation (Table 4).

**Table 4. Usefulness of the IAASTD products**

| Items | Common factor loadings | | Uniqueness |
|---|---|---|---|
| | 1 | 2 | |
| *Factor 1: Regional summary documents for decision makers* | | | |
| Summaries for decision makers: East, South Asia and Pacific (Item#7) | **0.87580** | -0.03071 | 0.26385 |
| Summaries for decision makers: Central, West Asia, North Africa (Item#6) | **0.81118** | 0.00587 | 0.33633 |
| Summaries for decision makers: Sub-Saharan Africa (Item#5) | **0.76483** | 0.03174 | 0.38530 |
| Summaries for decision makers: North America and Europe (Item#9) | **0.68331** | 0.19574 | 0.33649 |
| Summaries for decision makers: Latin America and Caribbean (Item#8) | **0.58987** | 0.23888 | 0.42824 |
| *Factor 2: Global summary and other synthesis documents* | | | |
| Executive Summary of the Synthesis Report (Item#3) | 0.17158 | **0.77099** | 0.21958 |
| Draft chapters posted on the Website (Item#1) | -0.09313 | **0.75896** | 0.49895 |
| Policy and background papers (Item#2) | -0.01794 | **0.74123** | 0.46599 |
| Global Summary for Decision Makers (Item#4) | 0.12419 | **0.74024** | 0.32783 |
| No. of items in respective factors | 5 | 4 | |
| Mean±SD | 2.52± 0.60 | 2.96± 0.62 | |
| Cronbach's α | 0.90 | 0.86 | |
| Variance explained by the factor (%) | 48.48 | 8.90 | |
| Extraction Method: Common Factor Analysis<br>Rotation Method: Promax Rotation (3.0)<br>Overall Cronbach's α = 0.91 | | | |

**Table 5. Seemingly unrelated regression coefficients for the two underlying factors of the usefulness of the IAASTD documents**

| Variables | Regional summary documents | Global summary documents |
|---|---|---|
| Most active level of analysis 1 ( 1= Sub-Sahran Africa, 0= otherwise) | 0.113(0.116) | 0.085(0.107) |
| Most active level of analysis 2 ( 1= Central, West Asia, North Africa, 0= otherwise) | 0.000(0.132) | 0.067(0.123) |
| Most active level of analysis 3 (1= East, South Asia and Pacific, 0= otherwise) | 0.080(0.143) | 0.059(0.133) |
| Most active level of analysis 4 ( 1 = Latin America and Caribbean, 0 = otherwise) | 0.210*(0.111) | 0.159(0.103) |
| Most active level of analysis 5 ( 1 = North America/Europe, 0 = otherwise) | -0.100(0.129) | 0.070(0.119) |
| Thematic area of concentration 1 (1 = Impact of AKST on development, 0 = otherwise) | 0.033(0.164) | -0.107(0.152) |
| Thematic area of concentration 2 (1 = Prospective/outlook, 0 = otherwise) | -0.224(0.142) | -0.359***(0.131) |
| Thematic area of concentration 3 ( 1 = Policy, 0 = otherwise) | -0.407***(0.140) | -0.412***(0.130) |
| Thematic area of concentration 4 ( 1 = AKST investments and economic returns, 0 = otherwise) | -0.437*(0.247) | -0.855***(0.229) |
| Thematic area of concentration 5 ( 1 = two or more of the above themes, 0 = otherwise) | 0.034(0.114) | -0.105(0.105) |
| Work organization 1 ( 1 = Universities, 0 = otherwise) | -0.087(0.116) | -0.086(0.108) |
| Work organization 2 ( 1 = national public other than agricultural research institutes, 0 = otherwise) | -0.166(118) | -0.137(0.109) |
| Work organization 3 ( 1 = IARC and other international agencies, 0 = otherwise) | -0.079(0.136) | -.0125(0.126) |
| Work organization 4 ( 1 = Civil Society Organization or NGO, 0 = otherwise) | -0.033(0.155) | 0.063(0.144) |
| Work organization 5 ( 1 = Private sector organization, 0 = otherwise) | -0.239(0.215) | -0.359*(0.199) |
| Work organization 6 ( 1 = Consultant/self-employed, 0 = otherwise) | -0.026(0.160) | 0.007(0.148) |
| Other affiliation (1= yes, 0=No) | 0.1455*(0.082) | -0.085(0.076) |
| Function within the primary organization 1 ( 1 = Technical Advisor and Consultant , 0 = otherwise) | 0.039(0.111) | -0.146(0.111) |
| Function within the primary organization 2 ( 1 = Scientists and Researcher, 0 = otherwise) | 0.047(0.107) | -0.008(0.099) |
| Function within the primary organization 3 ( 1 = Research Manager, Div. Leader, 0 = otherwise) | 0.075(0.113) | -0.027(0.104) |
| Function within the primary organization 4 ( 1 = Program Leader, 0 = otherwise) | 0.000(0.138) | -0.076(0.127) |
| Type of participation 1 (1 = Coordinating Lead Author, 0 = otherwise) | 0.171(0.134) | 0.045(0.124) |
| Type of participation 2 (1 = Lead Author and Contributing Author , 0 = otherwise) | -0.023(0.122) | 0.021(0.113) |
| Type of participation 3 ( 1 = Synthesis, review editor and revision, 0 = otherwise) | 0.058(0.186) | 0.316*(0.172) |
| Type of participation 4 ( 1 = Reviewer, 0 = otherwise) | -0.105(0.176) | -0.092(0.163) |
| Type of participation 5 ( 1 = General participants, 0 = otherwise) | -0.300*(0.166) | -0.1445(0.154) |
| Duration of participation ( No. of years) | -0.014(0.026) | -0.005(0.024) |
| Served as reviewer (1=Yes, 0= No) | -0.145(0.099) | -0.094(0.092) |
| Served on a synthesis writing team (1=Yes, 0= No) | -0.181*(.0093) | -0.068(0.086) |
| Dropped out of the process (1=Yes, 0=No) | -0.236**(0.093) | -0.420***(0.086) |
| Frequency of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | -0.004(0.010) | 0.191**(0.093) |
| Frequency of the IAASTD website consultation 2 (1= time to time, 0= otherwise) | 0.217*(0.116) | 0.610***(0.107) |
| Frequency of the NGO discussion of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | 0.126(0.087) | 0.006(0.081) |
| Frequency of the NGO discussion of the IAASTD web consultation 2) (1= time to time, 0= otherwise) | 0.171(0.129) | 0.061(0.119) |
| Constant | 2.562***(0.246) | 3.080(0.228 ) |
| $R^2$ | 0.3019 | 0.4475 |
| $\chi^2$ (34) | 99.47*** | 186.31*** |
| Breusch-Pagan test of independence $\chi^2$ (1) = 53.843*** | | |

Notes: *Significant at 10 per cent, **Significant at 5 per cent, and ***Significant at 1 per cent; Estimated standard errors are in parentheses.

*1. Perceived usefulness of the IAASTD products as influenced by respondents' involvement in various levels of analysis*

Compared to the respondents involved in the analysis at the global level, those active in the LAC studies perceive **greater usefulness** of the regional summary documents, but not the global summary documents.

*2. Perceived usefulness of the IAASTD products as influenced by respondents' involvement in various thematic areas*
Compared to the respondents who concentrated on conceptual and historical analyses, those involved in the analysis of perspective and outlook perceive **lesser usefulness** of *global summary documents*, but not regional summary documents.

Compared to the respondents who concentrated on conceptual and historical analyses, those involved in policy analysis and analysis of the AKST investments and economic returns perceive **lesser usefulness** of the regional as well as global summary documents.

*3. Perceived usefulness of the IAASTD products as influenced by respondents' work organizations*
Compared to the respondents who work in national agricultural research institute, those in private sector organizations perceive **lesser usefulness** of the *global summary documents*, but not the regional summary documents.

Compared to the respondents who are affiliated to the AKST solely as a result of their primary work organization, those with multiple affiliations perceive **greater usefulness** of the *regional summary documents* but not the global summary documents. Nearly 40 per cent of the respondents have secondary affiliation as board member of NGOs and Civil Society Organizations, followed by the member of national agricultural research institute (19.46%), member of national ministries and specialized institutes (16.78%), member of sub-regional organization (14.77%), member of international agricultural research centre (13.42%), member of technical agency (10.74%), member of multilateral donor program (2.68%), and member of bilateral development agency (0.67%).

*4. Perceived usefulness of the IAASTD products as influenced by respondents' functions within the primary work organization*

There are no perceived differences on the usefulness between respondents with various functions within their primary organizations.

*5. Perceived usefulness of the IAASTD products as influenced by type and duration of participation in the IAASTD*
Compared to the respondents who participate in governance and design of the IAASTD process, those involved in writing synthesis, editing and reviewing the manuscript perceive **greater usefulness** of the *global summary documents*, but not the regional summary documents. The participants of various meetings without a specific role in the IAASTD process perceive **lesser usefulness** of the *regional summary documents* but not

the global summary documents. Those who served on a synthesis writing team perceive **lesser effectiveness** of the *regional summary documents* but not the global summary documents. Those who drop out of the IAASTD process for various reasons perceive lesser effectiveness of the regional as well as global summary documents.

*6. Perceived usefulness of the IAASTD products as influenced by the frequency of website consultation*

Compared to the respondents who never consulted the IAASTD website, those who consulted once or twice during the last three months perceive **greater usefulness** *of the global summary document* but not the regional summary documents. Those who consulted time to time perceive **greater usefulness** of the regional as well as global summary documents.

The perceived usefulness of the IAASTD documents does not differ between those with varying level of the consultation with the NGO discussion of the IAASTD website.

#### Usefulness of the knowledge gained from the IAASTD

Eight items about the usefulness of the knowledge gained from the IAASTD processes were subjected to CFA. Since the item about usefulness in 'seeking funding for professional work' was cross loaded on both factors, it was eliminated in the final analysis. Thus, the 7X7 correlation matrix gives determinant $|\mathbb{R}| = 0.005$. This indicates that there is at least one linear dependency in the matrix and the items are factorable. The Bartlett's test gives calculated $\chi^2 = 1188.599$ with df = 7 (7-1)/2 = 21. Since the p-value = 0, we reject the null hypothesis that the correlation matrix is not an identify matrix in favour of the alternative hypothesis that there is relationships among the items. The KMO Test for sampling adequacy gives marvelous result with a value of 0.92.

The two underlying factors that explain the usefulness of the knowledge gained from in the IAASTD processes are labeled as follows: (1) usefulness in *professional development*, and (2) *usefulness in policy influence and advocacy*. These factors are interdependent because the extracted factors were subjected to an oblique rotation (Table 6).

**Table 6. Usefulness of the knowledge gained from the IAASTD**

| Items | Common factor loadings | | Uniqueness |
|---|---|---|---|
| | 1 | 2 | |
| *Factor 1: Professional development* | | | |
| Use in formulating new projects for research and development (Item#2) | **0.75114** | 0.15009 | 0.24096 |
| Use in lecture and presentations (Item#1) | **0.73916** | 0.15160 | 0.25940 |
| As authoritative scientific reference for professional writing (Item#3) | **0.55816** | 0.34851 | 0.26972 |
| *Factor 2: Policy influence and advocacy* | | | |
| In discussions with policy and decision makers (Item#5) | 0.20559 | **0.70402** | 0.24089 |
| In bringing divergent stakeholders together (Itme#8) | 0.13131 | **0.62272** | 0.47001 |
| As authoritative reference in advocacy (Item#4) | 0.25033 | **0.60398** | 0.34148 |
| In changing my own understanding of a problem (Item#7) | 0.26727 | **0.54466** | 0.40944 |
| No. of items in respective factors | 3 | 4 | |
| Mean±SD | 2.37± 0.88 | 2.41± 0.79 | |
| Cronbach's α | 0.90 | 0.88 | |
| Variance explained by the factor (%) | 45.60 | 16.99 | |
| Extraction Method: Common Factor Analysis<br>Rotation Method: Promax Rotation (3.0)<br>Overall Cronbach's α = 0.93 | | | |

**Table 7. Seemingly unrelated regression coefficients for the two underlying factors of the usefulness of the knowledge gained from the IAASTD**

| Variables | Professional development | Policy advocacy |
|---|---|---|
| Most active level of analysis 1 ( 1= Sub-Sahran Africa, 0= otherwise) | 0.026(0.159) | -0.089(0.138) |
| Most active level of analysis 2 ( 1= Central, West Asia, North Africa, 0= otherwise) | -0.149(0.182) | -0.025(0.158) |
| Most active level of analysis 3 (1= East, South Asia and Pacific, 0= otherwise) | 0.098(0.197) | 0.339*(0.171) |
| Most active level of analysis 4 ( 1 = Latin America and Caribbean, 0 = otherwise) | 0.097(0.152) | 0.148(0.132) |
| Most active level of analysis 5 ( 1 = North America/Europe, 0 = otherwise) | -0.156(0.176) | 0.020(0.154) |
| Thematic area of concentration 1 (1 = Impact of AKST on development, 0 = otherwise) | -0.100(0.225) | -0.111(0.196) |
| Thematic area of concentration 2 (1 = Prospective/outlook, 0 = otherwise) | -0.657***(0.195) | -0.613***(0.169) |
| Thematic area of concentration 3 ( 1 = Policy, 0 = otherwise) | -0.461**(0.193) | -0.278*(0.167) |
| Thematic area of concentration 4 ( 1 = AKST investments and economic returns, 0 = otherwise) | -0.460(0.339) | -0.658**(0.294) |
| Thematic area of concentration 5 ( 1 = two or more of the above themes, 0 = otherwise) | -0.097(0.156) | -0.173(0.136) |
| Work organization 1 ( 1 = Universities, 0 = otherwise) | -0.078(0.160) | 0.047(0.139) |
| Work organization 2 ( 1 = national public other than agricultural research institutes, 0 = otherwise) | -0.296*(0.162) | -0.038(0.141) |
| Work organization 3 ( 1 = IARC and other international agencies, 0 = otherwise) | -0.357*(0.187) | -0.158(0.162) |
| Work organization 4 ( 1 = Civil Society Organization or NGO, 0 = otherwise) | 0.404*(0.213) | 0.574***(0.185) |
| Work organization 5 ( 1 = Private sector organization, 0 = otherwise) | -0.231(0.295) | -0.012(0.256) |
| Work organization 6 ( 1 = Consultant/self-employed, 0 = otherwise) | -0.162(0.220) | 0.054(0.191) |
| Other affiliation (1= yes, 0=No) | 0.139(0.113) | 0.101(0.098) |
| Function within the primary organization 1 ( 1 = Technical Advisor and Consultant , 0 = otherwise) | 0.152(0.165) | -0.039(0.143) |
| Function within the primary organization 2 ( 1 = Scientists and Researcher, 0 = otherwise) | 0.235(0.467) | 0.105(0.127) |
| Function within the primary organization 3 ( 1 = Research Manager, Div. Leader, 0 = otherwise) | -0.020(0.155) | -0.035(0.135) |
| Function within the primary organization 4 ( 1 = Program Leader, 0 = otherwise) | -0.106(0.189) | -0.072(0.164) |
| Type of participation 1 (1 = Coordinating Lead Author, 0 = otherwise) | 0.366**(0.184) | -0.049(0.160) |
| Type of participation 2 (1 = Lead Author and Contributing Author , 0 = otherwise) | 0.374**(0.167) | -0.053(0.145) |
| Type of participation 3 ( 1 = Synthesis, review editor and revision, 0 = otherwise) | 0.506**(0.256) | 0.284(0.222) |
| Type of participation 4 ( 1 = Reviewer, 0 = otherwise) | -0.020(0.241) | -0.277(0.210) |
| Type of participation 5 ( 1 = General participants, 0 = otherwise) | 0.151(0.228) | -0.193(0.198) |
| Duration of participation ( No. of years) | 0.003(0.036) | -0.012(0.031) |
| Served as reviewer (1=Yes, 0= No) | -0.066(0.137) | -0.160(0.119) |
| Served on a synthesis writing team (1=Yes, 0= No) | 0.056(0.128) | 0.038(0.111) |
| Dropped out of the process (1=Yes, 0=No) | -.0.527***(0.128) | -0.660***(0.111) |
| Frequency of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | -0.021(0.137) | 0.029(0.119) |
| Frequency of the IAASTD website consultation 2 (1= time to time, 0= otherwise) | 0.453(0.159) | 0.441***(0.138) |
| Frequency of the NGO discussion of the IAASTD website consultation 1 (1=once or twice, 0= otherwise) | 0.090(0.120) | 0.069(0.104) |
| Frequency of the NGO discussion of the IAASTD web consultation 2) (1= time to time, 0= otherwise) | 0.124(0.177) | -0.033(0.534) |
| Constant | 2.166***(0.339) | 2.571***(0.294) |
| $R^2$ | 0.3967 | 0.4331 |
| $\chi^2$ (34) | 151.23*** | 175.71*** |
| Breusch-Pagan test of independence $\chi^2$ (1) = 127.207*** | | |

Notes: *Significant at 10 per cent, **Significant at 5 per cent, and ***Significant at 1 per cent; Estimated standard errors are in parentheses.

*1. Perceived usefulness of the knowledge gained from the IAASTD as influenced by respondents' involvement in various levels of analysis*

Compared to the respondents involved in the analysis at the global level, respondents active in the ESAP studies perceive **greater usefulness** of the knowledge gained from the IAASTD in terms of *advocacy and policy influence*.

*2. Perceived usefulness of the knowledge gained from the IAASTD as influenced by respondents' involvement in various thematic areas*

Compared to the respondents who concentrated on conceptual and historical analyses, those involved in the analysis of perspective/outlook and policy perceive **lesser usefulness** of the knowledge gained from the IAASTD in terms of both professional development and policy advocacy.

Compared to the respondents who concentrated on conceptual and historical analyses, those involved in the analysis of the AKST investments and economic returns perceive **lesser usefulness** of the knowledge gained from the IAASTD in terms of *policy advocacy* but not in terms of professional development.

*3. Perceived usefulness of the knowledge gained from the IAASTD as influenced by respondents' work organizations*

Compared to respondents who work in national agricultural research institute, those in other public institutes, IARC and other international agencies perceive **lesser usefulness** of the knowledge gained from the IAASTD in terms of *professional development* but not in terms of policy advocacy. However, those in Civil Society Organizations perceive **greater usefulness** of the knowledge in terms of professional development as well as policy advocacy.

*4. Perceived usefulness of the knowledge gained from the IAASTD as influenced by respondents' functions within the primary work organization*

There are no perceived differences on usefulness of the knowledge gained from the IAASTD process between respondents with various functions within their primary organizations.

*5. Perceived usefulness of the knowledge gained from the IAASTD as influenced by type and duration of participation in the IAASTD*

Compared to the respondents who participate in governance and design of the IAASTD process, Coordinating Lead Authors, Lead Author, Contributing Author, synthesis writers, Review Editors and those involved in the post-plenary revisions perceive **greater usefulness** of the knowledge gained in terms of *professional development*, but not in terms of policy advocacy.

Compared to the respondents who continued the IAASTD process, those who drop out of the process perceive **lesser usefulness** of the knowledge gained in terms of both professional development and policy advocacy.

*6. Perceived usefulness of the knowledge gained from the IAASTD as influenced by the frequency of website consultation*

Compared to the respondents who never consulted the IAASTD website, those who consulted time to time perceive **greater usefulness** of the knowledge gained in terms of *policy advocacy*, but not in terms of professional development.

The perceived usefulness of the IAASTD documents does not differ between those with varying level of use of the NGO discussion of the IAASTD website.

The above findings from the Survey are integrated into the discussion of the various reports by the regional evaluators and in the Global report. Both the structured information and the open-ended responses have been useful.

- They have helped the team frame discussion with respondents contacted by telephone and email beyond the Survey itself,
- The Survey served as an introduction to the evaluation and responses saved time for more effective contact of respondents.
- The self-selection of respondents for further discussion helped the team reach those with something they wanted to say; many who would not have been reached if the team had rounded up the usual suspects or followed links of friends-to-friends.

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## *Annex 3: Evaluation of Critical Processes Seen Through Key Events*

**Developing the Proposal: The consultative phase**

Clark argues that much of the success of an assessment is determined by decisions that are taken during its preparation. IAASTD benefited from a global consultative process to assess the need for an assessment of the "role of agricultural science and technology in reducing hunger, improving rural livelihoods and stimulating economic growth over the coming decades"[38]

The underlying thesis[39] was that

- An international assessment could provide stakeholders (governments, private sector, NGOs, producers, consumers, international organizations, and research institutions) with the information they need,
- International assessments can raise awareness and prompt informed action by all stakeholders—especially useful for contentious and complex regional and global issues.

| Date | Location | Key Discussion and Decisions |
|---|---|---|
| 6-8 Nov 2002 | Dublin, Ireland<br><br>Steering Committee | • Discussion: 1) nature of an "assessment", 2) Organizational options: inter-governmental[40] versus non-governmental mechanism[41], or a "hybrid". 3) Review draft principles and procedures (from IPCC).<br>• Outcome: 1) World Bank committed to initiate consultative process that would define scope and questions for the assessment. 2) Co-chairs would propose and select an inclusive[42] Steering Committee (SC) ; 2) Design consultative process; 3) SC use website, video conferences, 4) Propose regional consultations, 5) Oversight of process by Secretariat in World Bank |
| 31 Jan 2003 | Nairobi, Kenya SSA Presentation | Outcome: Assessment endorsed (with reservations). Should focus on the local level and be as inclusive as possible. Should use the SROs |
| 31 Mar-1 April 2003 | Paris, France European Regional Consultation | Discussion: 1) poverty reduction as the organizing framework; 2) include economic, political and social sciences; 3) technology includes governance and management systems; 4) need to assess S&T needs for the future for a range of demographic and political scenarios; 5) trade regimes are not within the perimeters of the assessment.<br>Recommendations: 1) recognize core issues for Europe: Diversification, production, multifunctionality, and the environment; 2) Trade and markets viewed as contextual issues; 3) There was no predisposition for bioscience; 4) Risk and benefit assessment is a |

[38] Description of the first meeting, Dublin, Ireland.
[39] Robert Watson. PowerPoint presentation
[40] Based on IPCC model.
[41] Based on Millennium Ecosystem Assessment model
[42] Steering Committee constituted "with all due consideration for the inclusion of individuals with extensive, appropriate scientific, technical and policy expertise; effective north-south and gender balance; as well as individual representing key stakeholder groups.

| Date | Location | Key Discussion and Decisions |
|---|---|---|
| | | contentious issue (e.g. have different perspectives); 5) IPR was seen as more of an issue than in other regional consultations; 6) IAASTD should not be embedded in one institution. |

The Team has talked with several people who were at the Dublin meeting. According to a CSO report[43], the VP of the World Bank voiced two understandings: 1) that if there was any suggestion that the process was not totally open and inclusive then the CSOs would have every right to walk away from the process, and 2) that the assessment would focus on agriculture and agro-ecosystems writ large, i.e., an agro-ecological perspective that includes the whole value chain and includes environmental and social responsibility especially to small farmers, herders and fisher folk in the South. In a second report[44], the CSO also underlined their contributions in Dublin to include that the assessment would

- Consider ALL knowledge systems and science views (including "farmer-driven science) and technologies for" agriculture and its relationship to food sovereignty,
- Equitable membership of governance structures, and
- No hidden agendas to use process to promote specific technologies, e.g. Genetic engineering"

In all there were 11 regional consultations. The two examples above (Nairobi and Paris) are indicative of the oft-expressed regional voices arguing in favor of strong sub-global studies.

The Steering Committee met in Cork, Ireland (June 2003) and Budapest, Hungary (August 2003). At the Cork meeting, a strong debate took place over the addition of "all knowledge systems and science views" and this becomes the "K" that later appears in "AKST" ("agricultural knowledge, science and technology" but which is not found in the acronym of IAASTD itself.

The report of the Steering Committee[45] expressed the goal as follows:

> Our goal is provide decision makers with the information they need to reduce hunger and poverty, improve rural livelihoods, and facilitate equitable, environmentally, socially and economically sustainable development through the generation, access to, and use of agricultural knowledge, science and technology.

The SC report (August, 2003) established clearly the character of the Assessment as taking an "interlinked short, medium and long-term perspective, using a multi-disciplinary approach to address the full range of agricultural products and services. It would take a critical retrospective of AKST and the effectiveness of institutional arrangements as well as focus on critical areas identified during the process in relation

[43] 20 Nov 2002 CSO report of meeting
[44] Mulvany, Patrick. 25 March 2003. CSO Views (based on Bob Watson presentation to Dublin Meeting with additional slides expressing CSO views.)
[45]. An Assessment of Agricultural Science and Technology for Development: Final Report of the Steering Committee for the Consultative Process on Agricultural Science and Technology. 12

to a plausible range of future scenarios. The expected outcomes of the assessment and its operational characteristics were largely incorporated in the project proposal.

The Assessment would:

- be conducted using an open, transparent, representative and legitimate process
- involve a representative set of experts from all relevant stakeholder groups in the preparation of the Assessment using local and institutional knowledge
- be intellectually rigorous (peer and stakeholder reviewed), but accessible and
- comprehensible to non-specialists
- complement, not duplicate, a number of ongoing activities3
- be policy relevant, not policy prescriptive
- incorporate gender analysis
- encompass risk and benefit analysis
- develop a consensus on what is known and unknown, explain different points of view and identify, and where possible quantify, the uncertainties
- assess options for action
- incorporate capacity-building activities
- incorporate a continuous and effective outreach and communications strategy

The SC recommended an intergovernmental structure with a multi-stakeholder Bureau. Decisions would be taken by governments in plenary meetings, open to all stakeholders, taking into account the recommendations of the Bureau, where appropriate. The expectation was that the

> …proposed intergovernmental process should ensure ownership by governments, while the integrated Bureau allows the full range of stakeholders to meet as a single body creating opportunities for constructive exchanges and building consensus.

It was further recommended that "given the breadth of issues to be covered, and the desire that no single agency be allowed to dominate the process, the Assessment should be co-sponsored by a combination of the World Bank, FAO, WHO and UNEP, while encouraging the participation of other agencies such as UNDP, UNESCO and IFAD. Operational principles, copied from the IPCC were annexed to the report. These specified precise roles and terms of reference for the various parties: Bureau, Secretariat, Lead Authors, Reviewers, and Editors. These later became the proposals for discussion at the First Plenary, held in Nairobi, August 30-September 3, 2004.

In a brief report on the final session of the Steering Committee held in Budapest, an NGO member[46] lauded the participation of a "probably unprecedented range of different stakeholders". The report noted that as a result of negotiation the Assessment would focus on the issue of agricultural knowledge, science and technology, but take into account the general conditions…of their development. Its scope was also broadened: "while it was initially proposed in the context of the dispute about the use of GMOs it is now proposed to look at all available knowledge (including so called traditional knowledge), science and production methods". Coming a time of proposed reform for the CGIAR, "its impacts should not be underestimated". He recommended active support and participation with a special emphasis on finding experts of all realms who could contribute and serve as lead

[46] Benny Haerlin, Brief report on the final session of the Steering Committee for an Assessment of Agricultural Science and Technology for Development

authors in certain fields. Noting the strategic opportunity created for NGOs to have an impact, he underlined the importance of serious participation:

> None of the beneficial features mentioned above will come for free and by themselves – we now have a forum to push for a real bottom up assessment and broad stakeholder involvement, but it will only work with continued and concerted pressure and input especially from the NGO side. But we would expect substantial support for such an approach within many national and international participants.

**Endorsement: The First IAASTD Plenary, 30 August-3 September 2004, Nairobi, Kenya**

The report of the First Plenary Meeting of IAASTD[47] opened with a message stressing the uniqueness of the initiative, which brought together six co-sponsoring agencies, FAO, UNDP, UNEP, UNESCO, World Bank, and WHO as well as stakeholders from governments, producer and consumer groups, agricultural research institutions, NGOs and the private sector, many of whom were involved in the consultative and participatory process over the previous two years Government representatives (45 countries present) decided to go ahead with the Assessment. They agreed on the content and scope of the Assessment and adopted outlines and procedures, a time-table and a baseline-budget of US$ 10.78 Million.

It was decided that IAASTD would be conducted as an intergovernmental process with a multi-stakeholder Bureau consisting of 30 government representatives, 22 representatives of civil society and 8 representatives of international institutions was established to oversee the process. The Director of the Secretariat would be Dr. Robert Watson while the two co-chairs identified by the Bureau were Dr. *Hans Herren* and Professor *Judi Wakhungu*.

Questions for the global and sub-global assessments were included in an Annex to the meeting report referred to the Bureau with the provision that "Additional questions, consistent with the broad framework approved by the Plenary, can be taken into account by the design teams"[48]. Principles and procedures for governance and selection of authors, review editors and the preparation and approval processes were forwarded to the Bureau for review and approval. The Bureau would be responsible for developing outreach and communications, and capacity building strategies.

The Bureau met following the Plenary and took a number of decisions that basically ratified the decisions in plenary and further:

- Set up a procedure for nomination of the Co-Chairs
- Called for nominations for design teams (global and sub-global)
- Set dates for Bureau meetings,
- Identified Regional Coordinating Organizations for the sub-global studies
- Set a deadline for comments on the Principles and Procedures.

The NGO committee[49] listed its expectations:

- A global Encyclopedia of agricultural solutions

[47] Report of the First Plenary Meeting of the International Assessment of Agricultural Science and Technology for Development (IAASTD) 30-August -3 September 2004, Nairobi Kenya
[48] Decision 3 (op. cit.)
[49] Haerlin, B. IAASTD: Global and regional assessment of the knowledge available and required to reduce poverty and hunger through sustainable agriculture, 2004-2007: A report. Greenpeace International. September 2004.

- *Minima moralia*: minimal basic agreements on resource management and sustainability goals and common language regarding environment, sustainability and precaution.
- A sufficiently fair battleground: a good chance for NGOs, local communities, producers' organizations and other stakeholders to make substantial contributions regarding the initial questions, the input of knowledge to be taken into account and the relevance of this information. General political statements such as GMOs are no solution to hunger in the world…can certainly not be expected.
- A benchmark for future investments in rural development and sustainable agriculture. Specific concerns were: the radical shift from public to private control of agricultural R&D, including the impact of intellectual property rights
- A challenge to claims that S&T could improve the situation of the poor and hungry[50].

The NGO representative also highlighted the risks:

- Lack of participation: There is still skepticism. "The outreach of the preparatory process has been substantial, yet not comprehensive. It will be up to the very next steps and the credibility of the upcoming design exercise whether the IAASTD gains the momentum and trust necessary to fulfill its mission.
- Lack of resources: the funds barely cover the costs of meetings, travel, administration and public communication. Additional funds should be predominantly devoted to increasing the outreach to local communities and regional partners. (An internet based process will not reach communities and farmers).
- Abuse: The Nairobi plenary demonstrated the "highly contradictory and competing agendas of the players in the room and each have their own strategies of how to make use of this exercise. Whoever participates in the IAASTD on the pretension of convincing or overwhelming the other stakeholders of the absolute truth of (his) own particular perspective and truth will be, hopefully, disappointed in the end.[51]

Critical factors for success included:

- Securing the budget
- Identification of two chairpersons (who preside over the Bureau and who will play a key role in representing IAASTD to the public and various stakeholders.
- Identification of experts for the design team. "As the questions determine answers, this is probably the most critical phase of the exercise. Around 800 suggestions have been submitted so far to this end. However, at least from the NGO perspective critical "heavyweights" are still missing.

[50] Ibid. "A publicly accessible Assessment of the impacts of Science and Technology on Agriculture and Development, controlled by an intergovernmental plenary and conducted by a multi-stakeholder Bureau, is probably the strongest possible challenge to claims that S&T could improve the situation of the poor and hungry. Where is the proof, what is the evidence, what has been delivered to whom? Vested interests and ignorance, corruption and incompetence, prejudice and hubris, should be afraid of such an exercise. Farmers, scientists, NGOs, extension specialists and civil servants with a genuine interest in moving things forward should be able to grasp the chances such a process provides."

[51] However, there is suspicion on all sides that the process could be abused to legitimate practices and goals of the "other side" could discredit present beliefs and strategies. Issues such as genetic engineering, patents, the value of market expansion, legitimate access to land and other resources, national versus international control are all highly contentious. They will all be battlegrounds regarding the evidence, its accepted relevance and last not least the language used (i.e. the underlying values) to express the findings".

- Establishment of one international and five regional secretariats
- Creation of a global communications process: "…a lot will depend on whether the participating stakeholders will take up ownership and start a communication process within their respective communities to ensure the necessary quality and quantity of participation. (This report referenced the official website and provision website for an NGO forum on IAASTD and an existing joint website of some NGOS on sustainable solution).

**Finalization of processes: Second Bureau Meeting, Montpellier, France, 25-27 May 2005**

At its meeting in Montpellier, the Bureau took decisions on the following:

1. Approved the IAASTD conceptual framework
2. Approved the annotated outlines for the IAASTD global and sub-global assessments
3. Budget and finances and specifically
   - Approval of the budget
   - Travel support for OECD, academic, civil society and government authors
   - Compensation for co-chairs
   - Honoraria.
   - Establishment of a finance committee
4. Philosophy of, process for author selection and establishment of a sub-committee for selection of authors
5. Establish an outreach committee
6. Approval of Principles and Procedures
7. Time schedule
8. Website: alternative websites and privacy concerns.
9. Process for developing a set of indicators to be used throughout IAASTD.

The decisions with strategic or financial implications were:

- Conceptual Framework: endorsement of two compatible conceptual frameworks to guide the global and sub-global assessments. The first provides a worldview, which places AKST as one driver among a larger group of drivers of change affecting the development and sustainability goals. The second provides a framework to guide the way the Assessment will explore how AKST relates to and interacts with other drives, agricultural goods and services and the development and sustainability goal.
- Approve a process to facilitate travel funding for OECD experts: agreed to investigate possible approaches at the national level to ensure that travel funds would be available to ensure the participation of OECD experts in the global and NAE sub-global assessment.
- Approve criteria for honoraria, amount and time of payment: Coordinating Lead Authors (CLAs) from non-OECD countries were eligible for an honorarium of $2,000 in respect of their coordinating functions. The Secretariat was given authority to use the remaining funds allocated for honoraria as they deem appropriate Up to seven Lead Authors (LA) per sub-global assessment who are responsible for accessing and assessing local knowledge were made eligible for an honorarium of $1,000.
- Approve of process to select authors for the Global Assessment:
  - Bureau draft the call for authors with responsibilities and time requirements of authors and review editors;

    - (Process for dissemination through donor member networks, NGO networks and personal networks of individuals
    - Secretariat to map nominations against the approved annotated outline, and send mapped list to the selection committee (20 members)
    - If four or more members of the Bureau objected to the selection of a CLA or LA the committee would take this into consideration in making a recommendation to the Bureau.
    - Selection becomes effective one week after the Bureau receives a recommendation from the Selection Committee on a 'no objection" basis (four objections required).
- Approval of process to select authors fro the Sub-Global Assessments
    - The approved annotated outline of the Sub-Global Assessment would be sent to all governments/institutions within their regions with a "selling document", a document explaining responsibilities and time requirements (CLA: 6-8 weeks/year, LA 1 month/year)
    - CLAs can recommend LA collaborators but must obtain approval of the Bureau
    - The Secretariat/Regional institutes will map the nominations against the approved annotated outline and send the mapped list to the regional selection committees (composed of regional and institutional Bureau members).
    - Approval of series of scenario design team meetings.
    - Called for an email approval of payment of honorarium to the developing country co-chair using funding from outreach, communications and publications.
    - Approved principles and procedures from IPCC with "changes in language on decision making and a few other minor changes"
    - Agreed that the Secretariat should develop a short paper on indicators within three months.

A report by the Greenpeace member of the Bureau and NGO *de facto* rapporteur[52] provided a bit more detail on process and some concerns:

- Continued shortfall of $ 1 million in budget
- "Massive concerns about language barriers for translation, access to documents and participation of authors who do not speak English
- Lack of funding for travel expenses of authors from OECD countries
- The critical necessity of getting the right authors: "Only 65 experts had been nominated so far out of a total number of 500-700 required from which to select around 120 authors for the global assessment and 250 for the five sub-global assessments. This required a clearer statement of requirements, reduced time commitment, and a more rapid approval process (e.g. on a non-objection basis).
- The procedure for decision making was rather unclear. The decision was described as follows:

    Proposals from sub-committees, the Secretariat, and coordinating lead authors (e.g. additional lead authors) will be considered as accepted 5 working days after transmission to the Bureau members unless a minimum

[52] Benny Haerlin, (31/05/2005) Complement to Official Minutes of 2nd meeting of IAASTD Bureau, Montpellier, May 24-28 2005 (www.iaastd-watch.org)

of 4 Bureau members file an objection, in which case these objections must be taken into account before a final decision is made[53].

- Greenpeace and Consumers International were named to the sub-committee on communication and outreach, including internal communication and website[54].

A foretaste of the controversy over the use of scenarios to create "plausible futures" was given in the report. The author recognized that many of the co-sponsoring agencies were heavily committed to the approach (WB, UNEP, UNDP, and FAO) as well as the Secretariat (having imported the plausible futures idea from the MA). His position and his approach are expressed as follows:

> Our pledge to clearly separate fiction of these scenarios from the realities of the historic lessons and the concrete suggestions of Section IV, which is to make recommendations about the way forward, was met with little amusement of the Secretariat and other members of the co-sponsoring agencies, who are deeply convinced about this new method of assessments, but was supported by some non-NGO Bureau members as well….
>
> In addition to our ongoing criticism of the ambiguous character of this scenario exercise (between science, fiction and dire presentation of political assumptions as scientific findings) working on the further development of the scenarios seems to be one of the big challenges for NGOs in this context.

After admitting that scenarios do have some merits in widening the horizon of participants as to how the world will look in 20-50 years time, i.e. beyond the time limits of serious predictions, he laid out a strategy for the NGOs.

> There will be 3 meetings with respect to the scenarios. A small meeting of experts on the methodology at FAO in Rome (July 19), a meeting at UNP for their GEO scenario building, which will be enriched by experts who should add the agricultural dimension, eventually in August and finally a bigger meeting of around 40 experts within the IAASTD context in September. Selecting and nominating "broadly forward thinking persons" who could make a critical and constructive impact especially on this last meeting will be crucial.
>
> A lot of the methodology seems to be still open to discussion, especially the question what can be seriously modeled by computing available quantitative data (see indicators) and which parts should be "narrative", i.e. just described in a qualitative manner.

The foregoing history is longer than intended but it does support a number of key findings. The Team is careful not to treat the "NGO community as an undifferentiated bloc in the IAASTD process. Individual groups had their own perspectives and their associated networks but on the key issues they were able to keep a strategic alliance together and continuity in presence throughout the process. They have made statements as a group after key meetings and collaborated in outreach activities after the Johannesburg plenary.

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[53] The report comments as an aside "We will see how that works."

[54] Greenpeace agreed to change the name of a website they had created under the name of www.iaastd.org to avoid confusion[54] but determined to maintain and improve the NGO website and closely link it with www.farmingsolutions.org.)

**Key Findings:**

1. Although skeptical at the beginning, the NGO participants saw the IAASTD process from the beginning of the Consultative Process as a strategic opportunity to have an impact on the future of agricultural KST and to promote their vision of how it could help achieve the IAASTD goals.
2. They were instrumental during the consultative phase in broadening the scope of IAASTD from an Assessment of agricultural science and technology to agricultural "knowledge, science and technology.
3. Through their information and communication skills, they kept their community aware of opportunities created by IAASTD, apprised of developments, and stimulated their networks in search of authors, review editors and resource persons.[55]
4. Their parallel website has been a useful source of information (official and interpretative) for the evaluation team. It may be one of the best kept secrets of IAASTD since few of the respondents among 230+ respondents made use of it.
5. It appears as if the coherence of the "IAASTD" message by NGO champions is becoming differentiated by its individual users.
6. It is also noted that the CSO/NGO were not the only networks in operation. CropLife is an industry association and the CGIAR Bureau member was Chair of the Alliance of centers supported by the CGIAR during part of his tenure on the Bureau.

[55] Usually with cognate adjectives such as "sympathetic" or "forward thinking".

## *Annex 4: The Complementarity of IAASTD and Other Major Initiatives (TOR 7)*

**Complementarity with WDR, IAC and other studies**

The specific question is "Did it add value to what others are doing?" This question is answered differently by different people. Some of its proponents would argue that it is a substitute that replaces other reviews and assessments because of the importance of its message. To make this case, they would have to show net value added. The Director of the Science Council described it as "complementary" to the World Development Report 2008.

The term "complementarity" implies that a product raises the marginal productivity of its paired product (e.g. salt and pepper). The notion of complementarity between the IAAST and other major documents presumes that they can be used together with some synergy. The focus of IAASTD on local innovation and ecological approaches comes through clearly while IAAST is the only one to highlight the term, if not the concept, of multifunctionality of agriculture. There are differences in the way AKSTD and agricultural innovation is approached in IAASTD and the WDR but they are from the same species, albeit with some different parentage.

We used an on-line text analysis[56] tool to highlight the similarities and differences between the IAASTD, the WDR 2008, the IAC Report on Africa and the National Academies of Science report on Emerging Technologies for Sub-Saharan Africa (2004) and South Asia (2004). The Overview chapters for each of these studies were analyzed for the most frequent 4-word phrases.

As Table A4.1 (overleaf) shows, they have similar understandings of the importance of knowledge, science and technology but their visions are different.

The WDR is more focused on productivity, economies of scale and growth linkages while IAASTD heralds local innovation and agro-ecological approaches. The IAC bridges productivity and a production ecological approach while highlighting the need for centers of agricultural research excellence and a new generation of agricultural scientist. The NAS panel on emerging technologies mentions the farmer but is an assessment of the potential offered by technology and its application in two regional contexts.

[56] http://www.online-utility.org/text/analyzer.jsp

**Table A4.1 Text Analysis: 10 Most Frequent 4-Word Phrases in IAASTD and Comparator Documents**

| | Overview of World Development Report | Synthesis of Global Report IAASTD | Executive Summary InterAcademy Council 2004 | NAS Emerging Technologies for SSA and S Asia 2004 |
|---|---|---|---|---|
| 1 | the rural non-farm economy | (development and sustainability goals | the promise and potential | crop and animal production |
| 2 | the agriculture based economies | traditional and local knowledge | agricultural research and development | technologies to benefit farmers |
| 3 | using agriculture for development | knowledge and community based (innovations) | productivity and food security | site specific gene integration |
| 4 | and the rural poor | human health and nutrition | formal and informal barriers | climate and weather prediction |
| 5 | the private sector and | and local knowledge and | new generation of agricultural scientists | agriculture and natural resources |
| 6 | pathways out of poverty | the multifunctionality of agriculture | (participatory) science and technology pilot | emerging technologies to benefit |
| 7 | economies of scale in | the natural resource base | national agricultural research systems | plant mediated gene silencing |
| 8 | agriculture for development agenda | the role of AKST | (centers) of agricultural research excellence | constraint on agricultural productivity |
| 9 | provider of environmental services | by small scale farmers | for intermediate term impact | photosynthetic microbe based bio-fuels |
| 10 | agriculture based, transforming, urbanized | convention on biodiversity | a production ecological approach | priority technologies for development |

The WDR and IAASTD are the most frequently compared reports. They converge in their understanding of the importance of AKST and that it is more than just R&D. They differ in their assessment of the historical impact of AKST on the poor. The WDR emphasizes the positive impact of productivity through lower food prices to poor in both rural and urban areas and the freeing of land and labor for more productive use while the IAASTD focuses on those who are still in rural poverty and their needs. In similar fashion, IAASTD begins with a nuanced statement admitting the gains from trade but subsequently expressed a belief in the negative consequences of trade. Many reviewers had signaled the unbalanced language and the nuanced statement was the compromise wording. The WDR, largely a product of neoclassical economists, is positive on the gains from trade. Even the revised statement in the SDM was a key element in the reservation that Australia, Canada and the US voiced in Johannesburg.

**Other views of Agricultural KST**

*Regional organizations in developing countries*. The evaluation team was surprised by the absence of authors or formal contribution by the African Sub-Regional Organization, FARA and CAADP. All were in the process of establishing frameworks or doing strategic planning. In the case of ASARECA, GIS analysis of land potential and multi-market modeling with spillover analysis helped them come to a focus on major staples and regional markets. CORAF was looking at similar approaches.

*CSO "Major Groups"*. IAASTD has seen the UN Commission on Sustainable Development as an important target for its message. IAASTD supported the attendance of 4 IAASTD authors representing 5 NGO networks CSD 17 preparatory meeting where the hope was to build a constituency for IAASTD messages among the nine major groups of civil society organizations. Each major group[57] has its own priorities for agriculture in the CSO "matrix", which is a good indication of the difficulty of managing multi-stakeholder processes. The CSD is recognized as one of the most open and participatory official mechanisms and there is a growing literature on how to operate in the system.[58]

[57] There are nine "major groups" as follows: 1) Business and Industry, 2) Children and Youth, 3) Farmers, 4) Indigenous Peoples, 5) Local Authorities, 6) NGOs, 7) Scientific and Technological Community, 8) Women, and 9) Workers and Trade Unions. At the same preparatory meeting, and again in May 2009 at the CSD plenary, there will also be a side meeting on sustainable agriculture organized by Farming First, which brings together industry (CropLife and IFIA), Science (ICSU), and Farmers (IFAP).

[58] Jan-Gustav Strandenaes, Making sense of CSD 16: Opportunities and Interaction during the CSD 16: - a recipe for efficiency and influence for the Nine Major Groups (by UN CSD NGO Co-Organizing Partner and Senior Policy Adviser, ANPED, Northern Alliance for Sustainability

## *Annex 5: Evaluation of Key Processes: Implementation*

#### Introduction

In Annex 3 we identified the consultative process and start of IAASTD from Dublin to the Montpellier meeting of the Bureau when the framework and key policies and procedures of IAASTD were put in place. The Team agrees with Clark's point that much of the effectiveness of an assessment goes back to appropriateness of decisions on structures and procedures that were put in place at the beginning of the assessment.

The bits of history recorded help explain some of the incentives and behaviors of participants. From analysis of the On-Line Survey (Annex 2) and follow up interviews with respondents and key informants, we gained more insight into the effectiveness of IAASTD in performing key processes. In this section, we discuss the following functions:

1. Identifying the need for IAASTD
2. Developing agreement on the governance structure
3. Identifying, selecting and retaining authors and writing teams
4. Managing the peer review process
5. Synthesizing results
6. Negotiating the text in final Plenary.

#### Identifying the need for IAASTD

The Preface to all the reports described the origin of the IAASTD:

> In August, 2002, the World Bank and the Food and Agriculture Organization (FAO) of the United Nations initiated a global consultative process t determine whether an international assess of agricultural knowledge, science and technology (AKST) was needed. This was stimulated by discussions at the World Bank with the private sector and non-governmental organizations (NGOs) on the state of scientific understanding of biotechnology and more specifically transgenics.

During 2003, eleven consultations were held, overseen by an international stakeholder steering committee and involving over 800 participants from relevant stakeholder groups, e.g. governments, the private sector and civil society. In Nairobi, (September 2004) the Steering Committee recommended to an Intergovernmental Plenary meeting that an international assessment of the role of AKST in reducing hunger and poverty, improving rural livelihoods and facilitating environmentally, socially and economically sustainable development was needed.

The evaluation team discovered that there were several reasons why it was methodologically important to look into the actual consultative phase. (See Annex 3). First, the addition of "knowledge" (K) to the original "science and technology" (S&T) was the outcome of a strong debate during one of the consultative meetings (Cork,

Ireland), and significantly the scope of the assessment. Second, as the Global Environment Assessment Project (GEAP) was finding from its study of many such exercises, decisions on institutional arrangements taken during the consultative phase have in impact on the effectiveness of the assessment. The IAAST borrowed widely commended principles and procedures from the Intergovernmental Panel on Climate Change and new initiatives such as the Intergovernmental Panel on Biodiversity and Ecosystem Services are studying the IAASTD experience for lessons.

The outcome of the consultative process is as described above with the footnote that it was at a later stage that:

> The Bureau agreed that the scope of the assessment needed to go beyond the narrow confines of S&T and should encompass other types of relevant knowledge (e.g., knowledge held by agricultural producers, consumers and end users) and that it should also assess the role of institutions, organizations, governance, markets and trade).

This broadening of the scope of IAASTD had significant implications for some of the key processes and for the dynamics of IAASTD.

Some 230 usable responses to the On-Line Survey of IAASTD Participants (see Annex 3), allow us to see how well they thought IAASTD did in identifying the need for such a study in comparison with other related exercises in which they had participated.

**Table A4.1 The Summary of "All Respondents" is shown in Table ( ) below:**

| **20. In comparison with other related exercises in which you may have participated, how do you evaluate the processes of the IAASTD? (Examples of other related exercises are Millennium Ecosystem Assessment, International Panel on Climate Change, InterAcademy Council study on Africa)** | | | | | | |
|---|---|---|---|---|---|---|
| | | | | | ***answered question*** | **229** |
| | | | | | ***skipped question*** | **10** |
| | **No answer** | **Below average** | **Effective** | **Above average** | **Very effective** | **Response Count** |
| Identification of the need for such a study | 23.1% (53) | 12.2% (28) | **28.8% (66)** | 20.1% (46) | 15.7% (36) | 229 |
| Identifying the stakeholders and participants | 21.0% (48) | 14.4% (33) | **27.9% (64)** | **27.9% (64)** | 8.7% (20) | 229 |
| Obtaining political and financial support from a wide coalition of donors | **29.7% (68)** | 10.0% (23) | 27.5% (63) | 25.3% (58) | 7.4% (17) | 229 |
| Implementing a consultative process | 20.5% (47) | 13.5% (31) | **30.1% (69)** | 24.9% (57) | 10.9% (25) | 229 |
| Developing or synthesizing an evidence base for presentation at workshops | **25.3% (58)** | 20.5% (47) | 23.6% (54) | 24.5% (56) | 6.1% (14) | 229 |
| Synthesizing research findings and experience-based findings through the consultative process | 19.2% (44) | 20.5% (47) | **27.1% (62)** | 24.9% (57) | 8.3% (19) | 229 |
| Selection of authors and writing teams | 18.8% (43) | 27.1% (62) | **34.1% (78)** | 16.2% (37) | 3.9% (9) | 229 |

| 20. In comparison with other related exercises in which you may have participated, how do you evaluate the processes of the IAASTD? (Examples of other related exercises are Millennium Ecosystem Assessment, International Panel on Climate Change, InterAcademy Council study on Africa) | | | | | | |
|---|---|---|---|---|---|---|
| | *answered question* | | | | | 229 |
| | *skipped question* | | | | | 10 |
| | **No answer** | **Below average** | **Effective** | **Above average** | **Very effective** | **Response Count** |
| Managing the peer review process | 24.0% (55) | 15.7% (36) | **33.6% (77)** | 21.4% (49) | 5.2% (12) | 229 |
| Dissemination of findings through Website | 25.3% (58) | 16.6% (38) | **34.1% (78)** | 15.7% (36) | 8.3% (19) | 229 |
| Dissemination of findings through published brochures and reports | **33.6% (77)** | 27.1% (62) | 24.9% (57) | 11.8% (27) | 2.6% (6) | 229 |
| Dissemination of findings through public presentations to policy makers | **39.7% (91)** | 26.2% (60) | 21.8% (50) | 10.0% (23) | 2.2% (5) | 229 |
| Dissemination of findings through other media distribution | **41.9% (96)** | 27.5% (63) | 17.0% (39) | 11.8% (27) | 1.7% (4) | 229 |

In IAASTD, the question is always "from whose perspective are you viewing this?" As a first step we look at this from the point of view of those involved primarily in the Global Report versus those involved at the Sub Global Levels (as self-characterized in Question 4). For an International Assessment, we assume that the median response would be that it was "effective". However, if it was judged to be "below average" or either "above average" or "very effective" this would be taken as a statement by the respondent that should be explored in greater depth.

**Question 20 a. Effectiveness in Identifying the Need for IAASTD: By Level of Report (Global versus Sub-Global) (in % of Respondents)**

| Global Report or Sub-Global Respondents | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 28 | 36 | 16 | 21 |
| SSA | 48 | 12 | 16 | 24 |
| CWANA | 33 | 28 | 6 | 28 |
| ESAP | 66 | 17 | 6 | 13 |
| LAC | 37 | 37 | 6 | 19 |
| NAE | 40 | 5 | 20 | 35 |

Generally, IAASTD was deemed to have been "effective" in identifying the need for such an assessment by participants in all the teams. The fact that only 30-50% of respondents believed the case for IAASTD was made in an above average or better way (and more than 20% had no answer) may reflect either the turnover in participants during the process or the way the process evolved from strong emphasis on S&T to strong concern with a broader social science and knowledge systems approach.

It would take too much space to present everything in graphs, but as one example, the above information gives rise to the following graph:

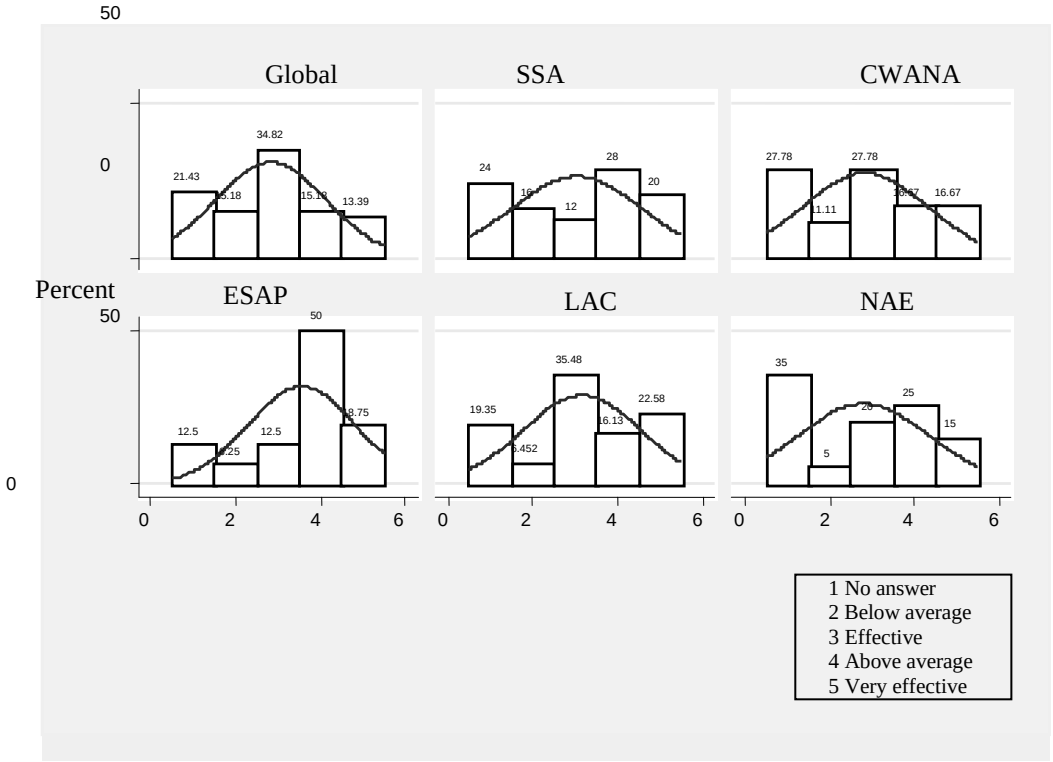


**Figure A2.1. Perception of the effectiveness of the process of identifying the need for IAASTD**

A second perspective would be to see how participants from different affiliations (e.g. NARIs, Universities) viewed the effectiveness of IAASTD in identifying the need for the study.

**Question 20. a. Effectiveness in Identifying Need for IAASTD: in % by Affiliation of Respondent**

| Affiliation of Respondent | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 35 | 28 | 7 | 30 |
| National University | 39 | 34 | 5 | 22 |
| Other Public Institution | 53 | 19 | 13 | 15 |
| NGO/CSO | 58 | 29 | 3 | 10 |
| Consultant | 33 | 36 | 13 | 18 |
| IARC/Technical Agency | 18 | 27 | 36 | 18 |

The only notable difference here shows up in the NGOs almost 60% "above average or very effective" rating of IAASTD's identification of the need for the study versus participants from international centers and technical agencies at only 18%.

In follow up with respondents and other key informants, there were several people who perceived a change in direction of the IAASTD away from a focus on evidence-based S&T assessment to a more values and political assessment of institutions and behaviors and the purpose of the IAASTD became less clear to them.

The key findings:

1. The IAASTD was developed through a process of wide consultation that resulted in a major change in scope from a more narrow assessment of controversial issues in agricultural S&T to a broad assessment of agricultural knowledge, science and technology systems.
2. The creation of a multistakeholder Bureau joined to an intergovernmental process was a governance option that tried to strike a balance in Clark's trade-off between salience, credibility and legitimacy.
3. The assessment was multi-disciplinary, multi-level and eventually had to deal with multiple agendas in the Bureau although the goals were formally on the assessment of how agricultural knowledge, science and technology can eliminate hunger, reduce poverty and improve livelihoods in a socially, economically and environmentally sustainable way.
4. To the degree that people had different perceptions of the way that AKST could contribute (and the essential correctness of their own perspective) we can conclude that the identified need was so inclusive that everyone could cling to his or her part of the solution.

**Summary of Survey Findings on Key Processes**

A factor analysis of an On-Line Survey suggested that the effectiveness of IAASTD as perceived by its participants could be analyzed in terms of three groupings of factors. Taking them in their logical time sequence we have 1) management of the mulitstakeholder process, 2) synthesizing findings, and 3) dissemination of findings. The key findings, following the method demonstrated above, looks at each of these in a

disaggregated way. We discuss them from two perspectives: 1) perceptions that might be different between those working at the Global versus Sub-Global levels, and 2) Perceptions from the point of view of stakeholders from different affiliations.

**Managing the multistakeholder process: key findings from Question 22**

**Question 20a. Effectiveness in Identifying stakeholders and participants: % From Global and Regional Perspectives:**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 36 | 26 | 18 | 20 |
| SSA | 44 | 20 | 16 | 20 |
| CWANA | 22 | 50 | 6 | 22 |
| ESAP | 56 | 28 | 11 | 6 |
| LAC | 41 | 31 | 13 | 16 |
| NAE | 14 | 14 | 0 | 72 |

**Effectiveness in Identifying stakeholders and participants: % By work affiliation of respondent**

| Affiliation of Respondent | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 33 | 33 | 12 | 23 |
| National University | 39 | 27 | 15 | 20 |
| Other Public Institution | 37 | 31 | 16 | 16 |
| NGO/CSO | 38 | 32 | 13 | 13 |
| Consultant | 43 | 21 | 15 | 21 |
| IARC/Technical Agency | 32 | 41 | 9 | 18 |

Finding:

1. Irrespective of work affiliation or level of the report, most of the participants thought the identification of stakeholders and participants was "effective" (about one-third) or better (another third). There were no strong dissenters either by geographic breakdown or nature of work affiliation.

In Question 24 (open ended) and follow up discussions, the Team heard the following:

- Farmers were not adequately represented on the Bureau or among the writing teams. In many countries there is a diversity of farmer organizations, many with research departments that could have contributed significantly.
- Agribusiness in developing countries was not adequately represented. But it was also noted that it is very difficult to get businessmen to get engaged in a lengthy process like this.
- Various processes were used to generate interest: 1) use of personal networks of Secretariat and Bureau members; official requests through donor listserves based on letter from Bob Watson
- Significant gaps:

- Absence of people from the agricultural policy making networks (SRO policy networks; regional intergovernmental organizations (including IICA itself)
- Although the evidence is anecdotal, experienced agriculturalists found themselves outnumbered and outshouted by relatively junior academics

**Question 20 b. Effectiveness in Implementing a consultative process:**

This simple question could imply many different things. Therefore, the absence of a strong pattern either by nature of the team (Global or sub-region) or by affiliation of participation did not point out any great differences.

**Question 20 b. Effectiveness in Implementing a consultative process: % by Global v. Sub-Global Perspective**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Effective" | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 29 | 35 | 15 | 21 |
| SSA | 40 | 32 | 12 | 16 |
| CWANA | 22 | 33 | 28 | 17 |
| ESAP | 50 | 28 | 17 | 6 |
| LAC | 50 | 25 | 3 | 22 |
| NAE | 29 | 29 | 0 | 43 |

**Question 20 b. Effectiveness in Implementing a consultative process: % by work affiliation**

| Affiliation of Respondent | "Above Average" + "Very Effective" | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 37 | 33 | 9 | 21 |
| National University | 41 | 24 | 12 | 22 |
| Other Public Institution | 34 | 44 | 13 | 9 |
| NGO/CSO | 55 | 19 | 13 | 13 |
| Consultant | 44 | 21 | 15 | 21 |
| IARC/Technical Agency | 31 | 41 | 9 | 18 |

Key findings from the Survey: Question 22 b.

1. In general, people felt that IAASD had done an effective or above average job in managing a consultative process (about one-third in "effective" and one-third in "Above average" plus "Very effective" combined.
2. ESAP seemed more pleased with the processes than the rest and CWANA seemed not so pleased. This latter case is possibly explained by the issue of language diversity in the region and the use of English as the working language. This was stressed by several survey respondents and interviewees.
3. When viewed from the perspective of people with different work affiliations, there were no significant differences among NARS, Universities, NGO and other participants.

Question 24 was an open-ended question that asked participants to "Please describe the most significant ways that you have changed your views, commitment to an issue or behavior as a result of your involvement with IAASTD. One hundred eighty-six respondents answered this question providing extensive comments that enriched our understanding of how participants viewed the consultative process. Many took the opportunity to volunteer additional observations on both strengths and weaknesses of the consultative process as they perceived it. Follow-up with named respondents provided additional insight.

In Annex (3)[59] we categorized the responses relating to new insights and found that approximately 37% mentioned understanding of the AKST framework; 36% mentioned an understanding of the way issues are interconnected, and 25% said that multifunctionality of agriculture was new to them. With respect to changes in behavior, 56% spoke about appreciation of others' perspectives and 37% claimed to have learned new technical information. A small number of people found that the process was not rewarding.

The weaknesses of the consultative process were:

- Absence of professional facilitation (on certain notable occasions where it would have saved time and frustration).
- Centralization, even dependence, on the Director, Prof. Watson, as the charismatic figure who reassured participants of "fairness" in the process.
- Failure of conflict resolution processes when they were required.
- Language problems particularly mentioned in the CWANA region.

#### Attraction, Retention and Attrition of Participants

One of the key tasks of the leadership of an assessment is to get people to the table and to keep them there. Part of this is putting in place mechanisms to manage predictable conflict. Therefore, it is useful to look at the reasons why people who engaged with IAASTD through some active contribution at some time eventually left before the completion of the project. As Hirschman shows, exit may be psychological as well as physical and is related to the effectiveness of voice versus exit as a way of dealing with decline in firms, organizations and states. His analysis introduces the importance of loyalty to the endeavor as a factor. [60]

During an initial round of interviews of a wide range of stakeholders during the Annual General Meeting of the CGIAR in Maputo (December 2008) we encountered a large number of people who participated in the Steering Committee consultations, had attended regional meetings or provided peer reviews in the early stages of the writing process and then said they had left the process. When we decided to carry out a survey of participants, using names provided by the Secretariat, we included two questions which sought to find out how many (respondents) had been engaged in some way in the

[59] Table 1, footnote "g"

[60] Hirschman, Albert O. 1970. Exit, Voice and Loyalty: responses to decline in firms, organizations, and states. Cambridge, Mass: Harvard University Press. Hirschman's analysis is similar to Clark's discussion of "gaming" a negotiation as applied to global assessments. However, it puts more emphasis on retaining loyalty and the effectiveness of internal voice versus exit as options.

IAASTD process and later left the process before completion and their reasons for doing so[61]

We had no prior information about how many people on the lists had been with the Assessment throughout the process; how many had come in at a later stage, and how many had left the process. In retrospect, we admit that the term "left the process" would have been more inclusive and less value laden than "drop out" but the respondents did not seem to be misled and used the open-ended response box to elaborate their reasons

Of the 230 respondents to the on-line Survey, there were 48 who indicated that they had some collaboration with IAASTD and later dropped out of the process. This number was higher than the Secretariat needed to replace en route, which required a more disaggregated look at classes of individuals the reasons they gave for leaving the process.

Question 9 of the Survey asked respondents to describe the nature of their participation in IAASTD. Those who were involved in early consultations or design meetings gave "time requirements" and "financial incentives" as their modal response to reason for leaving. They may be considered as people who may never have fully engaged. The various degrees of authorship gave slightly different reasons. Coordinating Lead Authors mentioned time commitments, financial incentives and family reasons; Lead Authors mentioned difficulty with the process, and Collaborating Authors mentioned difficulty with the direction the study was taking. People who served as "Reviewers" tended to check "the direction the study was going" as the modal response. People who said their contribution was "collegial review" or "informal comment" explained their leaving (or perhaps non-engagement) on the "time required" and the "direction the Assessment was going." One Bureau member noted that the "time required" was his reason for dropping out.

Seen from the perspective of affiliation of respondents, NARI and National University respondents mentioned time commitment and financial incentives while IARC participants focused on their concerns with the direction the study was going. Respondents who used the open-ended question to provide further information, mentioned conflict in their groups; inability to get their ideas accepted; the feeling that they had contributed as much as they could; job changes and family problems.

The above characterization of reasons corresponds with two other observations: 1) there was turnover at the beginning as authors sorted themselves out but eventually teams solidified around a few core writers, and 2) the exaggerated media attention to the alleged "walkout" by the private sector missed an important dynamic going on within the Assessment. (See also Annex 5 on conflict resolution). Haas (1992) cites an

[61] Question 14: "Did you begin collaboration with IAASTD and later drop out of the process?" with a choice of "Yes" or "No" as a response. Question 15 then asked, "If your answer was "Yes" to Question 14, what was the reason? Respondents were given six possible answers plus space for an open-ended answer. The six choices had to do with 1) time commitment required, 2) financial incentives, 3) difficulty with direction the study was taking, 4) difficult y with the process, 5) respondent's ideas were not being taken seriously, 6) respondent was not longer being contacted by the Secretariat. We note that one respondent voiced a reasonable concern that the fixed-choice answers may have been too leading. In the final analysis, respondents discriminated among them, made multiple choices and also made good use of the open-ended response.

analogous example of the whaling industry in which cetologists (an epistemic community), the whaling industry (commercial interest group) and environmentalists (issue-oriented groups) have different payoff structures for staying with a process.

The lessons for future assessments are: 1) it is necessary to prepare for conflict; 2) the nature of the potential conflicts can be anticipated[62], 3) facilitation and other mechanisms can be designed to stimulate input and reduce conflict, and 4) codes of conduct need to be agreed and enforced.

**Facilitation.**

One senior social scientist expressed the view that the "messiness of the process" was one of the strengths of IAASTD and this was expected/inevitable in multi-stakeholder processes. He cautioned that facilitation may be a form of "managerialism" forcing people towards predetermined conclusions. This may be true of poor facilitation. However, the more the general feeling was that professional facilitation would have been advantageous and cost-effective in the following instances:

1. With the high turnover of writers and other participants, a facilitator would have brought new people up to speed more effectively[63];
2. Ensuring the voice of participants from developing countries[64]
3. Smaller, better focused groups would have been more effective. Moderation of the process was weak" because of lack of numbers and lack of the right people.

**Centralization on the Director of IAASTD.**

Prof. Watson brought his experience with the IPCC and the MA to promoting IAASTD during the consultative phase and in bringing diverse parties into the IAASTD process. He also had a better idea of what an "assessment" was and how it was different from a "review" than did his participants. When he was present, he was the central figure in bringing balance in a way that the co-chairs could not[65]. While he was in transition to his new position, his day-to-day, hands-on attention to IAASTD continued but at a

[62] As Scoones notes, analysis of who was involved and search of their backgrounds was the best indication of what they would come up with.

[63] One participant spoke for many others when he said, "It is VERY IMPORTANT that future assessments be professionally facilitated to keep lead author meetings on track and productive AND to avoid wasteful duplication of effort during the literature review and writing process. Lack of facilitation resulted in frustration and high turnover of lead authors". Another noted that although Question 24 did not deal with this issue, "I did feel that we lost the first two meetings discussing what to do".

[64] One participant from an ESAP country noted: The meetings badly needed professional and independent facilitation to make sure everyone is heard and valued. Team building was totally absent but very much needed".

[65] Both co-chairs were well-known scientists and at different times were praised by participants as moderators, in particular Prof. Wahkungu for her moderation of the SSA group and Dr. Herren for calming spirits in CWANA after the scenarios had been dropped. His role as focal person for CWANA was very positive. However, the latter was also well known for his strong views on pesticides and biotechnology that made it difficult to serve as a "moderator" on other occasions. Prof. Watson was central but not always present. One interviewee from Asia noted "Five to six authors left after the 1st meeting; the design meeting was bureaucratic with high handed handling. From the third meeting when Dr. Watson got involved, there was a sea change."

lower level[66]. In many cases, the Secretariat was believed to be acting in the name of /in the place of the Director.

#### Conflict Resolution

Conflict should have been anticipated and adapted mechanisms to deal with it should have been put in place.[67] Skodvin[68] notes with respect to the IPCC that institutional arrangements would be deemed "effective" if 1) they ensured the autonomy of science; 2) ensured science-policy integration 3) kept geographic balance in participation, and 4) provided a mechanism for conflict resolution.

According to Skodvin, the IPCC had its share of conflict but there were mechanisms that worked well. In IPCC the core scientific group in WG I met an essentially political/bureaucratic Plenary. The former's job was to assess the science and the latter's was to accept and approve the assessments. In disagreements between scientists and policymakers, lead authors were able to present their views to the Plenary and usually got the last work. Conflicts in plenaries were resolved in one of three ways: 1) discussed, negotiated and agreed in plenary; 2) transferred to informal arenas (side meetings) or 3) decided upon by the lead authors with an opportunity for delegations to record dissenting views. Disagreements among scientists were resolved by 1) peer review (both expert and government).

In IAASTD, the scientific disputes were not resolved in the peer review process; side meetings ("informal arenas") did not produce a statement on what was agreed and what was disagreed, and the Bureau took decisions without the lead author's being able to present his case.

Returning to Clark's salience, credibility and legitimacy, one could conclude that there was no functional separation of scientific credibility and politically legitimacy but a mixing at both the Bureau and the writing level which exacerbated rather than resolved conflict.

The Director and Co-Chairs were not able to resolve the conflicts. The "walkout" option had been given by the World Bank Vice President in Nairobi; many individual scientists quietly walked away from a process that they found failing; the NGOs threatened collective walkouts over biotechnology and scenarios, and the private sector took a decision to withdraw.

#### Process for Identification, Nomination and Selection of Authors

Following positive experiences in the IPCC and MA, the IAASTD made a very transparent, open and active call for authors to participate. Stakeholder groups on the Bureau were urged to publicize the call among their networks and communities.

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[66] While the Director did attend some part of all meetings, several respondents and interviewees did note that he was often there for only part of the time.

[67] Conflict was no stranger to the IPCC. The Chair of the IPCC in his Nobel speech paid tribute to Prof. Watson and his predecessor for the policies and procedures they put in place. These were imported into IAASTD.

[68] Tora Skodvin. Structure and Agent in the Scientific Diplomacy of Climate Change: An empirical case study of science policy interaction in the Intergovernmental Panel on Climate Change.

Procedures 12 and 13[69] deal with Compilation of nominees for Authors, reviewers and Review Editors and Selection of Authors and Review Editors:

12. The Secretariat will request that all governments and participating organizations identify appropriate experts with local and institutional knowledge for each Chapter in the Report to act as Coordinating Lead Authors, Lead Authors, Contributing Authors, Expert reviewers or Review Editors.
13. The Bureau shall select Coordinating Lead Authors, Lead Authors and Review Editors for each chapter from those experts nominated by governments and participating organizations. The composition of the group shall reflect the need to aim for a range of views, expertise, gender and geographical representation, taking into account local and institutional knowledge. The Contributing Lead Authors and Lead Authors may enlist other experts as Contributing Authors to assist in their Work.

An example of the process was that followed by NATURA[70], a network of European Universities. The announcement included:

- A letter to "Colleagues" introducing the assessment: its purpose, its intention to bring the best available information to bear on policy and management decisions and to build and enhance local and regional capacity to design, implement and utilize scientific assessments.
- The "selling piece" was a note: "IAASTD-Why be involved—why is it important—what will it achieve?" The document stressed the unique opportunity to develop a common vision for the future, critically assess information related to a number of contentious issues, develop new partnerships, influence the future direction of agricultural research and policy formulation; influence decision makers in the private sector and governments; provide consumers with the information they need to make informed choices about nutrition and food safety; and provide farmers, foresters and fishers with the information needed to increase productivity in an environmentally and socially sustainable manner. It also described its uniqueness in being multi-stakeholder, multi-thematic, multi-spatial, and multi-temporal.
- A discussion of "Responsibilities, Time Commitment, Schedule and Support for IAASTD Authors" underlined the need for quality, commitment to deadlines, and the special burdens that would occur during the final stages of report preparation. It stressed the importance of peer-reviewed and internationally available references but allowed that some non-peer reviewed manuscripts, made available for review, could be acceptable in the context of the IAASTD process.

[69] Annex 16: Principles and Procedures Governing the International Assessment of Agricultural Science and Technology for Development. Project Document, March 2006.

[70] **NATURA** is the **N**etwork of European **A**gricultural (**T**ropically and Sub-tropically oriented) **U**niversities and Scientific Complexes **R**elated with **A**gricultural Development. **NATURA** was established in 1988 and involves 26 members from 16 European countries. **NATURA** is a non-profit organization that aims at developing concerted actions towards poverty reduction and sustainable rural development

- Lead Authors (LAs) were responsible for the preparation of designated sections of the assessment bases on the best scientific and technical information available and ensuring that the various components of their section are brought together on time, are of uniform quality and conform to style standards. The task was essentially "synthesis and critical assessment of relevant material". The time commitment was estimated at 8-10 weeks spread over two years including 4 authors meetings of 4-5 days each.
- Two Coordinating Lead Authors (CLA) had the above tasks plus ensuring coordination of cross-cutting scientific issues. The time commitment was estimated at 12-16 weeks spread over two years including 4 author meetings of 4-5 days each.
- Contributing Authors would prepare technical inputs for assimilation in the reports.
- Review Editors would assist in identifying reviewers, ensure that all substantive expert and government review comments are given appropriate information, advise LAs on how to handle controversial issues and ensure genuine controversies are adequately reflected in the text of the Report.
- Following the practice of the IPCC and MA, it was noted in this letter that there was "financial support for travel for experts from developing country nationals who reside in developing countries, and who do not work for intergovernmental organizations or the CGIAR. Experts from developed countries or from intergovernmental organizations and the CGIAR are not eligible for travel costs from IAASTD. Each OECDE government and intergovernmental organization is responding to the travel issue differently.

The information demanded on nominees was fairly limited:

> We kindly request that you, or your designee, nominate authors from your country for specific chapters of the (global) assessment of the IAASTD. The final selection of authors will be made…by the Advisory Bureau, which is comprised of representatives form 30 governments and 30 members from civil society.
>
> We request the following information for each nominee, including email contact:
> 1. Curriculum vitae (maximum length 3 pages)
> 2. Specific chapters for which person is nominated (include chapter title).

The Secretariat received this information directly, mapped proposed authors against chapters, and presented it to the Bureau for decision.

Civil Society Organizations, having agreed to participate in the Assessment, did so strategically[71]:

> The potential for the Assessment to influence the policies and decisions of national governments, lending and development aid agencies and international research institutions is significant. By asserting leadership at multiple levels

[71] Marcia Ishii-Eiteman. The IAASTD: Advances and Challenges for Civil Society. PANNA. August 2005.

throughout the process, civil society activists can exert a powerful and positive influence on the content of the Assessment's final product.

The Assessment will be written by over 400 authors selected by the Advisory Bureau from a pool of a thousand or more nominees. Currently the Secretariat is accepting nominations for authors for both the global and regional assessments. Many of the civil society activists who participated in a design team meeting are now working through their networks to identify and nominate experts on local and indigenous knowledge as well as leaders in the sustainable agriculture movement willing to serve as authors.

Key to the success of the Assessment, from a civil society viewpoint, will be the extent to which it accurately reflects the voices, experiences and priorities of small farmers around the world, and provides an analysis of corporate industrial agriculture's failings as a strategy to reduce hunger and improve livelihoods. This in turn depends upon our abilities as sustainable agriculture and social justice movements to put forward authors who will critically assess the impacts of powerful public institutions such as the World Bank and the World Trade Organization as well as the private sector on the generation, access and use of knowledge, science and technology.

Tapping a wide pool of potential authors and formally nominating them was a strategic action by a group of CSOs. A second round of contacting potential candidates took place when "not enough heavyweights" had come forward[72].

Responses to the on-line Survey showed that participants thought that IAASTD had done a good job of selection of authors. This is show in Tables

**Question 22g. Effectiveness in Selection of Authors and Writing Teams: % From Global and Regional Perspectives:**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 13 | 35 | 33 | 19 |
| SSA | 44 | 20 | 20 | 16 |
| CWANA | 0 | 50 | 39 | 11 |
| ESAP | 39 | 33 | 11 | 17 |
| LAC | 25 | 44 | 19 | 13 |
| NAE | 14 | 29 | 14 | 43 |

There is some suggestion that participants were not as happy with the selection and formation of writing teams as in the other regions. A larger share of respondents judged the performance to be "below average" and there were none who rated it "above average". Possible explanations were that the diversity and linguistic problems facing team building were greater than elsewhere and that they did not avail themselves of the help of the Regional Coordinating Agency (ICARDA) in composing the lists of candidates.

[72] Heaerlin, Benny. Report on Montpellier Meeting. (www.agassessement-watch.org)

**Question 22 g: Effectiveness in Selection of Authors and Writing Teams: From Perspective of Respondent's Work Affiliation (%)**

| Affiliation of Respondent | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 16 | 37 | 30 | 16 |
| National University | 19 | 37 | 27 | 17 |
| Other Public Institution | 16 | 44 | 28 | 13 |
| NGO/CSO | 39 | 36 | 8 | 16 |
| Consultant | 25 | 26 | 26 | 23 |
| IARC/Technical Agency | 0 | 41 | 46 | 14 |

When the participants are grouped by their work affiliation, NGO/CSO respondents were more than twice as likely as other groups to say that the selection of authors and writing teams was "above average or very effective.

Several respondents used the open-ended part of the on-line Survey to make unsolicited comments on different parts of the process of author selection.

1. The policy against providing travel support for authors from OECD countries eliminated many potential contributors whose institutions required coverage of costs, overheads and, in some cases, a contribution for the time of their staff. This eliminated many otherwise desired authors from the pool.
2. Certain disciplines were lacking. One senior LA from an OECD country who ended up as the only specialist in his area, noted that it was only by chance that his government asked him rather than someone else to participate and provided him with a consultancy. People that he, in turn recommended were not selected.
3. Bureau members report that they were under time pressure to respond; they had a limited basis on which to select or reject individuals, and could not really be considered a scientific selection panel. Authors were accepted on a "no-objection" basis: an author would not be selected if four members of the Bureau objected to an individual (with justifications stated).
4. Various lead authors noted a) some lead authors were put into roles for which they were not the first choice; b) some lead authors were not accepted by the group even where (in the opinion of the respondent) the person was the most suited for the job; c) requests for assignment of a given person to the chapter were not acted upon (possibly to achieve gender or geographic balance in some other group).

**Preparation and Peer Review Process**

According to Section 11 of the Principles and Procedures, the purpose of the review process is "to ensure that he IAASTD Report presents a comprehensive, objective and balanced view of both local and institutional knowledge. The content of the authored chapters is the responsibility of the lead authors.

The preparation and peer review process should take place in six stages:

- Preparation of the first-order draft report

- Government and expert (peer) review of the first-order draft report
- Preparation of the second-order draft report
- Government/expert review of the second-order draft report
- Preparation of the final report; and
- Government review and approval of the Summaries for Decision Makers.

The purpose of the

In March 2007, the Director sent personal invitations to potential peer reviewers describing the process.

> A critical factor in producing a world class robust assessment is a rigorous and extensive peer review process involving all key stakeholder groups, including Governments, private sector, CSOs, international organizations, e.g., the CGIAR and the scientific community.

All reports would be indexed and made available on the IAASTD website for a six week period, April 2-May 21, 2007. A template for providing comments was provided along with the note that "every peer reviewer is providing your comments as an individual; i.e. they do not represent the official view of your organization".

With the assistance of review editors, authors were required to go through all the comments and decide how to take them into account. Review editors were to record comments that were not taken into account. The process was transparent, open and painstaking.

There were two rounds of reviews. Many organizations published the call for peer review on their websites or sent the invitation directly to their affiliated organizations (e.g., USDA sent the call to scientists in the Department and State Experiment System institutions with the result that there was a large number of critiques. Some paper received only a few critiques while a few received as many as 400 separate critiques. Each point was formally considered by the writing team. Others held back their effort for the second review, convinced that scientists would be willing to read the material only once and their input would be more valuable on the second review after the documents had been improved.

There was some difference among the regions in their ability to carry out web-based review process. One review editor noted that not much was done between meetings; "the majority of work was done during the meetings when the people were physically together; we didn't use the website as a medium of exchange or as a database for the region".

**Question 22 h: Effectiveness in Managing the Peer Review Process: From Global and Regional Perspectives: (%)**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 21 | 33 | 19 | 27 |
| SSA | 40 | 36 | 8 | 16 |
| CWANA | 11 | 61 | 11 | 17 |

| Global or Sub-Global Team Responding: | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| ESAP | 50 | 33 | 11 | 6 |
| LAC | 34 | 38 | 9 | 19 |
| NAE | 19 | 24 | 24 | 33 |

There is some suggestion that participants in NAE were not as happy with the selection and formation of writing teams as in the other regions. A larger share of respondents judged the performance to be "below average" and there was a lower percentage who rated it "above average". In CWANA, most people found the process effective but not "above average". Possible explanations were that the diversity and linguistic problems facing team building were greater than elsewhere and that they did not avail themselves of the help of the Regional Coordinating Agency (ICARDA) in composing the lists of candidates.

**Question 22 h: Effectiveness in Managing the Peer Review Process: From Perspective of Respondent's Work Affiliation (%)**

| Affiliation of Respondent | "Above Average" + "Very Effective | "Effective" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 21 | 37 | 16 | 26 |
| National University | 34 | 32 | 10 | 24 |
| Other Public Institution | 34 | 41 | 16 | 9 |
| NGO/CSO | 56 | 19 | 7 | 19 |
| Consultant | 33 | 26 | 21 | 21 |
| IARC/Technical Agency | 18 | 36 | 18 | 27 |

In general, the CSO/NGO respondents found the process to be better than the other participant (as measured by the "above average or better" rating). The "easy middle" response that the process was "effective" was shared by 30-40% of the respondents.

#### Role and Selection of Review Editors

The description of the role of Review Editors (REs) was included in the letter from Bob Watson:

> Review Editors will assist in identifying reviewers, ensure that all substantive expert and government review comments are given appropriate consideration, advise LAs on how to handle contentious/controversial issues and ensure genuine controversies are adequately reflected in the text of the Report. Although responsibility for the final text remains with the LAs, REs will need to ensure that where significant differences of opinion remain, such differences are described in an annex to the Report. The task of review editors is important and demanding, and, in recognition of this, the names of the REs will appear prominently in the final report.

From discussion with a number of Review Editors and CLAs, it is clear that the task was as demanding as promised. Review Editors were recruited into the role through the personal and professional networks of CLAs, the Secretariat, and members of the Bureau. The call was posted on some inter-donor networks and publicized through the

CSO affiliated networks. Several indicated that they were ultimately convinced to come in through the insistence of peers in their network.

The role of Review Editor is normally quite circumscribed, but it became somewhat ambiguous in practice. The experience was case specific and depended on 1) the leadership of the CLAs; 2).the quality of the material to work with; 3) the experience and interpretation of the role by the RE, 4) a perceived mandate among some REs to bring "balance" to comments[73], and 5) the RE's acceptance of an author's role in filling in gaps to make an argument complete. The co-existence of the classical view of review editing and the more activist role was a compromise that came with impending deadlines and declining responsiveness from authors to repeated requests. Such requests often came out of the blue after long periods without communication and with short deadlines for replying. As one RE put it, "when they stopped replying, we stopped insisting". The contribution of the REs was, in general, extremely valuable in completing the work but very case specific in its impact.

#### Effectiveness in Dissemination of Materials

The On-Line Survey began before the documents had been officially published and was closed for analysis before any documents had a chance to arrive in the hands of authors. The modal response to questions about the effectiveness of dissemination through various media was "no answer" which means "no information".

| Dissemination | No answer | Below average | Effective | Above average | Very effective | Response |
|---|---|---|---|---|---|---|
| | | | | | | |
| Dissemination of findings through Website | 25.3% (58) | 16.6% (38) | **34.1% (78)** | 15.7% (36) | 8.3% (19) | 229 |
| Dissemination of findings through published brochures and reports | **33.6% (77)** | 27.1% (62) | 24.9% (57) | 11.8% (27) | 2.6% (6) | 229 |
| Dissemination of findings through public presentations to policy makers | **39.7% (91)** | 26.2% (60) | 21.8% (50) | 10.0% (23) | 2.2% (5) | 229 |
| Dissemination of findings through other media distribution | **41.9% (96)** | 27.5% (63) | 17.0% (39) | 11.8% (27) | 1.7% (4) | 229 |

However, participants were able to judge the effectiveness of findings through the IAASTD website and slightly more than one-third said it was done effectively. This the team interprets as a positive statement on the posting of the documents for peer review and the collection of comments which were also available for all to see.

The disappearance of the draft documents from the official website after Johannesburg has left a vacuum for authors who might have wanted to consult the work in progress. This gap was filled by the NGO website but that source was unknown to many of the participants and little used. (Question 18).[74]

[73] The notions of "balance" and "appropriate treatment" of comments were sometimes blurred to equate one CSO viewpoint with dozens of differing comments coming from USDA /State Experiment System scientists as if they represented a single government opinion.

[74] It was of significant use to the Evaluation Team along with much other commentary, reports on meetings, and associated activities.

## *Annex 6: Usefulness of Knowledge Gained from IAASTD*

Question 22 asked participants in IAASTD to assess how useful knowledge gained from IAASTD was to them for a variety of purposes. As producers and overseers of the process and the outputs, they can reasonably be considered the most informed audience, the first users and, generally, positively predisposed. The interpretation of the Survey information takes this into account and looks for differences among categories of participants (e.g. by global or sub-global studies or by affiliation of the participant) for insights into the assessment dynamics and likely users.

The general question was "Have you found the knowledge gained from IAASTD to be useful in the following ways?" and then specified several uses:

1. Use in lectures and presentations
2. Use in formulating new projects for research and development
3. As authoritative scientific reference for my professional writing
4. As authoritative reference in advocacy
5. In discussions with policy and decision makers
6. In seeking new funding resources for my work
7. In changing my understanding of a problem
8. In bringing divergent stakeholders together around an issue

In the following paragraphs we draw out some key findings from the most informative questions.

**Question 22 a. Usefulness in lectures and presentations: From Global and Regional Perspectives (%)**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 37 | 29 | 18 | 15. |
| SSA | 44 | 24 | 12 | 20 |
| CWANA | 44 | 33 | 11 | 11 |
| ESAP | 49 | 28 | 11 | 11 |
| LAC | 44 | 31 | 16 | 9 |
| NAE | 14 | 43 | 14 | 29 |

**Question 22a. Usefulness in lectures and presentations : By work affiliation of respondent (%)**

| Affiliation of Respondent | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 41 | 26 | 14 | 19 |
| National University | 55 | 25 | 10 | 10 |
| Other Public Institution | 44 | 35 | 13 | 9 |
| NGO/CSO | 64 | 29 | 3 | 3 |
| Consultant | 18 | 18 | 13 | 21 |
| IARC/Technical Agency | 9 | 36 | 36 | 18 |

Findings:

1. Participants have almost all found the knowledge they gained from participation in IAASTD has been useful for lectures or presentations. With the exception of participants from NAE and international centers, 40-50% think this knowledge is "above average" or "very useful". Although approximately 40% of NAE and IARC participants thought it was "useful" only a small percentage 10-15% thought it was "above average" or better.
2. CSO participants (64% thought ) it was above average or better

**Question 22c: Usefulness as an authoritative scientific reference for my professional writing: % by Global versus Subglobal**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 29 | 25 | 30 | 15 |
| SSA | 30 | 24 | 28 | 8 |
| CWANA | 28 | 28 | 17 | 28 |
| ESAP | 28 | 33 | 22 | 17 |
| LAC | 44 | 41 | 9 | 6 |
| NAE | 14 | 43 | 29 | 14 |

**Question 22c Usefulness as an authoritative scientific reference for my professional writing: By work affiliation of respondent (%)**

| Affiliation of Respondent | "Above Average" + "Very Useful | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 30 | 30 | 26 | 14 |
| National University | 42 | 28 | 20 | 10 |
| Other Public Institution | 25 | 38 | 28 | 9 |
| NGO/CSO | 52 | 26 | 8 | 13 |
| Consultant | 41 | 28 | 18 | 13 |
| IARC/Technical Agency | 9 | 18 | 45 | 27 |

Findings:

1. A smaller number of respondents, classified as above, find the material an authoritative reference for their scientific writing. Follow up with participants on this point usually note that they have access to the original source material as the reference and would cite that rather than IAASTD.
2. The percentage of Global authors, NAE and IARC participants who consider the knowledge "below average" for use in professional writing is larger than those who consider it useful for lectures and presentations.

**Question 22d: Usefulness as authoritative reference in advocacy: % by Global or Sub Global**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 28 | 27 | 24 | 20 |
| SSA | 36 | 24 | 16 | 24 |
| CWANA | 28 | 28 | 11 | 33 |
| ESAP | 50 | 22 | 11 | 17 |
| LAC | 38 | 31 | 19 | 13 |
| NAE | 0 | 43 | 29 | 29 |

**Question 22d: Usefulness as authoritative reference in advocacy: by work affiliation of respondent**

| Affiliation of Respondent | "Above Average" + "Very Useful | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 25 | 28 | 26 | 21 |
| National University | 30 | 30 | 20 | 20 |
| Other Public Institution | 41 | 25 | 16 | 19 |
| NGO/CSO | 65 | 16 | 13 | 6 |
| Consultant | 41 | 23 | 15 | 21 |
| IARC/Technical Agency | 9 | 32 | 23 | 36 |

Finding:

1. Most participants find that the knowledge gained from IAASTD is useful for advocacy purposes and, with the exception of NAE and IARC participants find it above average or very useful.

**Question 22e: Usefulness In discussions with policy makers: % Global or Sub-Global**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 29 | 21 | 26 | 23 |
| SSA | 44 | 24 | 28 | 4 |
| CWANA | 22 | 39 | 6 | 33 |
| ESAP | 39 | 50 | 0 | 11 |
| LAC | 39 | 19 | 16 | 22 |
| NAE | 14 | 43 | 14 | 29 |

**Question 22e: Usefulness for discussion with policy makers: % by work affiliation of respondent**

| Affiliation of Respondent | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 16 | 40 | 16 | 28 |
| National University | 38 | 28 | 15 | 20 |
| Other Public Institution | 41 | 13 | 16 | 31 |
| NGO/CSO | 67 | 16 | 13 | 3 |
| Consultant | 46 | 18 | 18 | 18 |
| IARC/Technical Agency | 0 | 27 | 41 | 32 |

Finding:

1. Global and NAE authors rank the knowledge for discussion with policy makers less than other regional groups.
2. The IARC respondents had no respondents that saw it as above average or better and twice as large a percentage of those who considered it "below average" for discussion with policy makers.

**Question 22g: Usefulness in changing my own understanding of a problem: Global or Sub-Global (%)**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 36 | 32 | 18 | 13 |
| SSA | 52 | 28 | 20 | 0 |
| CWANA | 39 | 39 | 6 | 17 |
| ESAP | 61 | 33 | 0 | 6 |
| LAC | 56 | 34 | 6 | 3 |
| NAE | 29 | 57 | 0 | 14 |

**Question 22g. In changing my own understanding of a problem: By work affiliation of respondent (%)**

| Affiliation of Respondent | "Above Average" + "Very Useful | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 42 | 33 | 12 | 14 |
| National University | 55 | 33 | 8 | 5 |
| Other Public Institution | 38 | 47 | 9 | 6 |
| NGO/CSO | 75 | 8 | 7 | 8 |
| Consultant | 51 | 26 | 13 | 10 |
| IARC/Technical Agency | 5 | 46 | 32 | 18 |

Finding:

1. Virtually all respondents (above 75%-90%) claimed that knowledge gained through IAASTD changed their own understanding of a problem.

**Question 22h: Usefulness in bringing divergent stakeholders together around an issue: Global or Sub-Global**

| Global or Sub-Global Team Responding: | "Above Average" + "Very Useful" | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| Global | 38 | 23 | 22 | 16 |
| SSA | 34 | 24 | 32 | 8 |
| CWANA | 33 | 28 | 6 | 33 |
| ESAP | 61 | 28 | 6 | 6 |
| LAC | 54 | 34 | 6 | 6 |
| NAE | 58 | 14 | 0 | 29 |

**Question 22h: Usefulness in bringing divergent stakeholders together around an issue: by work affiliation of respondent**

| Affiliation of Respondent | "Above Average" + "Very Useful | "Useful" | "Below Average" | No Answer |
|---|---|---|---|---|
| NARI | 35 | 21 | 21 | 23 |
| National University | 43 | 30 | 18 | 10 |
| Other Public Institution | 37 | 25 | 25 | 13 |
| NGO/CSO | 67 | 19 | 7 | 7 |
| Consultant | 54 | 5 | 21 | 21 |
| IARC/Technical Agency | 23 | 32 | 27 | 18 |

Finding:
A clear majority felt that IAASTD had done a useful-or-better job of bringing divergent stakeholders together around an issue.

The answers to Question 22 find further elaboration about what individuals have gained from IAASTD in the open-ended Question 24: "Please describe the most significant ways that you have changed our views, commitment to an issue or behavior as a result of your involvement with IAASTD." An attempt to categorize these responses masked the richness of the information in the responses[75]. The majority of people volunteering these extra comments appreciated learning new perspectives, working with new people and learning new technical information. The relatively small percentage of negative comments related to some of the serious controversies and the handling of conflict.

[75] Annex 2.footnote "g" [g] Some reaction: appreciation of new perspectives (56.49%), appreciation of new technical knowledge (37.01%), frustration in dealing with other perspectives (3.90%), frustration in integrating different disciplines or types of knowledge (2.60%)

## *Annex 7: Outreach and Communication*

**Publications.**

The Secretariat provided the following breakdown of their purchase for distribution of the major outputs of IAASTD

| Major Publications: Buy Back for Distribution | English | Arabic | Chinese | French | Russian | Spanish |
|---|---|---|---|---|---|---|
| | | | | | | |
| Global Report (8 Chapters) | 2,000 | | | | | |
| Global Summary for Decision Makers | 12,000 | 500 | 500 | 1,000 | 200 | 1,000 |
| Synthesis of Global Report with Executive Summary | 10,000 | | | | | |
| Executive Summary of Synthesis Report | 5,000 | 500 | 500 | 1,000 | 200 | 1000 |
| CWANA Report | 1,500 | | | | | |
| CWANA Summary for Decision Makers | 1,500 | 1500 | | 500 | 500 | |
| ESAP Report | 500 | | | | | |
| ESAP Summary for Decision Makers | 1,500 | | 500 | | | |
| LAC Report | 500 | | | | | |
| LAC Summary for Decision Makers | 1,500 | | | | | 500 |
| NAE Report | 1,000 | | | | | |
| NAE Summary for Decision Makers | 1,500 | | | 500 | 500 | 500 |
| SSA Report | 500 | | | 500 | | |
| SSA Summary for Decision Makers | 1,500 | | | 1500 | | |

The buy-back from Island Press clearly indicates that the Global Report will be a relatively rare commodity in paper format. It will be available electronically on the IAASTD website 6 months after its publication date of January 30, 2009. The copies are destined for distribution to over 500 institutions in 108 countries. Given the limited number of copies available for distribution, it is to be hoped that the copies distributed will serve as depository copies in accessible libraries where they can serve as widely consulted resources.

Accessibility on the website or distribution of CDs brings the advantage of search capability as well as use in isolated places. Unfortunately, in many partner countries printers, paper and toner are often limiting factors for use. Various programs exist for subsidized distribution of scientific information (e.g. TEAL, AGORA) and IAASTD might explore a contract for distribution with some of its remaining outreach funds.

**Outreach Activities**

In the fall of 2008, the Secretariat solicited proposals from authors for outreach at conferences and other events. As of March 2009, they have not had to turn down any proposals.

Since May 2008, IAASTD has supported the participation of IAASTD leadership, authors, and governance at 85 events. From a list of events and participants, we

constructed the following breakdown showing the participation of IAASTD representatives by type of event.

| | Scientific Forum | Policy Forum | Public Forum Advocacy | |
|---|---|---|---|---|
| | | | | |
| **Director** | 1 | 10 | 1 | 12 |
| **Co-Chair(s)** | 11 | 15 | 10 | 36 |
| **Authors** | 12 | 15 | 14 | 41 |
| **Bureau** | 0 | 3 | 7 | 10 |
| | | | | |
| | 24 | 43 | 32 | 99 |

The total is greater than the number of events because some events had a mixture of authors, IAASTD leadership or bureau members. The total is less than the total number of actual participants because some events had as many as 4 authors present.

The Director has concentrated his appearances at high level policy events including the World Bank's Rural Week. Both co-chairs have been active at high profile events but one has been particularly prominent in promoting IAASTD across the board through 27 separate presentations.[76] Individual authors and review editors have been well-represented in all three types of forum. Some authors and review editors have been repetitive spokespersons for IAASTD.

A policy forum which has been targeted by IAASTD is the UN Commission on Sustainable Development (CSD). Four authors presented a side meeting at the preparatory session in February. There were six NGO "organizing partners" for this side meeting[77]. IAASTD is organizing another side meeting at the CSD main meeting in May, 2009.

Several events are in the planning for use of remaining funds before June 2009 at which time the grant will be closed.

#### Other Media

The statement of expenditure shows some $300,000 in outreach and communications expenditures for various publicity and video presentations. These were deemed by IAASTD itself not to have been satisfactory. They can be seen on YouTube and are referenced in a few websites but the number of viewers has not been large. A number of presentations by the Director are also captured on video casts (e.g. address to the foreign press club) that are accessed through websites of different organizations but not generally found through internet searches.[78]

[76] Information from list of outreach activities provided by Secretariat.
[77] Pesticide Action Network, International Federation of Organic Agriculture Movements, National Family Farm Coalition, Friends of the Earth International, Third World Network, WOCAN
[78] http://clients.mediaondemand.net/IAASTD/ Webcast from the Foreign Press Association, April 15, 2008 "Is it Possible to Reduce World Hunger and Protect the Environment?"

## *Annex 8: Comparing Findings from the Global and Sub-Global Evaluations*

### Introduction

In the consultative process leading up to IAASTD, it was strongly indicated that the Global picture should be built up from robust regional assessments. Interviewees have confirmed that the two processes were carried out in parallel. They did start from a similar conceptual framework but there was limited opportunity or time at meetings for cross-fertilization.

#### Relation to the Global Report:

The Sub-Global teams started out with the expectation of influencing the Global Report. It became apparent over time that they were separate processes.
The way the issue was perceived was slightly different depending on the region.

SSA: According to some of the SSA authors (on global and sub-global chapters) the text had changed substantially from the earlier draft. A much stronger emphasis about the importance of institutions and governance and local knowledge had emerged, and the way Africa fitted into the global scenarios was downplayed and the strong emphasis on production and productivity had been weakened.

SSA: As it turns out, both at the global level and at SSA, the cross-talk between the different processes was not fully achieved, the long-term scenario analysis was not systematically done, at least not for SSA (perhaps the situation would have been different if the scenario analysis chapter had been retained) and the prediction that it would be difficult to achieve coherence between the sub-global and the global reports has come true for SSA.

#### Strategic focus (SSA)

SSA: There was an attempt to find "this one big message similar to the IPCC which seemed illusive". This may have caused the process to lose its strategic focus. At the same time, it may have contributed to a feeling of "hidden agenda" which may not necessarily have been the case" (p 28)

SSA: "Over time the process was administratively heavy but strategically weak. The secretariat was too busy on administrative and logistics and had little time for strategic leadership; this became more so as contentious issues sapped the energy of the secretariat machinery. ( p28)

#### Diversity of the regions and location specificity of technology.

All the regions covered wide geographic areas, had both large and small countries, coastal and landlocked economies. There was no way that the richness of the diversity could be adequately described. However, there when describing promising (or failing) technologies, authors frequently did not give adequate context and size of population or area of land that would be affected.

LAC: (18) As with other "regions", there are giants and there are micro-states. The "small country problem" of the latter has been the subject of numerous efforts at

sub-regional organization. This is a common issue cutting across all regions and has been grossly overlooked: what a large country such as Brazil, India or Nigeria can afford is by no means comparable to the options open to the El Salvadors or Ghanas of this world. (sic).

SSA: Both the Global Synthesis and the SSA reports "share certain cross-cutting messages or assumptions which are not subjected to analysis in specific contexts.

#### Looking back 50 years, looking forward 50 years

While there was a critical look back to describe problems the look forward did not adequately assess the possibilities of many new technologies and the constraints that had to be overcome if the agro-ecological approach were to be promoted at large scale.

CWANA: It is not sufficient to assess alternative strategies for science and technology; feasibility of implementation and cost of alternatives are necessary if policymakers are to take action.

NAE: Ch 5 is quite clear in stating that choices about AKST relate to paradigms, investments, governance policy and other ways to influence the behavior of producers, consumers and the rest of the food chain actors. In concluded that it was unlikely that all development and sustainability goals could be achieved in any of these futures and that several plausible pathways and major differences in AKST drivers [existed]. Much would depend on the society and its choices.

NAE Chapter 5. Unfortunately the work of this chapter does not appear to have been taken into account in Ch 6 and in the summary for decision makers. Not only were the summaries written without the benefit of the final version of the chapter but they appear not to have taken the chapter to heart.

#### Process logic and its impact on consistency of reports

LAC: "Continuing changes in the composition of the authors' teams, plus the adopted timetable, which required that the different chapters were developed simultaneously, conspired against the internal consistency in some topics, in general, and particularly in allowing a clear evolution from the diagnosis to the recommendations and options for change and improvement. ["This point is also applicable to the ESAP region"].

SSA: Process logic: Many inter-related chapters or those that should have been consecutive, were prepared in parallel with insufficient mechanisms for 'cross-talk'; Preparation of synthesis/summaries, e.g. Summaries for Decision Makers ran in parallel with the writing of chapters (see dates in Tables 1 and 2)

NAE: The summary for decision makers was written without anyone from the chapter present and before the chapter was finished.

#### Process of author nomination and selection not clear even to those selected:

SSA: The most common response was that "someone nominated me and I accepted". The most common observation is that they may have the best people in the pool but there is a much bigger pool out there.

All : The most common recommendation is that fewer authors, more strictly vetted, would have produced a better outcome.

SSA: Many of those who were involved from SSA did not know exactly if there was a formal selection process—the majority reported that they were proposed by colleagues. There is a risk that the 'nomination approach' could have led to a network dominating the process (although there was no evidence for this).

SSA: Among SSA 'representatives' a good number was from the Diaspora.

CWANA: There should be as selection based on 'scientific reputation and background'.

NAE: The Bureau's decision not to provide honorarium or travel costs of people from OECD reduced their selection pool.

#### Author turnover: a continuous problem

SSA: Due to reasons, many beyond the control of the Bureau, authors dropped out during the process. For example, one chapter had the following turnover scenario: Out of over 10 authors, drop outs reduced the number to 3 at one point in the process and a "new" recruitment had to be made; a co-CLA was among those dropped out; later, a CLA dropped out saying 'the process was not working for them'. For this particular chapter at least the 'list we have on the report does not reflect the accurate situation'. Thus while the design aimed to create a balanced representation with regard to various stakeholder dimensions, by the end of the process this had broken down. The major issue with this has to be the lack of continuity it created"

SSA: The final authors of the sub-Saharan Africa synthesis report were only four…Other members of the SSA writing team were expected to stay engaged at a country level. However, this was a challenge due in part to lack of funds.

LAC: Not many people who participated in the design team participated in the authors meeting. The evaluation team finds that this instability in participant continuity ran throughout the process until the report was filed.

#### Review editors

Global: Discussions with both Review Editors and CLAs have shown the co-existence of two models. Review Editors have recommended clearer guidelines for future assessments. (This was also admitted by the Director as a compromise needed to meet deadlines).

SSA: "The role and authority of the reviewers (sic) was not made clear from the beginning. For example, a global chapter author remarked: "it was not made clear that the reviewers/editors would have such strong role as to change messages".

SSA. The SSA Secretariat report of the June 2006 authors meeting in Dakar, Senegal, which was the last round of work on drafts before the first peer review process, states, in part, "It emerged at the meeting that most authors had not understood what an assessment was all about; chapter drafts were more of literature review than assessment" This was six months after the Nairobi meeting when writing started in earnest.

NAE: The review editors were considered by the CLAs to have been balanced and useful. Whether or not the review editor had an impact on the content of the chapter was a function of the CLA's control of the team and the content. .

NAE: Interviews with review editors found that they had been variously nominated by the Director, USDA, professional colleagues and NGO members.

NAE: They were appreciated by their CLAs. The review editors often brought specific regional knowledge or scientific knowledge that was missing in the writing team.

#### Complexity of the process (SSA)

SSA: The IAASTD process itself was considered unnecessarily complex this may be partly responsible for the feeling of lack of transparency. As a result some found the actual process not to be "rewarding".

#### Language:

SSA: A second issue for Africa has to do with the representation of the non-English speaking SSA countries. One of the early issues in identifying authors from Portuguese-speaking and Francophone countries was ensuring that those chosen were bilingual. This in itself restricted the selection pool. However, by own admission of samples of the individual themselves and Anglophone colleagues in the teams, there were times in the discourses that ensued then some of them had difficulty following the discussions. In this regard, it can be concluded that participation of these groups and hence their contribution was not optimal.

CWANA: Language has been a barrier not only in the development of the assessment but for the evaluation of the assessment as well.

#### Facilitation

SSA: (Structured question for interview): "Would a neutral professional facilitator have made a difference in handling the difficult aspects of the meeting?" All said "Yes"
"Professional facilitation would have added value even on less contentious issues. Some times we were feeling lost.

SSA: The greatest participation of Africans in meetings is through the spoken not the written", stated an author. "Thus what is lost in discussions often does not reenter the process. Consequently, lack of facilitation led to loss of many good points raised in meetings".

NAE: (a CLA): (There was) "amazement that there was no attention to the facilitation of group processes"

NAE "Facilitation would have helped resolve the "difficulty of linking areas that used very different forms of exposition, the more literary being the powerful compared to the more technical and the importance of the different skills in advocacy for the emphasis given to specific types of approach."

#### Visibility of agricultural issues that are top on Africa's agenda:

SSA: (Structured interview question: "How deliberate was the focus on addressing issues that are important for Africa (and Africans)" Six out of the 15 interviewed felt the process and the outcome reflect issues of priority to Africa. Of the

remaining 9, 2 felt that there was a mix of Africa-relevant and North-priority issues; the remaining 7 reported that most issues tended to shift away from Africa's interest even when they were about Africa.

#### The Bureau

LAC: The multi-stakeholder Bureau was well-conceived in design, however, there was a lack of continuity in the participation of the representatives of different groups representing the Region, particularly those representing Governments and public-sector research and development organizations with only one of those representatives having been present at two meetings. Many people identified this as one of the weaknesses of the process that conspired against the effectiveness of the Bureau in providing overall guidance.

SSA: Some of the SSA participants in the process gave a sense of a Bureau that considered "it had figured the process out"—both the approach and the outcome. Those of this opinion suggest that this was in part responsible for the negotiations of the different viewpoints: the result is that where these viewpoints are included, they have been toned down to a point [where] the original intent is lost. If this is indeed the case then accountability may have been inadequate.

#### Engagement of Key Groups:

SSA: 10 of the 15 interviewed felt that the engagement of key stakeholder institutions was not optimal. Examples of institutions which should have been engaged more in the process for SSA include FARA, and Regional Economic Communities as well as farmer organizations and the emerging private sector groups.

LAC (point 8). The team notes that IICA is an intergovernmental organization governed by the Ministers of Agriculture of the region and serves, inter alia, as a source of policy support to the Ministers of the region. It was surprised to learn that IICA had been discouraged from bringing its technical expertise to the discussions and that no IICA or UNESCO people appear as authors or contributors to the documents

LAC (point 10) Latin America is rich in diversity of organizations representing farmers of all types: by commodity, by technology (e.g. "no till", "organic farming"). Although the assessment included a strong participation from civil society through representatives of NGOs, producers' organizations did not have a presence in the different functions in accordance to their diversity and representativeness.

#### Specific Regional Differences

The Synthesis of the Global Report, which took a thematic approach, attempted to capture what the Sub-Global reports had to say on the issue. In most cases, by the number of specialized authors, the Global report contained more detail on each of the thematic issues. Therefore, it was not difficult to have "consistency" on what was said.

However, there are a number of areas where the evaluators have identified weaknesses in the Sub Global report in relation to the Global Report but rather weaknesses in coverage of areas where there is known expertise in the region.

## *Annex 9: Financial Information*

### Achieving the required funding (TOR 12)

By the standards of other major assessments, (Global Environmental Outlook--GEO, Millennium Ecosystem Assessment--MA), and Intergovernmental Panel on Climate Change—IPCC) the IAASTD has not been a large project. The IPCC and MA both came in around $20 M with almost an additional sum in voluntary contributions.

The most recent statement of funding provided by the Secretariat is based on June 30, 2008 data. The summary statement of Contributions and Expenditures is shown in Table A9.1 below:

**Table A9.1: Summary of IAASTD Contributions and Expenses, June 30, 2008**

| **Summary of IAASTD Contributions and Expenses** | **June 30, 2008** | |
|---|---|---|
| Multi-Donor Trust Fund TF 054513 | 3,342,672 | |
| WB Development Grant Facility | 1,500,000 | |
| GEF Grants (2006-2008) | 3,350,000 | |
| In Kind Contributions (various agencies)[79] | 3,172,890 | |
| Total | | **11,365,562** |
| **Expenditures** | | |
| Multi-Donor Trust Fund | 2,094,180 | |
| WB Development Grant Facility | 1,500,000 | |
| GEF Grants | 2,827,262 | |
| In Kind Contributions to IAASTD | 3,172,890 | |
| Total | | **9,594,332** |
| Available Balance (June 30, 2008) | | **1,771,230** |

Voluntary contributions in both time of authors and non-reimbursed travel costs are estimated to run between $5 M and $ 6 M while the formal contributions are $11.4 M according to the above statement.

[79] World Bank ($1.8 M), Finland ($568,000), UNEP ($225,000), FAO ($225,000), UNESCO ($225,000), UNDP ($10,000).

The contributors to the Multi-Donor Trust Fund in the total of $3,342,672 are shown in Table A9.2:

**Table A9.2 Donor Contributions to Multi-Donor Trust Funds**

| **Multi-Donor Trust Funds 54513 Donor Contributions** | **USD** |
|---|---|
| Canada | 394,778 |
| United Kingdom | 485,782 |
| Ireland | 279,832 |
| France | 198,662 |
| Australia | 218,481 |
| Switzerland | 190,000 |
| European Commission | 602,538 |
| Private Sector (CropLife) | 118,750 |
| Sweden | 426,317 |
| USA | 237,500 |
| Investment income | 190,033 |
| | **3,342,673** |

All of these OECD countries (or in the case of CropLife an industry association) were asked to provide additional support to authors and review editors from their countries or organization to ensure participation. Sweden and Switzerland engaged senior academics as consultants to accompany and contribute to the process. DFID contracted with CAB International to coordinate the consultative process in the UK and the French government instructed its research institutions to participate through staff time but with travel support included in an additional grant to the research institutions (INRA, CIRAD, and IRD). Canada increased its contribution to the MDTF to help with travel of authors and review editors when it became apparent that there were few Canadians involved. Mars Corporation allowed an academic from Australia to use funds in a research grant for participation in IAASTD to ensure his input on conservation agriculture.

Some review editors from NAE indicated that they were brought into IAASTD on a voluntary basis, but as the tasks expanded they were helped by the Secretariat with travel expenses and an honorarium.

### Major Expenditure Lines

The IAASTD set out to generate legitimacy for its operation through diversity and broad representation in its multistakeholder Bureau and wide recruitment of candidate authors, reviewers and review editors. Candidates were screened and proposed by the Secretariat for particular regions and chapters with reference to gender and geographic balance. Much of the actual work was done during face-to-face meetings of authors both regionally and globally. It is not surprising, therefore, to find that travel was the largest part of the expenditure as is shown in Table A10.3 below.

The Bureau adopted policies that reserved travel support for non-OECD country contributors. Support as also excluded for CGIAR center personnel and staff of sub-regional organizations. Therefore, these figures do not include travel paid by individuals from OECD countries or on their behalf by organizations.

From a cash expenditure list, we have broken the expenditure of $ 6.4M into four categories: 1) Institutional Costs of the Secretariat and Regional Implementing Organizations ($1.8 M), 2) “Major Meetings” (between $80,000 and $650,000) for a total of $2.35 M); 3) “All Other Meetings” (totaling $1.4 M) and 4) Other costs imputed to “Meetings” ($ 833,000). The latter category was broken out to capture expenditures on translation, outreach and publications.

**Table A9.3 Summary of MDTF/DGG/GEF Cash Expenditure**

| | | | |
|---|---|---|---|
| **Overall Summary of MDTF/DGF/GEF Cash Expenditure:** | | **USD** | **6,401,258** |
| ***Institutional Costs*** | | | |
| IAASTD Secretariat (World Bank) | | 902,042 | |
| Regional Institute Costs | | 914,974 | |
| **Subtotal Institutional Costs** | | | **1,817,016** |
| **Total "Meeting Costs"** | | | **4,584,242** |
| Of which: | | | |
| ***Major Meetings*:** | | | |
| First Plenary, Nairobi, Sept 2004 | 288,919 | | |
| Integrated Design Meeting, Montpellier, May 2005 | 81,512 | | |
| Global I Meeting, Istanbul, November 2005 | 100,510 | | |
| Global II Meeting, Bangkok, May 2006 | 135,875 | | |
| Global III Meeting, San Jose, November 2006 | 323,162 | | |
| Global/Sub Global, Cape Town, June 2007 | 636,414 | | |
| SDM/SR Meeting, Colombo, August 2007 | 82,311 | | |
| SDM/SR Meeting, Tunis. October 2007 | 130,446 | | |
| Final Plenary, Nairobi/Johannesburg, Apr 2008 | 573,734 | | |
| **Sub-Total Major Meetings** | **2,352,883** | | |
| ***All Other Meetings*** | **1,398,193** | | |
| ***Other Costs Imputed to Meetings:*** | | | |
| Translation, Editing of Draft Sub Global reports | 133,485 | | |
| Co-Chairs Travel | 75,310 | | |
| Stipends | 167,723 | | |
| Publications "Our Planet" | 22,200 | | |
| Graphics (GRID/Arendal) | 47,000 | | |
| Outreach/Communication | 373,872 | | |
| Global Assessment Translations/editing | 13,576 | | |

## *Annex 10: A Positive Way Forward*

There is almost total consensus that the achievements of IAASTD should be preserved, made accessible and used by stakeholders in their own way. The usefulness of the documents as inputs to participants' thinking, and as sources for presentations and advocacy is well documented. The information, therefore, must be available and accessible.

#### Preservation and Accessibility of Outputs and Records of the Process

First, UNEP has a commitment to maintain the IAASTD website for 5 years after the publication of the documents. This ensures that all the published reports will be electronically downloadable as a public good. They will be available and accessible to those with affordable and reliable Internet. Second, distribution of hard copies of the report have gone to institutions, most of which could serve as depository libraries in some 47 countries. Third, thousands of CDs are being prepared for distribution more widely.

The members of the evaluation team believe that the Secretariat has done well to produce the published outputs between adoption in April 2008 and print release at the end of January in 2009. Given the number of publications, their size and the precision with which they needed to be edited, this is laudable.

It was unfortunate that the agreement with Island Press to put an embargo on electronic distribution of the reports has limited their availability during the time of most active outreach and advocacy. The 6-month delay between print release and electronic distribution may have been negotiated by the publisher but this is neither a necessary nor a common practice for similar public good reports.

Several participants, both in response to the Survey and in interviews, underline that it will be important for future researchers interested in the process to have a complete set of reports of Meetings as well as full chapters and examples of reviewer comments.

#### Outreach through June 30, 2009.

Outreach activities have already been described. Champions have taken their message(s) to a variety of scientific, policy and public fora with support from IAASTD. Participants were invited to submit proposals for professional, policy or public awareness activities and most have been funded (with some due diligence in limiting the cost of requests or the frequency of events by an individual or group)

### Institutionalization of IAASTD

Other than one person, who saw the need for a World Council of Agriculture, there was surprisingly little support for the "institutionalization of IAASTD" even among strong supporters of IAASTD. As one (anonymous) supporter put it:

> I do not believe the IAASTD should be either institutionalized or periodically updated. Institutionalization would kill the innovative creative essence of the IAASTD that grew precisely from its complex, multi-organizational, multistakeholder process. There is no one institution that could recreate or perpetuate the IAASTD, without intentionally or otherwise reproducing something quite other than what it originally was (and now is). (All institutional arrangements have this tendency to absorb and reshape according to their own inevitable biases.)

The suspicion of possible co-optation was voiced with respect to all of the established UN agencies and major NGOs.

A strong argument is also made by those who look at the complexity of IAASTD and conclude that a "platform", such as the International Platform on Biodiversity and Ecosystems Services (IPBES), could not work.[80] For IAASTD, the issues are too many, the perspectives are still divergent, and there are already many established platforms to promote, use, generate and update knowledge in specialized areas.

Finally, there were those who argued that institutionalization was not warranted because the messages were diffuse, there were no benchmarks and no plan of action to which one could commit.

### Sustaining IAASTD's Achievements

The strong majority of respondents called for some form of action. There was a balance between two action modes: 1) advocacy aimed at achieving high level political commitment, and 2) focused research on critical topics and filling gaps in IAASTD coverage.

The proponents of advocacy stressed the need to act while the IAASTD is coming out. Their targets in order of frequency mentioned were: 1) getting the co-sponsors, key agencies and signatory governments to support IAASTD more actively; 2) work with partners at the national level to get governments exposure; 3) donors to incorporate IAASTD messages in their aid programs; and 4) public awareness. Advocacy groups by definition have their specific interest and the IAASTD brand is applied to many products.

[80] http://www.unep.org/civil_society/GCSF10/pdfs/GR-IPBES-GreenRoom.pdf. IPBES would provide 1) policy relevant analysis, 2) improved communication and knowledge brokering, 3) improved scientific support to strengthen the science-policy interface. Developing countries called for capacity building and there was a general agreement that it should be independent of the CBD. (February 2009).

Various champions have argued at the Madrid Food Security summit that the multistakeholder model of IAASTD be copied in GPAFS[81] and Greenpeace has called on the G-8 agriculture ministers to act on the results of IAASTD[82]. At this level the messages are of a high order: a new way of mobilizing agricultural knowledge science and technology is needed and continued experiments with multistakeholder processes need to be carried out.

The proponents of further elaboration of IAASTD's key themes note the need to reflect current circumstances and demonstrate the applicability of IAASTD messages in times global crisis: e.g. food security, information and evidence gaps, and a wide range of specific themes (highlighted by different respondents. This would also be the time to deal with capacity building requirements and the unresolved issues, some of the unresolved areas of IAASTD's original intent.

If IAASTD's achievements are to be sustained, there is need to put in place benchmarks for monitoring the type of change (policy, institutional, environmental) that is hoped for. This is not something that can be done without resolving some of the unfinished business. We recommend a few targeted research projects to enhance the usefulness of IAASTD to policy makers: 1) revisit the scenarios through an iterative process of "strategic conversation"[83]that uses both quantitative and qualitative information; 2) quantify the size, population and importance of the recommendation domains for the agroecological options proposed; and 3) assess the scientific, educational and institutional investments associated with implementing the options.

Given the preference that the evaluation team found among respondents for lighter mechanisms, smaller expert teams, and focused objectives, we recommend a few targeted research projects to enhance the usefulness of IAASTD to policy makers.

#### Action at the regional and national level

The large majority of proposed actions were situated at the national and sub-regional levels where impact was closest to stakeholders. Specific actions included 1) the creation of sub-regional "platforms" to support activity at the national level; 2) create national fora, 3) develop national capacity to integrate AKST across sectors. Along with this goes a dissemination of the AKST framework. The regional level was designated as the place where "space" for consultation and monitoring could be created.

#### Suggestions for implementation

A strong majority of respondents who made suggestions believed that a distributed network with regional and national focal persons, local "chapters" of IAASTD could become effective at low cost. It would require: 1) some coordination, 2) a well publicized and pro-active website, and 3) focus on key themes or actions.

Suggestions for a pro-active website include: 1) accessibility of key documents online and links to the 22 key findings and supporting documents and 2) news bulletins highlighting success in implementing IAASTD messages through an up-to-date list-

[81] Global Partnership on Agriculture and Food Security. (process for its creation decided at the "Madrid Summit" January 2009)
[82] Greenpeace: Agriculture at a Crossroads—7thSpace Interactive. .http://7thspace.com/headlines/307181/greenpeace_agriculture_at_a_crossroads.html
[83] Van der Heijden, Kees. Scenarios: the Art of Strategic Conversation. 1996.Wiley

serve with meeting reports and think pieces of interest to IAASTD stakeholders[84]. Such an activity could take place with a light form of networking and some coordination. Whether an IAASTD Bulletin could become self standing or whether it would be best hosted by a partner organization could be tested at relatively low cost.

[84] An example could be the Multistakeholder Environmental Agreement bulletin maintained by IISD for UNEP: http://www.iisd.ca/mea-l/meabulletin61.pdf. (IISD, for example, wrote the daily summaries of the preparatory meeting for the forthcoming CSD plenary. IAASTD also supported a side meeting of CSOs at that preparatory meeting for CSD 17 and the Director of IAASTD will speak at the CSD plenary in May. The Copenhagen Conference on Climate Change in 2009 is another target for an agricultural message.

## *Annex 11: How participants benefited from IAASTD: Results from Survey*

We believe that we have correctly identified some of the issues and lessons for future assessments coming from the IAASTD experience. It is easy to forget that it is important to commend as well as to recommend. The following bulleted list attempts to categorize the ways that participants claim to have benefited from their experience. (Survey Question 24)

1. Personal enlightenment
    - Differences between Europe and US way of thinking about the science-policy interface
    - How rigidly certain positions in world of conventional agriculture are held and defended
    - Improved ability to communicate across disciplines and have "hard discussions" with scientists I would not otherwise have approached
    -
2. Communication
    - Need for communication, openness and transparency
    - Need for inclusion of all views
    - After debate, able to come to consensus in almost every main point of IAASTD
    - Open discussion with NGOs raising important issues
    - Need to listen to and consider divergent views
    - Better idea of how a multistakeholder process can be implemented and the advantages of doing so to work through polarized views on politically sensitive topics
    - Improvement of efforts in working for consensus
    - Increase my commitment to moderation.

3. Technical
    - Better idea of "trends in agriculture;" better appreciation of diversity of traditional knowledge systems (xxx
    - Learned more about own region
    - Arguments for multifunctionality in soil management…
    - Understanding global patterns of development (from a sub-global participant)
    - Linkage between global and local approaches: (Ch 3: Criteria used in analysis of data: goals, certainty, range of impacts, scale and specificity. *Table 3.1)
    - Importance of climate change

4. Framing the issues
    - Identified need for <u>multi-sectoral</u> involvement, not just agriculture: health, environment, agricultural production
    - Understanding the complexity of knowledge systems
    - Pre-eminence of policy and institutional issues for poverty reduction

- Importance of multidisciplinary approach
- How to link more effectively “hard” with “soft” science in order to target poverty reduction.
- Reminded of the polarization of the views about the future of agriculture and convinced that it is important to have this debate between technology-centric and farmer-centric approaches
- Multi-stakeholder dialogue around AKST as an effective tool to achieve a sustainable change in the way societies perceive and develop their agro-food systems.
- All inclusive stakeholder participation is the way to go
- Understanding of knowledge systems.

5. Science-Policy Interface
    - New strategies needed to think and operate on how to discuss with strong government positions and international institutions
    - Critical role of civil society organizations
    - New perspectives on the relationship between science, policy and politics and ideas on effective ways of working in research-policy communication
    - It emphasized the necessity of making sure that research scientists need to be aware of and interact with policy makers at all levels.
    - Need for governments and research institutions to evaluate whether their own research direction and recent findings are like to help address the stated problems.
    - Improve my capacity to condense scientific findings into policy options
    - Need to link agricultural science and society.
    - Instructive to see the actual ways in which powerful actors, from different interest groups influenced (or not) the direction and content of the assessment.
    - Importance of governance relative to science and technology

6. Insights:
    - Insights in terms of the complexity of the issues and there are not easy answers for the challenges posted.
    - Many countries struggle with same problem: farming is changing/developing without (national) governments having much influence on the developments.
    - Serious change in policy and practices needed
    - Linkage between global and local approaches was a major turning point
    - Relevant knowledge search needs to move away from established institutional mechanisms
    - Importance of knowing (deconstructing) other stakeholders’ points of view and need to interact in an organized way.
    - Understanding that smallholders are more important to a sustainable future than any of us would have thought at the beginning of the process.

7. Changed personal ideas”:
    - Reducing some (NGO) prejudices about the motivation, knowledge and efficacy of institution, academia and companies.
    - Increased commitment to agro-ecological development…future for planned development of agriculture.

8. Global and sub-global
    - Understanding of and importance of global trends for regional understanding
    - Need for action at the local and national level and the.need for capacity building.
    - Sub-global: new appreciation of the importance of smallholder agriculture

9. Management of Multi-stakeholder process:
    - Requires both time and space; the importance of boundary agents

# *Annex 12: Summaries from Sub-Global Evaluations*

## A12.1 Key Findings Sub-Global Evaluation: LAC

### Design

1. IAASTD resulted from a number of regional consultations held under the aegis of a Steering Committee to assess the demand for and expectations of an "assessment". Two of these meetings were held in LAC (Lima, Peru and San Jose, Costa) in the first half of 2003.
2. At the Nairobi plenary August 30-September 3, 2004, it was decided that each of the sub-global assessments would utilize the methodology of the global assessment. They would focus on rural livelihoods, nutritional security, equity and environmental and human health. They would look back 50 years and look forward 50 years. The scope of the sub-global assessments would be determined by the priorities established within each region and approved by the full Bureau.
3. The LAC design meeting took place in San Jose, Costa Rice, May 23-36, 2005 and produced an annotated outline.
4. The assessment started with an "authors" meeting in San Jose, January 10-16, 2006. After discussion in plenary, the participants decided to "reorganize the thematic content to make it more consistent and compatible with the content of the global report, maintain the thematic approach within the chapters and strengthen the section on options for change".
5. Not many people who participated in the design team participated in the authors meeting. The evaluation team finds that this instability in participant continuity ran throughout the process until the final report was filed.
6. Continuing changes in the composition of the authors' teams, plus the adopted timetable, which required that the different chapters were developed simultaneously, conspired against the internal consistency in some topics, in general, and particularly in allowing a clear evolution from the diagnosis to the recommendations and options for change and improvement.
7. The InterAmerican Institute for Cooperation in Agriculture was chosen to host the Regional Coordination Office and work in collaboration with UNESCO, which as a co-sponsor, served as contact point with the region. IICA performed all its logistical functions well.
8. The team notes that IICA is an intergovernmental organization governed by the Ministers of Agriculture of the region and serves, inter alia, as a source of policy support to the Ministers of the region. It was surprised to learn that IICA had been discouraged from bringing its technical expertise to the discussions and that no IICA or UNESCO people appear as authors or contributors to the documents. The TORS called for it to play a role in "editing" and "integrating… (received materials)..into a coherent document".
9. The multi-stakeholder Bureau was well-conceived in design; however, there was a lack of continuity in the participation of the representatives of different groups representing the Region, particularly those representing Governments and public sector research and development organizations with only one of those representatives having been present at two meetings. Many people identified this as one of the weaknesses of the process that conspired against the effectiveness of the Bureau in providing overall guidance.
10. Latin America is rich in diversity of organizations representing farmers of all types: by commodity, by technology (e.g. "no-till", "organic farming"). Although the

assessment included a strong participation from civil society through representatives of NGOs, producers' organizations did not have a presence in the different functions in accordance to their diversity and representativeness.

#### Relevance

11. The diversity of Latin America – agrogroecologies, cultures, politico/administrative – within countries and among countries, is correctly emphasized. Apart from identifying three "agricultural systems" this concept is not used in a way that quantifies the importance of each type of system, or provides a framework for so that future options could be put in context and linked to capacity development needs.
12. The Team notes that the decision to separate the original options chapter into two analytical pieces, one referring to modifications for the AKST agenda and related institutional changes and the other focusing on the support policies that are required for AKST to meet the stated development and sustainability goals, is a clear value added for the report. It correctly frames the potential as well as the limits of AKST in terms of development goals.
13. The assessment was designed to be "policy relevant not policy prescriptive", provide "options for action" and incorporate "capacity building activities". In most cases options are stated in very general terms and there is no alternative offered (therefore "prescriptive"). Since many of the options presented imply important departures from current orientations, the issue of developing the institutions and human capacities to implement change need to be assessed.
14. Policy makers have many different types of needs for data, information and advice, often depending on their own technical expertise and the quality of advisors at their service. The fact that a less than 50% of IAASD participants felt that the materials were useful for discussion with policy makers found the material to be above average or better reflects the difficulty of targeting "policymakers" with general messages.

#### Content of the LAC Assessment

15. The Summary for Decision Makers is good in recognizing the contribution of AKST to production and productivity objectives, in recognizing the resource constraints facing the region, and in emphasizing the need for new policies that enable AKST to express its full potential. The SDM is a compilation of key messages from each chapter and therefore reflects the strengths and weakness of each chapter.
16. More treatment of the diversity of systems, a range of options and implementation issues and nature of capacity building requirements would have strengthened the SDM. While the LAC Assessment retained its full chapter on scenarios, no mention of them is made in the SDM.
17. Chapter 1 highlights the diversity of agriculture in LAC but does not quantify it terms of base for change nor elaborate the AKST accomplishments. The use of three production systems: traditional/indigenous, conventional/productivist, and agro-ecological proved difficult to use analytically and their importance was not quantified.
18. Chapter 2 makes an important contribution in reviewing the situation of AKST systems and identifies their main characteristics and weaknesses with respect to the challenges ahead. It could have been strengthened by a more in-depth discussion of the rich regional experience with the integrated rural development programs and the

significant pioneering work on participatory, on-farm and farming systems research by both NGOs and international centers that took place from the early 1970s onwards.

19. As with other "regions", there are giants and there are micro-states. The "small country problem" of the latter has been the subject of numerous efforts at sub-regional organizations, but the issue is not really brought into the analysis, so loosing the opportunity to offering alternatives to what is commonly identified as a problem for many policy areas.
20. With respect to technology and impact, there are only three pages in fifty that deal with this issue when the region has many alleged successes in rice, cassava, potatoes and beans. Finally, there is no mention of "emerging technologies" and, in particular biotechnology as a body of new knowledge and tools, beyond the genetic engineering divide (molecular biology, genomics and genetic markers, tissue and cell culture techniques to improve the efficiency and effectiveness of technology development). GMOs are only a part of the debate. The critical issue is the one of access to the new technologies and that has been to a great extent sidelined.
21. In summary, Chapter 2 offers an incomplete view of the context and evolution of LAC's AKST systems.
22. Chapter 3 on plausible scenarios for development records a valuable attempt to provide a context for assessing options and capacity needs. However, scenarios were dropped from the global report and the chapter on scenarios is not integrated with the rest of the LAC assessment. The most important conclusion is that most of the scenarios analyzed the AKST systems have favorable social and environmental repercussions for society as a whole. The corollary is that AKST is not sufficient to reduce hunger but requires a system with governance, legal and regulatory institutions, and international trade practices to be effective.
23. Chapters 4&5 are closely related (Options for the Future and Public Policies). As indicated in the discussion of Chapters 1&2 the kinds of demands that emerge from different future scenarios and the opportunities for AKST to make a different are not elaborated. The degree of generality precludes identification of the institutional arrangements and capacity building requirements. The chapters rightly recognize the limits of AKST level policies and actions. This also puts on the table the limitations of science and technology fixes for the solution of the broader social issues of poverty, hunger, gender discrimination and resource degradation.
24. AKST is a blunt instrument for addressing social goals. The LAC assessment calls for a "changing course" strategy but does not address the pathways and implementation needs in terms of capacity building and institutional arrangements.

#### Coherence of LAC Assessment with Global Report.

25. Both the Sub-Global Assessment for LAC and the Global Assessment share a common vision of the world, notably the unsustainability of present production systems, the imperative need to re-structure AKSTD systems to make them more participatory, and that today's AKSTD completely ignores local and indigenous knowledge. The evaluation of the LAC findings vis-à-vis the Global findings is summarized along with the findings from the other Sub-Global reports.

#### Summary

26. IAASTD has been a welcome exercise. Participants agree on the relevance of looking at AKST in a regional (and national context) and they valued the multi-stakeholder nature of the process which brought different points of view to bear on

the discussion of past experience and identification of future pathways. The analysis has some information gaps and incomplete exploration of alternative points of view regarding key issues. By not considered the different "plausible futures" (or assessing the "most likely future" the policy options are presented without a future context. Time limitations, the development of chapters in parallel, turnover of participants, and pressure to complete one's own section during authors' meetings are cited with regret by many participants as having reduced cross-chapter coordination and also between the global and sub-global levels. At the time of the evaluation, outreach activities in the region do not seem to have been very effective and, from Survey responses, even participants in the process do not seem to have remained strongly linked.

## A12.2 Key Findings– ESAP region

The responses to the questionnaire from the IAASTD authors, review editors, Bureau members and participants of the IAASTD Johannesburg Plenary included 19 out of 238 responders. Based on a review of IAASTD reports and the feedback from the questionnaire and follow up communications helped in capturing the following key findings related to ESAP region:

### Design

The Regional Implementing Institution has been changed from the Chinese Academy of Agricultural Sciences (CAAS) to the World Fish Center (WFC) due to implementation capacity considerations.

1. IAASTD resulted from a number of regional consultations held under the aegis of a Steering Committee to assess the demand for and expectations of an "assessment". Four of these meetings were held in ESAP during 2003. They were held in New Delhi, India – May; Suva, Fiji – May, Bogor, Indonesia, June and Beijing, China, November 2003. In addition, four Sub-Global Authors Meetings were held for ESAP region during November 2005 to June 2007.
2. At the Nairobi plenary August 30-September 3, 2004, it was decided that each of the sub-global assessments would utilize the methodology of the global assessment. They would focus on rural livelihoods, nutritional security, equity and environmental and human health. They would look back 50 years and look forward 50 years. The scope of the sub-global assessments would be determined by the priorities established within each region and approved by the full Bureau.
3. The scopes of the evaluation for ESAP, its organization and governance structure were decided during the New Delhi meeting in May 2003.
4. The assessment started with an "authors" meeting in Penang, Malaysia Nov 28 - Dec 1, 2005.
5. People did not understand what an assessment was all about. Unlike the IPCC, which had crystal clear intent, IAASTD lacked this from the outset that resulted in some not buying-in to the project. Many people who participated in the design team did not continue their participation in the authors meeting. Lack of facilitation was expressed as one of the disappointing experiences. The evaluation team finds that this instability in participant continuity ran throughout the process until the final report was filed.
6. Continuing changes in the composition of the authors' teams, and adjusting the timetable required that the different chapters were developed simultaneously; this did not assist in developing internal consistency in some topics and in facilitating desired progression from the diagnosis to the recommendations and options for change and improvement.
7. The World Fish Center (WFC) was chosen to host the Regional Coordination Office. WFC assisted in recruiting two local managers through a formal contract for IAASTD. They reported directly to IAASTD / World Bank for the program matters. WFC handled administration of accounts on behalf of IAASTD through the two people employed for IAASTD. WFC did not have any responsibility for supervision of the two IAASTD-ESAP regional managers or for coordinating activities, reviewing the documents for their coherence etc.

8. WFC staff participated as technical people in a separate channel through staff referees, which was satisfactory for WFC at that level.
9. The multi-stakeholder Bureau was well-conceived in design; however, there was a lack of continuity in the participation of the representatives of different groups representing the Region. The large countries (China and India) in ESAP were given more importance. Also the level of the responsibilities of various country representatives varied, which affected their participation and the outcome of the exercise.

**Relevance**

10. Governments of only eleven (Bangladesh, China (People Republic of), India, Lao People's Democratic Republic, Maldives, Philippines, Republic of Palau, Solomon Islands, Timor-Leste, Viet Nam) out of 33 countries accepted the ESAP Report. Participation of the small island states in particular was poor, which also affected the coverage of topics relevant to those countries.
11. The Asia-Pacific region of ESAP is home to the largest concentration of poverty stricken and under-nourished people in the world; with 583 million people, or 63% of the world's total, still unable to access sufficient food for sound health and growth. Though the land area is limited to 16% of the global land resources, almost 56% of the global population is being supported by the region. The size of landholdings is declining and production resources are shrinking. The agricultural workforce is increasingly becoming feminized and older. These statistics relate to two critical considerations. Firstly, the importance of capacity building of a massive rural population. Secondly, the importance of ensuring a good representation of resource-poor farmers/producers and women in the study. The study dropped the 'capacity strengthening' topic altogether. Although the assessment included participation from civil society through NGOs, resource-poor producers and women workers did not have a presence in the functions in accordance to their numbers in ESAP.
12. ESAP region is rich in bio-diversity, highly heterogeneous with wide variation in agro-climatic zones, levels of economic development, social infrastructure, human well being and recurring threats due to disasters and crises. These require multiple AKST and non AKST options for sustainable development. Conserving bio-diversity, mitigation and adaptation to natural disasters including climate change are burning problems confronting the region. These constraints did not receive adequate attention.
13. In the Pacific Island countries, with few exceptions such as Fiji and Papua New Guinea, the island nations have small economies and limited natural resources. Agriculture, particularly the export sector, fisheries and tourism are extremely important to the economies of many of these countries. The growing threat of climate change is also affecting these island nations adversely. It is expected to have substantial increase in numbers of "climatic change refugees" from low lying and small island nations, coastal areas and even those with low rainfall; adding significantly more to the existing high population of environmental refugees in the Asia-Pacific region. The report does not adequately address the issues related to small island states.

14. In the history and impact of AKST, the ESAP report recognizes application of AKST to (i) crop production, (ii) major farming systems, (iii) livestock production (iv) forest production, (v) fisheries production, and (vii) organic agriculture. However, in the options provided for the future, much of the focus is on crop production with little consideration to these diverse agricultural systems for livelihoods.
15. The Team notes that the decision to separate the original options chapter into two analytical pieces, one referring to modifications for the AKST agenda and related institutional changes and the other focusing on the support policies that are required for AKST to meet the stated development and sustainability goals, is a clear value added for the report. It correctly frames the potential as well as the limits of AKST in terms of development goals.
16. The assessment was designed to be "policy relevant not policy prescriptive", provide "options for action" and incorporate "capacity building activities". In most cases options are stated in very general terms and there is no alternative offered (therefore "prescriptive"). Since many of the options presented imply important departures from current orientations, the issue of developing the institutions and human capacities to implement change need to be assessed.
17. Policy makers have many different types of needs for data, information and advice, often depending on their own technical expertise and the quality of advisors at their service. The fact that a less than 50% of IAASTD participants felt that the materials were useful for discussion with policy makers found the material to be above average or better reflects the difficulty of targeting "policymakers" with general messages.

**Content of the ESAP Assessment**

18. The ESAP (Volume II) Report titled 'Agriculture at a Crossroads' is comprehensive and an excellent resource for teaching, learning and research. It could also be useful for more specific assessments to suit particular institutional, national and regional assessments and also internationally. There are 5 Chapters: 1. Contextual Realities, 2. History and Impact of AKST, 3. Influence of Trade Regimes and Agreements on AKST, 4. Agricultural Change and Its Drivers: A Regional Outlook, and 5. Development and Sustainability Goals: AKST Options. The Coordinating Lead Authors, Lead Authors, Contributing Authors and the Review Editors and others who contributed the Report deserve to be acknowledged. It will be a useful resource.
19. The Summary for Decision Makers is good in recognizing the contribution of AKST to production and productivity objectives, in recognizing the resource constraints facing the region, and in emphasizing the need for new policies that enable AKST to express its full potential. The SDM is a compilation of key messages from each chapter and therefore reflects the strengths and weakness of each chapter.
20. More treatment of the diversity of systems, a range of options and implementation issues and nature of capacity building requirements would have strengthened the SDM. While the ESAP Assessment addressed the use and fitness of scenarios in Chapter 4, no mention of them is made in the SDM.

21. Chapter 1 aptly highlights the diversity of agro-ecological zones, climate, size, geography, production systems, socio-economic and political aspects, cultures within and between the ESAP countries. However, the report does not quantify these aspects as the basis for change nor relate them adequately to the AKST accomplishments
22. Chapter 1 rightly states that "People are the wealth of ESAP" and that 'investing in people would bear development dividends. The majority population of ESAP directly or indirectly depends on and contributes to agriculture. Accordingly, for the future of AKST and associated development, highest priority should be on capacity building of the masses. The report does not give sufficient importance to this aspect.
23. Chapter 2 makes an important contribution in reviewing the situation of AKST systems and identifies their main characteristics and weaknesses with respect to the challenges ahead. The 'Authors' elaboration' of NARS actors and roles in the generation, promoting, dissemination and adoption of AKST (Table 2.3), Barriers to Change arising from some institutional rigidities (Box 2.2), Potential ways to facilitate institutional change (Table 2.4), and Impact of the Green Revolution in India (Box 2.3) are welcome additions to the Chapter. A majority of the figures in this Chapter are from one source (FAO 2006a; not included in the list of References) that relates to crop area, production, inputs, consumption etc. This Chapter would be strengthened by more coverage on non-crop related agricultural systems such as animal husbandry, aquaculture, coastal ecosystems, fisheries, forestry, plantation crops etc. that are also important for the region. This also impacted the consideration of these systems in Chapter 5. Development and Sustainability Goals: AKST Options. As with other "regions", there are giants and there are micro-states. The "small country problem" has not been adequately addressed.
24. Chapter 3 on 'Influence of Trade Regimes' is very informative. The options provided together amount to a substantial shift, including a paradigm shift in thinking on the interaction of trade and environmental issues. The authors rightly challenges whether the existing institutions can formulate and implement the required policies, or whether a new set of institutions will be required to manage the new economic-ecological paradigm, which brings together economic and ecological issues, rather than separate them, as has so far been the basis for international trade. The most important conclusion is that 'the challenge before the global economy is whether the necessary measures and the likely institutional changes will be brought about in time.'
25. Chapter 4 on 'Agricultural Change and Its Drivers: A Regional Outlook' is again a useful contribution. The authors explore how the individual drivers will evolve in the future; how the drivers of change relate to each other and how these inter-relationships and changing contexts will shape AKST in future – unlike the current compartmentalized sector (trade / finance / development aid / agriculture / health) based approach of decision making. Given that the young comprise a sizable population, and greater access for education and information technology in Asia, the Authors recognize the need for increased investments in human resources in the Asia-Pacific Region and the importance of university education

system that caters to formal AKST, with associated public and private goods. The 'Chinese National Development Program Compendium of Science and Technology for Mid-long Term (2006-2020) in Box 4-3. is a useful reference that could be considered by other nations.

26. Chapter 5: 'Development and Sustainability Goals: AKST Options' provides key messages that are comprehensive and relevant to ESAP. The section on existing and emerging technologies in the ESAP Region that proposes the need to provide increased access to the information and communication technologies (ICT) that facilitate rapid dissemination and exchange of information is a welcome inclusion in this Chapter that is not sufficiently addressed elsewhere. It could be strengthened by including the importance and relevance of open and distance learning (ODL) and information and communication technology mediated open and distance education (Tech-MODE) in providing life-long learning opportunities for anyone, any time (just-in-time), anywhere that are contextually relevant, which are most important considerations for the agricultural sector. Traditional knowledge, the value of which is being challenged due to the globalization makes it particularly important that life-long learning opportunities are provided through ICT and ODL to rural masses so that they too could capitalize on the emerging global knowledge economy.

**Coherence of ESAP Assessment with Global Report.**

27. The thematic Synthesis Report became available relatively late in the evaluation process. Both the Sub-Global Assessment for ESAP and the Global Assessment share a common vision of the world, notably the unsustainability of present production systems, the imperative need to re-structure AKSTD systems to make them more participatory, and that today's AKSTD completely ignores local and indigenous knowledge. The evaluation of the ESAP findings vis-à-vis the Global findings is summarized along with the findings from the other Sub-Global reports.

**Summary**

28. IAASTD has been a welcome exercise. Participants agree on the relevance of looking at AKST in a regional (and national context) and they valued the multi-stakeholder nature of the process which brought different points of view to bear on the discussion of past experience and identification of future pathways. The analysis has some information gaps and incomplete exploration of alternative points of view regarding key issues. The initial annotated Chapter Outline considered including section on 'Plausible futures' as well as 'Developing Storylines' (http://www.agassessment-watch.org/docs/ESAP_outline.pdf). By not considering the different "plausible futures" (or assessing the "most likely future") the policy options are presented without a future context. Time limitations, the development of chapters in parallel, turnover of participants, and pressure to complete one's own section during authors' meetings are cited with regret by many participants as having reduced cross-chapter coordination and also between the global and sub-global levels. At the time of the evaluation, outreach activities in the region do not seem to have been very effective and, from Survey responses, even participants in the process do not seem to have remained strongly linked.

29. The report says that the ‘green revolution’ was built on continuous innovation, reducing farm-gate prices and externalizing costs. It was intimately tied to the purchase of seeds, chemical fertilizers, pesticides and intensive irrigation – all external inputs. It necessitated increased (external) knowledge-dependency, distancing production and consumption. It alienated the value of local knowledge and self-reliance in farming, which was a natural cyclic process. With the globalization, this trend might continue, which would only benefit the resourceful farmers and farming communities.

    Multi-functionality is described only in terms of farm outputs, ignoring its association with farm inputs (seed, chemicals, new knowledge etc.), which were earlier in the purview of farmers. This raises another aspect of multi-functionality based on the level of resources that the farmers could afford. Accordingly, to address poverty and hunger, improve rural livelihoods and environmental sustainability, options for AKST and non-AKST considerations for farmers of different socio-economic levels would vary.

    The report says we cannot rely on aggregate and individual choices to achieve sustained and equitable collective outcomes. The advice given to the farmer is to move away from uncompetitive livelihoods and move away from agriculture to non-farming employment. Both the competitive farming and non-farm employment are likely to require new knowledge and skills. So, the focus should be on providing life-long learning opportunities for the ESAP farmers, so that they will be able to make informed decisions on various choices available to them and also to be able to demand other new choices, as appropriate.

    The conventional approach of linking farm outputs to local, national and global markets was the option suggested for empowering and reducing poverty among farmers. The major problems facing resource-poor farmers is not one of improving narrowly defined measures such as productivity or production but one of improving their livelihoods. Their primary goal should be to combat malnutrition and ensure healthy food. For them perhaps, home gardens and collective farms using environmentally benign means need to be considered. They could focus on domestic and local consumption. These are best done in small units where inputs are managed locally.

    A nexus of production-consumption-disposal will organically tie the inputs to outputs as in nature-farming. The basic tools and machinery could be produced locally using alternative energy sources such as wind-hydro and dendro power. Such decentralization will also reduce the burden of mass transport and packaging costs that eat away the farm gate prices. The farmer had an integrated system of farming with minimum external inputs. Such a system prevailed in the past. AKST options suitable for farmers with varying resource base should be available for ecologically friendly sustainable development.

### A12.3 Key Findings: CWANA

1. The IAASTD process began by preparatory nature activities took place in 2003 and included a number of regional consultations to assess the demand and expectations of the assessment. One of these meeting took place in CWANA: Cairo, Egypt, February 25-26, 2003. These meeting were followed by the first plenary meeting that took place in Nairobi, Kenya, from August 30 to September 3, 2004. At his meeting, the general operational and administrative aspects of the process were agreed and decisions were made about the general structure for the IAASTD report for both the global and regional assessments.
2. The CWANA assessment started with an "authors" meeting that took place in Rabat, Morocco, from February 8-11, 2005. During this first regional meeting the structure outline of the CWANA assessment was set by the authors. Afterward, three regional meetings were conducted for assessment progress proceeding and discussion between 2005 to 2006 at Aleppo, Aman and Cairo
3. During the regional meetings of CWANA the authors decided to perform some modifications on the structure of the document in order to make it more consistent and compatible with the content of the global report, maintain the thematic approach within the chapters and strengthen the sections on options for change (Table 2).
4. After familiarizing himself with all the relevant documents, the regional evaluator contacted a list of participants by email seeking feedback on the governance, management, and critical processes involved in producing a credible and legitimate assessment of AKST. They were also asked to suggest ways (if any) by which future assessments might be made more effective, efficient and relevant. Finally, they were asked the way forward for IAASTD.
5. The evaluation sought to gain information in three ways: 1) an on-line survey of participants using mailing lists from the Secretariat, 2) email contact with key informants, and 3) telephone calls targeting individuals who had played a role in managing the processes.
6. The following findings are put forward for inclusion in the main report:
    - Language has been a barrier not only in the development of the assessment but for the evaluation of the assessment. The assessment worked basically in English with large portions of the region using other first languages: Arabic, French, Turkish, and in Central Asia, Russian was the lingua franca for people who spoke other national languages.
    - Selection of authors: the process of nomination and selection was not clear. Experience showed that many lead authors dropped out, had to be downgraded to contributing authors or were replaced.
    - Compensation: CLAs and some LA were compensated for their participation according to a policy that was established by the Bureau.
    - Turnover: Competing time commitments were the most common explanation for dropping out. There were long periods between contacts and some people felt they had been dropped.
    - The Secretariat: made a "great effort" that may not have been adequately understood given the burden it bore. Its support was good.

- ICARDA's role was well appreciated both as a host of the regional coordination and as a contributor.

- Decision Makers and Policymakers were generally unaware of the process. There were few high level policymakers at an otherwise good outreach event. The Summaries for Decision Makers need to be linked to the full report to serve as a real guide.

7. There were a number of recommendations for improvement:
   - Responsibility for chapters: The Coordinating Lead Authors should have full responsibility for their chapters with the authority to get additional input from Contributing Authors.
   - Selection of Authors: There should be a selection based on "scientific reputation and background".
   - Scope of the assessment: it is not sufficient to assess alternative strategies for science and technology; feasibility of implementation and cost of alternatives are necessary if policymakers are to take action.
   - Dissemination of outputs: CD or electronic distribution of the full reports widely throughout the region is needed. Its impact will come from widespread use by people who can influence policy.
   - Secretariat: Some form of continuing secretariat is needed for follow-up.
8. There was comment on the content of the CWANA report and complementary needs:
   - Food price rises: could not have been adequately covered in the report. A complementary study to see how IAASTD knowledge could contribute to understanding is indicated
   - Genetic engineering remains the unsolved issue. There are regulatory frameworks for biosafety under the Cartagena Protocol that can be developed at the national level. Every country should be able to establish its own policy on the basis of the best information and public debate. In an arid region, its application to crop tolerance needs to be an option.
   - Water trading (virtual water) and transboundary water issues are important. Agriculture is an inefficient user of water and a polluter. Water pricing that recognizes true costs can be a strategy for water saving.
   - Integration of ideas: Interviewees confirm that in some chapters "very few people actively contributed". Moreover, while there were many sections of chapters and five chapters, the integration across chapters and among themes was weak.
   - Regional cooperation is essential where water and other transboundary issues exist. Follow-up of IAASTD at the Regional level may be more important than a continuing global secretariat.
   - Renewable energy includes wind and solar power
   - Fisheries and aquaculture are not adequately covered in either the CWANA or Global assessments.
9. Feedback on the way forward in the region can be summarized as follows:
   - IAASTD's output for the region is relevant, a "constructive initiative" and "important contribution". Countries of the region share many of the same challenges but in different intensities. The development of an AKST system that

can identify and respond to challenges such as trade and market access, conservation of biodiversity and land degradation is a critical need.

- Workshops at the regional level with a systematic collection of feedback are recommended.
- Policies for managing agricultural risk. Rather than respond to emergencies, what most countries of the region need is to design and implement a proactive risk management policy.
- Regional advocacy of more participatory approaches that strengthen the role of women, farmers' organizations and participatory approaches. Progress towards better governance is reinforced if it is happening in several places.
- Scaling up of promising technologies can take place across national boundaries if institutional arrangements are in place. The CWANA SDM did not mention the examples of indigenous knowledge that could transfer across countries with little adaptation.
- Transparent, participatory and well governed institutions are needed to ensure that AKST is geared towards both development and sustainability goals.
- Sustainability of IAASTD ideas needs to be institutionalized at the national level in a Ministry with policy-making functions, rather than in a research organization. It will then be responsible for ensuring links among the local, regional (sub-national) and national tiers of action.

## A12.4 Key Findings: North America/Europe

#### Process of NAE

Meetings of the Sub-Global NAE team were held in:

- Paris, France January 2006
- Cork, Ireland June 2006
- Cape Town, South Africa June 2007
- Washington, DC November 2007

#### Diversity in systems and paradigms

1. The definition of NAE goes from "Vladivostok to Juneau with Israel included"[85]which presents an enormous problem of capturing the diversity of systems and drivers. The discussion of systems was a valiant effort limited by availability of authors, language and communication.
2. What have been described as competing European and North American paradigms are much more strongly argued in the Global Report. However, the treatment of "multifunctionality", the application of the "precautionary principle" and the regulatory treatment of hazard and risk do differ between the continents and find their way into the language of the NAE report in a non-controversial way.

#### Chapter 2: Changes in Agricultural and Food Production in NAE

The chapter documents the increases in productivity fueled by advances in understanding of plant and animal biology; the shift from hunger to overabundance of calories; the increasing privatization of intellectual property, more vertical integration of the system and increased concerns with environmental, social and health impacts.

#### Chapter 3: Environmental, Economic and Social Impacts of North American and European AKST

1. The chapter catalogues a number of environmental impacts of intensive production. The catalogue is not controversial in principle: agricultural pollution of waterways, overuse of antibiotics in animal production, over-farming in aquaculture, and emission of greenhouse gasses. Debate could be principled based on choice of metrics.
2. The GMO controversy slips in through the use of some convoluted language: "Evidence for the presence of direct environmental impacts from genetic engineering remains controversial. Conclusions that the production of genetically engineered crops have not led to adverse environmental effects are not accepted by some stakeholders." The statement, therefore, is far from the anti-modern technology hype that the media built up around IAASTD. It later states that "there is no scientific evidence that the commercial cultivation of genetically engineered crops has caused environmental harm." This is followed by statements about the limited applicability of the techniques which is an empirical question about the economics of the technology, not its externalities.
3. The report allows that herbicides can facilitate conservation tillage; that modern chemicals are less persistent and less toxic than the herbicides they have replaced and that gene flow from genetically modified crops can be managed. This moves the debate into

[85] Comment by a CLA.

an area for more empirical research. However, the EU and the US have different approaches to regulation, with the former basing decisions on hazard and the latter on the basis of risk. The treatment of "uncertainty" is a values question.
4. The chapter concludes the discussion of environmental consequences with a note that AKST is continuing to provide newer and better tools and expertise to assess impacts of agricultural changes on wider biodiversity and thus provide guidance on how to reduce biodiversity effects. The debate is allowed to continue whether increasing intensity of production in some areas and conserving land in others (land sparing) is as valid as the ecological emphasis in the ecosystem services approach.
5. Chapter 3 points out a number of social impacts within NAE (existence of some food insecure people, migrant labor, inequities in the food system and diseases of over-nutrition). Most of these are things that are best solved by policy instruments that other than agricultural knowledge, science and technology per se unless AKST is tautologically defined to include everything every means to solve every problem.
6. The chapter finally comments on the fact that the NAE AKST paradigm has failed in developing countries and is showing diminished usefulness. There is a body of literature in NAE that is starting to demonstrate that the rate of growth of productivity in NAE agriculture has been falling due to a reduction in the share of research going into productivity-enhancing research. Unless this is redressed, spillovers to the developing world, however limited will not be available in the coming decades.[86]

#### Chapter 4: Changes in the Organization and Institutions of AKST

1. Chapter 4 was not originally in the outline but emerged from a decision to treat the drivers of change in Chapter 2, the consequences in Chapter 3, and the changes in organizations and institutions in Chapter 4 with lead authors familiar with the innovation systems approach.
2. The chapter contains a useful discussion of the way AKST evolved under different societal circumstances, demand factors and policies. The evolution was necessarily different in North America, Western Europe, and Central and Eastern Europe.
3. In a discussion that relates to the rest of the world, the authors elaborate on institutional factors that limit spillovers from NAE to developing countries: regulatory policies, biosafety protocols, trading regimes and appropriateness of technology for developing countries. It anticipates the discussion for the Global Report of the "global divide", a concentration of expenditure on agricultural S&T in a few dominant countries of the developed world and on a few leaders in the developing world.
4. The chapter concludes with a factual discussion of the development of public control of agrifood systems.

#### Chapter 5: Looking to the Future

The original intention was that the Scenarios from the Millennium Assessment could be the cost-saving basis of dealing with alternative views of the future.

[86] Pardey et al. (2007) Science, Technology and Skills. INSTEPP Report October 2007 University of Minnesota and CGIAR Science Council.

It was recognized that the Scenarios required an effort at the global level to work with the sub-global studies. Three meeting were called of authors involved in modeling the scenarios. The first meeting, held in Rome, showed there were several schools of thought active in the discussion. Chapter 5 describes a multiplicity of approaches taken in Europe to "foresight" and one of the CLAs came from CIRAD's foresight division. On the modeling side, IFPRI brought its IMPACT model which looked at the implications for production and trade when different constraints were increased or relaxed. This work was encouraged by a grant from the Australian government to IFPRI and ABARE. This work carried on in parallel.[87]

For six months the Sub-global authors worked on summaries of the Millennium Assessment. Where they were abruptly told to drop the scenarios, they switched to concentrating on the "drivers". However, they kept the concept of scenarios in the form of "four normative agricultural innovation systems": 1) market led AKST, 2 Ecosystem-oriented AKST, 3) Local food-supply oriented AKST and 4) Local-learning AKST.

The NAE report (Chapter 5) is quite clear in stating that choices about AKST relate to paradigms, investments, governance, policy and other ways to influence the behavior of producers, consumers and the rest of the food chain actors. It concluded that it was unlikely that all development and sustainability goals could be achieved in any of these futures and that several "plausible pathways" and major differences in AKST drivers. Much would depend on the society and its choices.

The task of Chapter 5 is to interpret the intersection between the drivers of change, the change in the policy and institutional context and to identify a range of desired options against which best fit institutions and technologies would work.

Unfortunately, the work of this chapter does not appear to have been taken into account in Chapter 6 and in the summary for decision makers. Not only were the summaries written without the benefit of the final version of the chapter but they appear not to have taken the chapter to heart.

#### Chapter 6: Options for Action

Chapter 6 calls for a "paradigm shift to multifunctionality"and an enhancement of research on ecological and evolutionary science to support it. In support of this paradigm shift, it calls for strengthening human capacity and new organizational arrangements that internalize true costs and create incentives that reward environmental externalities (e.g. payment for environmental services.

As a strong expression of the agro-ecological view of the world this chapter discusses many of the needs. As an assessment, it might have looked also at the costs, potential benefits and pathways of reform of alternative options. As such, it does not include options informed by the work of Chapters 4 and 5 which stress the evolutionary nature of

[87] Table 5.1 gives an overview of quantitative modeling approaches and refers the reader to The Global Report , Chapter 5 and its Annex ) for more detail

AKST Systems where technology, policies and institutions are simultaneously determined. The discuss of the use of hard and soft systems (Chapter 4, Box 4.3) would have been helpful

#### Process Issues Raised through Survey and Follow-up Discussion

In this section, we highlight for the Main Report some of the design, process and implementation issues mentioned by respondents and interviewees.

1. "The Reification of AKST." The Team had been confused by the general and repetitive use of the term AKST as if it is a real thing. By its IAASTD definition it deals with "knowledge" of all types (a stock variable); science (the pursuit or systematic principles of knowledge); and technology (the application of science). It is often used where the "AKSTD System" is intended. AKST becomes tautologically an all powerful instrument. However, it is not clear if research, reform of system components, or interaction with the policy environment is the best response to a challenge. Interviewees have confirmed that this has been a difficulty and the danger of misusing AKST had been pointed out.
2. The concept of multifunctionality was specifically mandated in the Nairobi Plenary. In various review comments, there were strong cautions against using it because of the way it had been used in Doha negotiations. However, one European author argued that it did not present a problem because of the "trade-protection baggage" it allegedly carried but rather because some scientists with a productivity orientation resisted its holistic approach, a view even in some European systems.
3. Author selection and assignment. Turnover of authors was a problem. The decision not to provide honoraria to OECD scientists systematically reduced the accessibility of North American academics and scientists who were required to generate revenue, or at least cost recovery of direct expenses. Some authors started well but after one or two meetings abandoned the process. CLAs also noted that their requests for individuals with specific skills to be named to their team were not followed up or not honored. The discouraged CLAs suspected that gender or country balance took precedence over skill. CLAs also noted that it was necessary to downgrade some lead authors to contributing authors for non-performance.
4. Facilitation of the process. The Secretariat "did its best" but several interviewees expressed "amazement that there was no attention to facilitation of group processes" or that "autonomous facilitators would have bridged different world views". Facilitation would have helped resolve the "difficulty of linking areas that used very different forms of exposition, the more literary being the powerful compared to the more technical and the importance of the different skills in advocacy for the emphasis given to specific types of approach." [88]
5. Time pressure at meetings required authors to work in their teams with inadequate time for cross-fertilization. The solution from one CLA was "fewer authors, more time together, and, if necessary, one less stakeholder meeting.
6. Development of chapters in parallel. The development of the chapters in parallel was common to other regions and to the Global report. There was limited time at

[88] Examples of responses from Survey open-ended questions or responses to follow up contact.

meetings for cross-chapter exchange and people we generally too busy in the time they had with their own teams to benefit from the scheduled opportunity. Changes in the number and content of chapters made it difficult sometimes to establish a relationship with counterparts in other regions.

7. In general, the discourse in the NAE report was very civil, a fact that was volunteered by respondents commenting on the conflicts that appeared in the Global Report, almost a totally separate exercise.
8. The decision by the Bureau to drop the Scenario exercises was a top-down decision that created frustration in all sub-global reports and it was poorly explained and communicated. Very few people interviewed had any sense of how the Bureau functioned; they did not meet with it.
9. The review process followed the guidelines: all comments were read as a group to assess if the person understood what was wanted for the assessment. There was a considerable variation among chapters in the number of comments received. The NAE report received a lot of comments from scientists and academics in USDA.
10. The review editors were considered by the CLAs to have been balanced and useful. Members of the Bureau and authors were encouraged to identify and nominate review editors. Interviews with review editors found that they had been variously nominated by the Director, USDA, and NGO members and these people had been appreciated by their CLAs. The review editors often brought specific regional knowledge or scientific knowledge that was missing in the writing team.
11. The treatment of biotechnology in the NAE report has not been controversial as it was in the Global report.

#### Recommendations for future assessments

Recommendations follow from many of the above observations on processes:

1. Ensure full understanding of the conceptual framework and of the principles of an assessment up front. This is necessary to bring people with a poor understanding of systems approaches up to the task. A corollary is that they can explain the framework to policy makers who, in turn, can use it to decide what elements are relevant to his or her task.
2. At the design phase, schedule modeling and other work so that it can be reviewed before engaging in an iterative discussion with colleagues and stakeholders.
3. Recognize that professional facilitation can be both a time and energy saver.

## A12.5 Sub-Saharan Africa: Key Findings

1. There was great time pressure on authors during meetings. As a result there was limited cross-chapter and cross-level exchange. Time pressure may have forced a weakening of the argument through weak compromises.
2. There are significant gaps in coverage, especially with respect to emerging technologies that can improve environment, health and productivity…e.g., point of transaction diagnostic tools for animal markets. The coverage of livestock is a major gap.
3. Having invoked AKST, they don't show how AKST could be used to manage technologies that are said to be harmful. Risk AND benefits need to be assessed…and ways of managing risk need to be looked at.
4. One commends the treatment of indigenous knowledge and acknowledges that it has its place…exactly how important that place is in terms of numbers of people and production is not quantified by the study.
5. There may be two explanations for the light coverage of biotechnology in Africa: a.) poor articulation of AKST issues around biotechnology and b) ambiguity in what opportunities exist for biotechnology applications in SSA
6. While being generally sympathetic to the discussion of traditional and local knowledge, the discussion of how to improve sustainability and productivity of these approaches and systems in order to improve livelihoods is missing.
7. There are good discussions of "achievement of consensus" (and what it means) ; "relevance and effectiveness" and "goal setting and communication"
8. In terms of methodology, the SMS Text message Survey served to test for awareness of IAASTD and also as an entrée for follow up.
9. Governance and management: In SSA there was the impression that the Director was too busy to play the central role that he seems to have taken.
10. The issue of conflict resolution came through: Was it anticipated, how was it handled, and could results have been better?
11. "Multifunctionality" of agriculture was said to have been "pushed by the Bureau" to a point where it began to define the framing of issues, and subsequently those issues that did not resonate with this sense became "contentious".
12. The extent of engagement of African (and other developing region) stakeholders is a function of both representation (being at the table), contribution (speaking and writing), and influence of the contribution (inclusion of contribution in further discussions and the final product/report.
13. With respect to participation there were issues of language and process design: Most African sentiments were presented, but little was written; what was written was not effectively reflected—thus what was said did not necessarily get captured accurately as intended. Some views were dropped out in the course of negotiations and reviews.
14. With respect to influence, some SSA authors felt that colleagues who had difficulty in expressing themselves at the meetings (especially global meetings) eventually did not influence the outcome as their views were not included in the report. The process did not have a way of helping language-challenged participants.

15. From a structured set of questions addressed to 15 people who were involved in the process and attended two or more meeting, we find:
    - Strong agreement with the idea that a neutral professional facilitator would have made a difference in handling the difficult aspects of the meetings.
    - Language: provision for completely bilingual French-English meetings with translation would have improved the level of engagement and the level of contribution by the experts who did get involved
    - Africa's interests: 7 out of 15 reported that "most issues tended to shift away from Africa's interest even when they were about Africa"
    - Stakeholder groups: 10 out of 15 interviewed felt that the engagement of key stakeholder institutions was not optimal, with mention made of FARA, the RECs, farmer organizations and emerging local private sector

## Annex 13: Independent Evaluation of IAASTD: Supplementary Elaboration of Outcome Ratings for GEF

### Background and Purpose of this Annex

The Independent Evaluation of IAASTD was commissioned prior to the publication of its principal published outputs. It was completed and accepted before the termination of the project and before there is public access electronically to the principal reports of the project. There was a limited distribution of print copies to participants and institutions[89].

The evaluation team ("the Team") spent considerable time in developing an approach to evaluation of this multistakeholder effort and this is found in the Annexes to the evaluation. The evaluation was process-oriented because of the stage of project in which the evaluation was to take place.

In order to have a meaningful way of commenting on the likely use and value of the products, the Team carried out an on-line Survey of Participants (authors, Bureau Members, review editors and official representatives in the Johannesburg plenary) which covered both the processes followed by the Assessment and the usefulness to the respondents of the outputs. As the most knowledgeable and likely first users of IAASTD products the 230 respondents provided standardized responses and open-ended answers which were followed up by more than 100 telephone or face-to-face interviews lasting between 45 minutes and one hour.

This Annex extends the Outcome Ratings which were presented as an evaluation of a four-phase process: 1) Designing the Assessment; 2) Implementing a multistakeholder, evidence-based processes; 3) Governance and Management of IAASTD; and 4) The End Game: Outreach, Communication of Findings and Sustainability. The Team believes that its original approach is highly appropriate to the task it was given and that the relative weights and scores should be maintained but incorporated into this broader exercise. Fortunately, the methodology designed for the original purpose lends itself to a weighted-objective, scored- criteria approach.

### Methodology for Outcome Ratings

We rank the outcomes of IAASTD for efficiency, effectiveness and relevance on the attached scale from "Highly Satisfactory" to "Highly Unsatisfactory".

First, we have converted the GEF verbal ratings into a 100 point scale from 0 to 100. Given the symmetry in language, we can assume that the width of the range is equal to

[89] The print versions of the reports became available only at the end of January 2009 and the electronic versions of the files have been under embargo since April 2008.

16.6 points. This gives a continuous 100 point scale with six ranges from "Highly Unsatisfactory" to "Highly Satisfactory" as shown in Table 1.

**Table 1: Correspondence of Numerical and Verbal Ratings**

| Rating | Description | Numerical Range |
|---|---|---|
| Highly satisfactory (HS) | No shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 83-100 |
| Satisfactory (S) | Minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 67-83 |
| Moderately Satisfactory (MS) | Moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 50-67 |
| Moderately Unsatisfactory (MU) | Significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 34-50 |
| Unsatisfactory (U) | Major shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 17-34 |
| Highly Unsatisfactory (HU) | Severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness or efficiency | 0-17 |

Since the score for relevance and effectiveness of an outcome is made up of many elements, it is useful to have a range of scores that allows them to be scored separately and later convert the aggregate score to a GEF verbal classification. Along with explanatory notes for the scoring, there is transparency in the results.

**Merging Outcome and the Process Considerations.**

The indicators associated with the "development" and "environmental" outcomes of IAASTD (PAD, pages 5-7) can only be measured in the long term. Even "intermediate outcomes" (such as use of the IAASTD output by a target group) are not yet widespread. However, the Team agrees with GEF that processes contribute to the success of outcomes and the conclusions of the process evaluation can be helpful in predicting likely outcomes.

The Revised Scoring is found in detailed Process and Outcome Rating spreadsheet that allows one to test for robustness of conclusions by varying the weights on Outcomes and Processes and within classes of outcomes and process varying the weights on the indicators to be scored. Moreover, the overall results do not change with the specific addition of GEF indicators to be scored. We have been careful not to double-count the "output" (e.g. a publication) and the "process" by which it was produced.

The Summary of the Outcome and Process Ratings are found in Table 2 below:
:

**Table 2: Summary Outcome and Process Ratings: Numerical Scoring of Indicators and Conversion to GEF Rating**

| | | Weighted Numerical Score | Conversion to GEF Categories |
|---|---|---|---|
| 1 | Outcome 1: Conceptual Framework and Annotated Outlines for Global and Sub-Global Reports | 76 | S |
| 2 | Outcome 2: Global Assessment: Reports, SDM, Synthesis | 76 | S |
| 3 | Outcome 3: Five Sub-Global Assessments | 67 | S |
| 4 | Outcome 4: Outreach and Communication and Process 4: Managing the End-Game | 67 | S |
| 5 | Process 1: Designing the Assessment | 85 | HS |
| 6 | Process 2: Implementing a Multistakeholder, Evidence-based Process | 71 | S |
| 7 | Process 3: Governance and Management of IAASTD | 74.8 | S |
| 8 | GEF Assessment of Risks to Sustainability of Project Outcomes | 57.5 | ML |
| 9 | GEF: Assessment of M&E and Monitoring of Long Term Changes | 60 | MS |
| 10 | GEF: Assessment of Processes Affecting Attainment of Project Results | 74.5 | S |
| | Unweighted Average | 70.8 | |

The unweighted average for the 10 categories of Outcome and Process presented above is calculated to be 70.8. This converts to a GEF rating of Satisfactory (S). The earlier Process Evaluation accepted by the Bank scored at 70.3, also S.

The detailed scoring and explanatory notes are found in the Table 3: which has 10 categories of output or process that include all the considerations in the GEF Evaluation Document No. 3.

| Table 3: Outcome Rating of IAASTD for GEF | | | | | |
|---|---|---|---|---|---|
| S | | **IAASTD Overall Score: Following Evaluation Document 3 Elements** | | | 70.8 |
| **Rating** | | **Score on Outcome/Process** | | | |
| **S** | | **76.00** | **Weight on Indicator** | **Outcome 1: Conceptual Framework and Annotated Outlines for Global and Sub-Global Reports** | **Notes:** |
| HS | 20.00 | 1.00 | 20 | Relevance of Conceptual Framework to development and environmental agenda | Note 1 |
| MS | 13.00 | 0.65 | 20 | Efficiency and Effective Use of Conceptual Framework | Note 2 |
| S | 15.00 | 0.75 | 20 | Relevance of Annotated Outlines for Global and Sub-Global Reports | Note 3 |
| S | 14.00 | 0.70 | 20 | Efficiency and Effective Use of Annotated Outlines for Global and Sub-Global Reports | Note 4 |
| S | 14.00 | 0.70 | 20 | Coverage and integration of chapter components | Note 5 |
| S | 76.00 | 0.76 | **100** | **Weight of Outcome in Total of 100** | |
| | | Note 1 | The consultative process led to the broadening of the Assessment to include all agricultural "knowledge, science and technology for development and the formalization of a knowledge systems framework. This implied a more prominent role for the social sciences (other than economics) in the study of the embeddedness of science in society. This was expressed as "the economic, environmental, ethical and social considerations surrounding agricultural AKST". It was relevant to the environmental agenda and brought in a strong epistemic community linked to farmer-led, agroecological innovation. The knowledge systems framework can be used to study science and technology- led innovation. It is salient, legitimate and credible. | | |
| | | Note 2 | Broadening of scope to include all AKST plus policy and institutions enhanced role of social sciences; the study of science in society; and called for "evidence-based" rather than "scientific" assessment. The distinction between "assessment" and "review" was later found not to be clear for all participants. The broadening of the scope of IAASTD opened an important debate that was needed and changed the dynamics of the IAASTD. It was not uniformly assimilated and used throughout all the chapters of the reports. In fact, several authors and editors noted that there was little time for cross-talk with other groups. | | |

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|---|---|---|---|
| | | Note 3 | The design team developed annotated outlines to guide both the Global and the Sub-Global Reports. The Contributing Lead Authors and Lead Authors who were assigned to Chapters and reports were different people from the design team and re-designed content to match the skills of authors and availability of contributing authors. |
| | | Note 4: | Interviewees and Survey respondents note that a large part of the first two authors' meetings was consumed in discussing and re-building understanding and agreement about the framework and content of the chapters. In spite of this, the evaluation team found that variability of the content within chapter sections and across chapters of the same report reflected the voluntary nature of the contributions. |
| | | Note 5 | Most of the design elements were carried through. However, the elimination en route of the scenarios work that was intended to provide a framework for consideration of technical, institutional and policy options was a setback. A commendable effort to build on the Millennium Assessment scenarios may have reflected a false economy, a design error or conflicting paradigms. The preparation of chapters in parallel meant that integration of the Global Report was made difficult by the concentration of different epistemic communities in different chapters. |

| | | **Score on Outcome/Process** | | | |
|---|---|---|---|---|---|
| **S** | | **76.00** | **Weight on Indicator** ↓ | **Outcome 2: Global Assessment: Reports, SDM, Synthesis** | **Notes** |
| HS | 18.00 | 0.90 | 20 | Relevance to development and environmental agendas: Summary for Decision Makers | Note 6 |
| S | 16.00 | 0.80 | 20 | The Global Report: Relevance and importance to overall effort | Note 7 |
| S | 14.00 | 0.70 | 20 | Relevance to development and environmental agendas: Synthesis Report/Executive Summary | Note 8 |
| S | 14.00 | 0.70 | 20 | Effectiveness of coverage and coherence | Note 9 |
| S | 14.00 | 0.70 | 20 | Likelihood of effective use | Note 10 |
| | 76.00 | | **100** | **Weight of Outcome in total score of 100** | |

| | | | |
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| | | Note 6 | Only the Summaries for Decision Makers and the Executive Summary of the Synthesis Report were negotiated in plenary in Johannesburg. Governments were able accept or express reservations on the full Report. All Governments saw the reports as valuable and important contributions to understanding. Sixty countries eventually approved the Summary. Three countries (Australia, Canada and US) did not fully approve the Global Summary and there were reservations about specific passages by some 10 other countries. The Global SDM was the principal output available between April 2008 and the publication of the printed copies of Reports at the end of January 2009. It carried the messages of the importance of multifunctionality agriculture and more emphasis on agro-ecological approaches. The negotiated text of the SDM had removed some of the negative language of the Global Report concerning the "contentious issues" that continued to trouble the three notable dissenting countries. These issues had to do with the environmental consequences of productivity increases, environmental and human health impacts of transgenic crops, bioenergy development and the impact of trade. The Global SDM was purchased in 12,000 copies for distribution by IAASTD and will be the most widely distributed report. |
| | | Note 7 | From the early days of the consultation the idea that the Global Report would be based on strong Sub-Global assessments was part of the philosophy of IAASTD. However, in practice the Global Report became largely a major, standalone effort that received the greatest effort in terms of authors and contributors. The degree to which it was standalone was demonstrated strongly by the Survey of participants. It was purchased in 2000 copies (English only). Due to timing and resource constraints the Global and Sub-Global Reports were prepared in parallel with very little interaction between them. The Global Report did not build up from strong Sub-Global analysis. |
| | | Note 8 | The Synthesis Report takes a thematic approach: Challenges and Options, Bioenergy, Climate Change, Human Health, Natural Resources Management, Trade and Markets, Traditional and Local Knowledge and Community based innovation; and Women in Agriculture. It is missing intended chapters on capacity building and biotechnology. The Synthesis Report (purchase of 10,000 copies in English) will be the second most widely distributed report. (Its Executive Summary was printed in Arabic, French, Spanish, Chinese and Russian with between 200 and 500 copies for distribution). |
| | | Note 9 | The loss of the planned scenarios analysis is discussed as a process issue that affected the outcome of the Assessment. In a conceptual sense, it would have been and important link that would make science, technology, and institutions endogenous and context specific. It would have opened the range of options that were eventually presented. To the degree that one of the motivations of bringing a multistakeholder process to bear on contentious issues, the final product did not bring groups closer together on issues of chemicals and biotechnology. The Global Report contains chapters with materials of uneven quality across chapters and within chapters. |
| | | Note 10 | The Survey clearly indicates that participants want access to and will make use of the full Global report as a resource that is used selectively by people who know what to look for. Authors and participants indicate that they will use its information and graphics as inputs to presentations and advocacy but are less likely to use it as a reference in their professional writing. (There are differences among groups within IAASTD in this respect.) |

| | | Score on Outcome/Process | | | |
|---|---|---|---|---|---|
| **S** | | **67.25** | **Weight on Indicator** ↓ | **Outcome 3: Five Sub-Global Reports** | |
| S | 17.50 | 0.70 | 25 | Relevance of Conceptual Framework to development and environmental agenda | Note 11 |
| S | 14.00 | 0.70 | 20 | Efficiency and Effective Use of Conceptual Framework | Note 12 |
| MS | 9.75 | 0.65 | 15 | Relevance and Effective Use of Annotated Outlines Sub-Global Reports | Note 13 |
| S | 14.00 | 0.70 | 20 | Coverage and integration of chapter components | Note 14 |
| MS | 12.00 | 0.60 | 20 | Likelihood of effective use: Reports and Summaries for Decision Makers. | Note 15 |
| | 67.25 | | **100** | **Weight of Outcome in total score of 100** | |

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| Note 11 | The common conceptual framework was to help the Global Report build up from strong sub-global assessments. The framework continued to have relevance at the regional, national and even sub-national level. |
| Note 12 | Each region worked with the conceptual framework in its own way. Given language problems and difficulties in communication between meetings, it was inevitable that there would be some misunderstanding. It was also apparent that the difference between an "assessment" and a "review" was not fully understood by authors in some sub-global exercises. |
| Note 13 | The CLAs and LAs at the sub-global level were not the members of the design team that produced the annotated outputs. Authors have indicated in the Survey and interviews that much of the first and second meetings was devoted to discussion of what they were supposed to do and adjusting to changes in guidelines from the Secretariat. Their modification of the task was positive for ownership of their product. |
| Note 14 | There were smaller numbers of authors in the Sub Global reports and the competition among paradigms was not as apparent as at the global level. Since the reports were developed in parallel, there was limited cross-region learning. From the Survey, participants demonstrate a strong belief in the value of their particular Sub-Global Report and generally had no opinion of the other regions. |

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| | | Note 15 | Survey respondents believe in the usefulness of their sub-global reports and that follow-up makes more sense at the regional or national level. There were no clear mechanisms that were suggested for this to occur. (Note: The lack of "capacity building" to carry out AKST "assessments" is scored separately under Outcome 4 (below) and is not double-counted.) In Survey and interviews several authors expressed the concern that the government representatives in Johannesburg and to some extent on the Bureau were unlikely to be in the position or have the will to be champions of the IAASTD reports and summaries upon return to their base. | | |
| | | **Score on Outcome/Process** | | | |
| **S** | | **67.00** | **Weight on Indicator** | **Outcome 4: Outreach and Communication and Process 4: Managing the End-game** | |
| | 0.00 | | 0 | Indicator 1: Summaries for Decision Makers (There is no weight attributed because evaluation of SDM is included above in Outcomes 2 and 3) | Note 16 |
| MU | 10.00 | 0.50 | 20 | Indicator 2: Availability and accessibility of reports on website and in hard copy | Note 17 |
| S | 16.00 | 0.80 | 20 | Indicator 3: Findings of IAASTD widely published in the popular media | Note 18 |
| S | 17.00 | 0.85 | 20 | Indicator 4:Targeted outreach to key user groups | Note 19 |
| MS | 12.00 | 0.60 | 20 | Indicator 5: "An effective strategy which makes outputs widely available in appropriate formats and languages to all stakeholder groups, who in turn disseminate effectively through their own networks". Strategy for maintenance of IAASTD message and institutionalization. | Note 20 |
| MS | 12.00 | 0.60 | 20 | Indicator 6: "Capacity built to assess agricultural KST at national and regional levels, with decision makers intimately involved with assessment processes" | Note 21 |
| | | | **100** | **Weight of Outcome in total score of 100** | |

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| | | Note 16 | SDMs have been accessible electronically since April 2008. They are owned at each level by their authors and authors have limited familiarity with SDMs at other levels. The SDM for Global Decision makers is considered too generic to lead to action but it serves as a framework for the Sub-Global analysts and advocates who believe in the utility of their summaries. Chapter authors often feel they do not capture the value of the source documents. |
| | | Note 17 | Due to an unfortunate agreement with Island Press, electronic copies of the reports were taken off the website and were not accessible to authors, advocates and researchers from April 2008 onwards. Hard copies at unaffordable prices (between $65 and $95 per volume plus shipping) only became available at the end of January 2009 while electronic copies (CD and Web-based) will only be released at the end of June 2008. This is after the project closes and outreach activities will have stopped just as the documents become accessible. As a result its message is being subjected to a variety of representations and misrepresentations. |
| | | Note 18 | The IAASTD "brand name" is invoked in the popular media (legitimacy of 60 governments and 400 scientists) along with partial representations of its messages or misrepresentations according to the particular "champion" presenting it. Not having the documents accessible is another problem [At both GPAFS and CSD, when people tried to introduce IAASTD the response has been that "we do not know or have not seen this document"]. Faithful presentations at high level policy meetings, usually by the Director, are much different from the way it is presented by CSOs, NGOs and some academics. |
| | | Note 19 | Survey respondents and interviewees find IAASTD materials a resource for presentations, lectures and advocacy but less useful as a scientific reference. Summaries are too generic to be actionable. The Synthesis Report is a useful reference and will be the most accessible reference for general users. Short policy briefs are also valuable references that are on the web and in hard copy for distribution. The evaluation team found low interest in "institutionalizing" IAASTD but a concern that the full documents be freely accessible as a resource and that some light form of benchmarking and monitoring progress towards IAASTD vision be considered. High level presentations (World Bank, European governments, UN-CSD) may generate some follow-up beyond June 2009 but nothing concrete is in place. There was a strong effort by the Director and Co-Chairs to promote IAASTD among policymakers and in international fora. |
| | | Note 20 | IAASTD did not produce the Outreach and Communication Strategy document mentioned in the PAD as Output 4. It has produced the Summaries for Decision Makers in 6 official UN languages (necessary to reach many historically marginalized countries where French, English and Spanish are not widely used. As noted above the reports are not yet electronically available. Various interventions with Germany will lead to the translation of key Summary documents into German. |
| | | Note 21 | Survey respondents (Annex 11) details how individuals have gained skills and appreciation of multistakeholder processes. Authors at the sub-global level call for action at the regional and national level but there are no cases reported of their launching reviews or "assessments" |

| | | Score on Outcome/Process | | | |
|---|---|---|---|---|---|
| **HS** | | **85.00** | **Weight on Indicator** | **Management of Process 1: Designing the Assessment** | **Notes:** |
| HS | | 1.00 | 25 | Indicator 1: Consultative process determining scope, scale, governance and process of the IAASTD: all KST plus policy and institutions, well-being of poor, environmental and health concerns. | Note 22 |
| HS | | 1.00 | 25 | Indicator 2: Gaining commitment to "unique" attributes: 1) intergovernmental process with multi-stakeholder Bureau; 2) well defined user needs; 3) multi-spatial, multi-thematic, multi-temporal, 4) assessment of policies and institutional arrangements as well as KST. | Note 23 |
| S | | 0.80 | 25 | Indicator 3: Identification of stakeholders of the IAASTD | Note 24 |
| MS | | 0.60 | 25 | Indicator 4: Principles and procedures appropriate to IAASTD uniqueness | Note 25 |
| | | | **100** | **Weight of Outcome in Total of 100** | |
| | | Note 22 | Ten regional consultations resulted in endorsement in Nairobi of intergovernmental process with multi-stakeholder Bureau as experiment in governance. | | |
| | | Note 23 | Broadening of scope to include all KST plus policy and institutions enhanced role of social sciences; study of science in society; and called for "evidence-based" rather than "scientific" assessment. The distinction between "assessment" and "review" was later found not to be clear for all participants. The broadening of the scope of IAASTD opened an important debate that was needed and changed the dynamics of the IAASTD. | | |
| | | Note24 | Identification of stakeholders for the output, stakeholders for participation in the evidence-based process, and participation in the multi-stakeholder Bureau left up to each group to determine their representatives. Farmers' organizations of different types were underrepresented and the private sector along the value chain was underrepresented. Process of selection of non-governmental representatives on the Bureau was left up to the individual groups. | | |

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| | | Note 25 | Principles and procedures imported from IPCC where scientific peer review was the gold standard accepted by authors. The definition of "evidence" for IAASTD was seen differently by different epistemic communities. The principal of a "balanced process" was underwritten by assurance of WB Vice President that parties could exit the process if they felt it was not being balanced. This became a tool in later conflicts. Peer review process from a scientific assessment was put in place that the team believes did not suit IAASTD. The process for conflict resolution is discussed in Section 3 and this explains the reduced weight put on Principles and Procedures in this section. | | |
| | | **Score on Outcome/Process** | | | |
| **S** | | **71.10** | **Weight on Indicator** | **Process 2: Implementing a multistakeholder, evidence-based process** | |
| S | 13.60 | 0.80 | 17 | Indicator 1: Identifying, assigning and retaining CLAs, LAs and author teams | Note 26 |
| MS | 6.00 | 0.60 | 10 | Indicator 3: Communication among authors between meetings | Note 27 |
| S | 13.60 | 0.80 | 17 | Indicator 4: Two-step peer review process by experts and governments | Note 28 |
| MS | 6.50 | 0.50 | 13 | Indicator 5: Ensuring coherence across chapters within reports and among levels of reports. | Note 29 |
| S | 10.40 | 0.80 | 13 | Indicator 6: Process: Developing Summaries for Decision Makers at all levels | Note 30 |
| S | 9.10 | 0.70 | 13 | Indicator 7: Process of preparing the Synthesis Report | Note 31 |
| S | 11.90 | 0.70 | 17 | Indicator 8: Acceptance and approval by governments | Note 32 |
| | 71.10 | | **100** | **Weight of Outcome in total score of 100** | |
| | | Note 26 | Most authors nominated by governments. All stakeholder groups were requested to propose candidates and CSOs did this strategically. Process for screening and referral to Bureau for approval handled by Secretariat. Bureau members had limited time and overview and approved on a no-objection basis. By the end of the process, CLAs note that there were only small numbers of LAs who effectively contributed to the final chapters. | | |

| | | | |
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| | | Note 27 | Author teams chosen with consideration of gender, developed versus developing country balance, discipline. CLAs had little opportunity to affect composition of team by requesting reassignment of known colleague to their team. Many LAs were difficult to engage outside of meetings because of language, connectivity, and communication problems. This was beyond the control of the CLAs. This affected the contribution of some LAs and put pressure on time in authors meetings that was reduced time for cross-talk with other chapters and regions. |
| | | Note 28 | Peer review process formally very precise in posting all reviews and teams dealing with individual comments in writing groups. Number of reviewers varied among chapters. Many reviewers felt that their comments had not been adequately dealt with, particularly with respect to warnings about use of confusing terms or treatment of issues that remained contentious. Some governments targeted comments to issues or regions of interest. |
| | | Note 29 | The CLAs were responsible for coherence within chapters of a report. Development of chapters in parallel and limited interaction among chapter teams during meetings meant that iterative processes (e.g. scenario planning) or the link between technical, institutional and policy scenarios and options were not integrated due to time pressure and resource constraints. |
| | | Note 30 | SDMs were prepared by CLAs with review editors generally as an aggregation of findings from the chapters. Some CLAs note that they were not involved in the preparation of the SDMs and some indicate that their Chapter did not figure at all in the SDM because of their absence. |
| | | Note 31 | The Synthesis Report (with Executive Summary) will be the most disseminated report by IAASTD in hard copy. It attempts to aggregate knowledge from the sub-global reports and the Global Report along 8 themes. Review editors recruited late in the process have stated and are acknowledged to have played important roles in writing certain of the Chapters of the Synthesis to fill gaps or compensate for absence or weakness of some CLAs. |
| | | Note 32 | The formal negotiation process in Johannesburg was painstaking but ultimately produced little commitment. Some of the problem were procedural: 1) some governments did not receive negotiating documents with sufficient lead time to negotiate with involved Ministries; 2) some issues could not be agreed to in this forum (e.g. trade issues); and 3) some government representatives were new to IAASTD and not representing Ministries that would be required to take action. Others signed because of assurances that approval was non-binding. |

| | | Score on Outcome/Process | | | |
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| **S** | | **74.80** | **Weight on Indicator** ↓ | **Process 3: Governance and Management of the IAASTD** | |
| S | 14.00 | 0.70 | 20 | Indicator 1: Structure, coherence and performance of the multi-stakeholder Bureau | Note 33 |
| S | 16.00 | 0.80 | 20 | Indicator 2: Role and involvement of Key Components: Director | Note 34 |
| S | 12.80 | 0.80 | 16 | Indicator 3: Role of Co-Chairs | Note 35 |
| S | 16.00 | 0.80 | 20 | Indicator 4: Role and involvement of Secretariat | Note 36 |
| S | 6.40 | 0.80 | 8 | Indicator 4: Role and involvement of Regional Implementing Organizations | Note 37 |
| S | 9.60 | 0.60 | 16 | Indicator 5: Planning for and management of conflict | Note 38 |
| | | | **100** | **Weight of Outcome in total score of 100** | |
| | | Note 33 | The multistakeholder Bureau was the unique experiment in governance that would bring the legitimacy of broad stakeholder involvement. There was attrition on the Bureau on many sides: government representatives reassigned; resignation of representatives of private companies with non-replacement; and withdrawal of a private sector co-sponsor. Bureau members did their job seriously. For future multistakeholder initiatives there are lessons from IAASTD on roles, responsibilities, and accountability among the governance and management that are highlighted in the report. The Bureau did not play a role as the arbiter or court of appeal in conflict resolution that a governing board would normal provide. Its members were accountable to external constituencies or values which created sub-groups that limited the Bureau's role as an arbiter. As an experiment it was satisfactory but there are important lessons highlighted. | | |

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| | | Note 34 | The Director was the central figure who proposed, created and generated support for the Assessment among the different communities. From Survey respondents and interviews it is clear that the Director was highly regarded and when he was present he carried matters forward. However, he was not present throughout all meetings and his "hands off approach" to conflict management, which worked well in IPCC and MA, was not always effective with IAASTD. The Bureau was not able to perform the court of appeal function because of its own divisions. New functions at DEFRA competed with the time and focus that the Director could give to IAASTD and the Secretariat. |
| | | Note 35 | The Co-Chairs were nominated and elected by the Bureau following a formal process. They co-chaired the Bureau and served as focal persons for the sub-global studies where their role was praised by Survey respondents and interviewees. They were both new to "assessments" and noted that many things were handled between the Secretariat and the Director on which they were not consulted. As co-chairs of the Bureau they were aware of factions on the Bureau that behaved not as bureau members but as representatives of outside constituencies. They were in a position to act as champions for IAASTD. One co-chair has been the most prominent "champion" of IAASTD making alone some 27 official presentations since April 2008. As a result, his interpretation of the IAASTD message has been a significant element in its brand image. |
| | | Note 36 | The Secretariat carried a lot of responsibility as the Director took up new responsibilities. Between sessions, it managed the search for review editors proposed appointments on a no objection basis to the Bureau, which had little time and little knowledge on which to act. The Secretariat and the Director operated at distance because of prior experience in the IPCC and MA. For many participants the Secretariat acted in the name of the Director and "the Bureau". |
| | | Note 37 | The Regional Implementing Organizations formally hosted the Sub-Global coordinators who were secretariat personnel. They performed all their logistic roles to the satisfaction of the Bank. The evaluation team felt that IAASTD had not enlisted their technical contribution to the degree possible. Moreover, their potential as allies in dissemination and implementation of IAASTD recommendations was not exploited fully. The explanations for not involving them (avoid their dominance in technical and policy networks) came at an opportunity cost during and post study phase. |
| | | Note 37 | The evaluation team finds that the failure to resolve conflict at a few critical junctures has had implications for the IAASTD brand name beyond what should have occurred. Annex 1 describes how the combination of a) reliance on IPCC mechanisms for conflict resolution, b) a philosophy of "let people work it out for themselves", and c) the inability or unwillingness to use the multistakeholder Bureau as the guarantor of the process eventually led to the situation where threats of collective walkouts were used as pressure tactics. The evaluation team recommends future arrangements include a) a code of conduct, b) no arrangements be made that allow individuals or groups to threaten the process, and c) procedures for arbitration reduce the need for individuals or groups to exit the process. What worked in IPCC and MA was applicable for most of IAASTD but failure to resolve conflict affected the image and operation of IAASTD in serious ways. |

| | | Score on Outcome/Process | | | |
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| **ML** | | **57.50** | **Weight on Indicator** ↓ | **GEF: Assessment of Risks to Sustainability of Project Outcomes** | |
| MU | | 0.25 | 25 | Financial Risks | Note 38 |
| L | | 0.80 | 25 | Sociopolitical Risks | Note 39 |
| MU | | 0.25 | 25 | Institutional framework and governance risks | Note 40 |
| L | | 1.00 | 25 | Environmental risks | Note 41 |
| | | | **100** | **Weight of Outcome in total score of 100** | |
| | | Note 38 | Financial Risk: The Project closes on June 30, 2009 with as yet no prospect of continued funding for "institutionalization" of IAASTD. Survey respondents and interviewees were clear that the extensive materials should remain available. The website will be maintained by UNEP for five years but without resources or a strategy it will be a repository and not a living website. | | |
| | | Note 39 | There are no sociopolitical risks that affect sustainability of IAASTD's messages. If interpreted as intended the IAASTD messages of the holistic nature of agriculture and the need for more strengthening the role of agroecology have wide acceptance as part of any solution to emerging problems. Management of the IAASTD brand has been an issue for sustainability since its cachet has been associated in the media with ideas that are not stated in the report. | | |
| | | Note 40 | There is no institutional framework for the continuation of an IAASTD secretariat. The Bureau was not a self-organizing coalition of partners with a shared vision and the Governments represented in Johannesburg had no shared commitment. Since there was no plan of action or unifying theme, the promotion of IAASTD fell to a relatively small group of champions who targeted policy makers, academia, and civil society organizations for public awareness. The fact that the project ends before the materials are electronically available is a serious problem since there will not be a framework for active promotion. | | |
| | | Note 41 | Environmental risks will not affect the sustainability of the IAASTD message; there are only those enhanced risks that will occur if some of IAASTD's true messages are not heard. | | |

| | | Score on Outcome/Process | | | |
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| **MS** | | **60.00** | **Weight on Indicator** | **GEF: Assessment of M&E System and Monitoring of Long Term Changes** | |
| | 30.00 | 0.60 | 50 | M&E Design and Budgeting | Note 42 |
| | 30.00 | 0.60 | 50 | Monitoring of long-term changes | Note 43 |
| | 60.00 | | **100** | **Weight of Outcome in total score of 100** | |
| | | Note 42 | M&E: The project was of a sufficiently short duration that there was no formal M&E system. The Assessment was paced by the schedule of meetings and deadlines for completion of the Assessment. Financial report by the Regional Implementing Organizations was strict and followed WB procedures. Reporting by IAASTD Secretariat to the Bank and to the Bureau was on the basis of 6 monthly administrative and financial reporting. The reports were described as incremental rather than analytical. They reported on activities and disbursements that took place since the last report. | | |
| | | Note 43 | Monitoring Long Term Changes: Survey respondents and interviewees do not argue strongly for institutionalization of IAASTD. The scope of its concerns covers many areas where there are established organizations with a comparative advantage. The outreach activities at a high level have looked for continuing support to IAASTD's mission through some form of institutionalization to monitor progress towards an IAASTD world. Unfortunately, there are no benchmarks for monitoring progress and no action plan or priorities that could be institutionalized. A self-forming network or a defined project executed by a consortium of institutions could be given the task of developing such benchmarks and report through a newsletter on promising initiatives. This would help maintain a basic interest specifically in IAASTD without the overheads of institutionalization or the dangers of co-location with an agency that has its own specialized mandate. | | |

| | | Score on Outcome/Process | | | |
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| **S** | | **74.50** | **Weight on Indicator** | **GEF: Assessment of Processes Affecting Attainment of Project Results** | |
| | 16.00 | 0.80 | 20 | Preparation and readiness | Note 44 |
| | 8.50 | 0.85 | 10 | Stakeholder ownership/drivenness | Note 45 |
| | 8.50 | 0.85 | 10 | Stakeholder involvement | Note 46 |
| | 10.50 | 0.70 | 15 | Financial planning | Note 47 |
| | 8.50 | 0.85 | 10 | GEF Agency supervision and backstopping | Note 48 |
| | 10.50 | 0.70 | 15 | Co-financing | Note 49 |
| | 12.00 | 0.60 | 20 | Delays and project outcomes and sustainability. | Note 50 |
| | 74.50 | | **100** | **Weight of Outcome in total score of 100** | |
| | | Note 44 | The project went through a consultative phase that was comprehensive and resulted in a significant change in the nature of the Assessment. The Evaluation Team concluded (see the Process Evaluation section above) that IAASTD was significantly different from IPCC and MA and the processes for managing ultimately required different processes for conflict resolution and a code of conduct. The innovation ("social experiment") of a multistakeholder Bureau generated lessons. | | |
| | | Note 45 | In the Process Evaluation (above) the Team has discussed stakeholder selection and the functioning of the Multistakeholder Bureau. The Team noted the strength with which the CSO/NGO stakeholders embraced IAASTD; engaged pro-actively in the nomination of authors, review editors, and provided staff input to the author teams. The Greenpeace website (http://www.agassessment-watch.org) was an accessible and valuable source of information for the Team with their commentary on the evolution of the processes. The functioning of the various organs of the Assessment is discussed above. | | |

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| | | Note 46 | The Team noted the strength with which the CSO/NGO stakeholders embraced IAASTD; engaged pro-actively in the nomination of authors and review editors, and provided staff input to the author-teams. The Greenpeace website (http://www.agassessment-watch.org) was an accessible and valuable source of information for the Team (including drafts of the Reports presented in Johannesburg). There was turnover and attrition in the Multistakeholder Bureau. It affected the government representation most strongly and this is attributed to changes in assignment within their governments. Within the private sector there was attrition on the Bureau (for personal reasons) with non-replacement and ultimately the private sector donor, CropLife, withdrew its name from participation following unresolved conflict. The evaluation discusses conflict management as a process issue that affected the perception of the Project |
| | | Note 47 | Financial management by regional implementing organizations was carefully monitored by a technical specialist in the Secretariat and each RIO was commended for meeting expectations. With respect to financial planning, the Team received an accounting from the Technical Specialist before his departure with the status of expenditures under the MDTF up to June 30, 2008. It provided detailed information on the costs of the Bureau meetings, author meetings and plenaries through Johannesburg. While many decisions of the Bureau were made with a sense of financial stringency (e.g. no travel and compensation for OECD authors or key resource persons; no money for facilitation and translation at meetings) these decisions had an effective on the efficiency and effectiveness of the meetings). The trade-off of the marginal participant against these expert services does not seem to have been made. Nevertheless, there remained money in outreach and communication (Annex 7) such that it was not necessary to restrict support for champions to attend outreach meetings and there was some $400,000 to be spent between March and June 30th. |
| | | Note 48 | The World Bank was host of the IAASTD Secretariat and was careful not to be seen to be influencing the process through its host role or its technical staff. Nevertheless, ARD participated in its technical role in the authors' meetings. Administratively, the Bank backstopped the Assessment and provided the MDTF mechanism to facilitate donor involvement. |
| | | Note 49 | Countries have different possibilities and modalities for providing co-financing or support in kind. These different approaches (provision of a consultant/author to keep involved; assignment of staff specialist; mandate participation by government research agencies at institute cost; contribution to MDTF for engagement of nationals). The difference in modalities affected the availability of resource persons who were potentially interested but financially unable to bear the costs of participation personally when their institutions limited their time or travel support. |
| | | Note 50 | The Team has commented that IAASTD has done well in getting the print version of the Reports out by the end of January 2009. Given the task of editing and reviewing this is commendable. Unfortunately, as noted in the Process Evaluation, the embargo on electronic copies of the full Reports between Johannesburg and six months after publication has made the material unavailable the outreach effort is most intensive. This has affected authors wanting to use the material while it is fresh as well as awareness by targeted policy makers. |