SPIA pipeline – upcoming evidence and way forward in One CGIAR

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Professor, Paris School of Economics & INRAE

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Current SPIA 6-year workplan, 2 business cycles

2019-2021
- Scoping, matching, preparation IA studies
- Design and launch:
  - Accountability studies
  - Learning studies
- Methods and country work

2022-2024
- Research findings from SPIA portfolio
- Insights from methodological development
- Broader use of rigorous methods

Objectives of the 6-year workplan
1) Support CGIAR’s strong commitment to embed a culture of impact assessment into the System
2) Expand and deepen evidence of impact of CGIAR research investments
3) Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data collection systems
Objective 3: Improve and institutionalize collection of data on diffusion and use of CGIAR innovations in national data systems

• **Strategy since 2014** to partner with national statistical agencies (and World Bank)
  - Primary goal: Embed CGIAR data needs into well-institutionalized surveys
  - Secondary goal: Empirically test new data collection approaches and provide guidance for researchers to use them

• Focus on high-priority countries for CGIAR
  - First in *Ethiopia* and *Uganda*
  - *Vietnam* (operational) and *Bangladesh* (starting mid-2022) added under current phase of SPIA’s workplan

• National representative data allows to document reach of CGIAR-related innovations and policy influences, including
  - Synergies across innovations (~ bundles)
  - Who is being reached: inclusion by gender, but also youth, smallholder status, poor, ...

• Testing different models of institutionalization, integration and partnerships

• Young virtual team led by senior researcher James Stevenson & SPIA Chair
Ethiopia
SPIA panel lead: Prof Karen Macours

- Ethiopian Socioeconomic Survey wave 4 (2018/19) completed with several data collection innovations embedded by Central Statistical Agency (CSA)
- Provided data for SPIA’s 2020 report “Shining a Brighter Light: Comprehensive Evidence on Adoption and Diffusion of CGIAR-related Innovations in Ethiopia”
  - Evidence of large adoption across science domains (4 to 11 million household)
  - But also very skewed distribution – many innovations with low adoption
- 24,233 downloads of the 2018/19 dataset (as of Feb 23, 2022)

Pipeline:
- Causal impact studies for selected innovations (DSM, small mechanization)
- June 2022: IFAD conference session featuring best papers from small grants call using the wave 4 data
- Mid-2023: wave 5 (2021/22) data will be released, with follow-up report from SPIA on dynamics of adoption (with COVID, civil conflict in Ethiopia in the interim)
Universe of all CGIAR research in Ethiopia

- 90 interviews with CGIAR scientists, EIAR colleagues, government officials
- Review of published and grey literature, official statistics, NGO projects

52 innovations identified being at least at pilot stage: documented in the stock-take

30 with information suggesting having been disseminated at scale

30 candidate innovations with “observable features” for either household or community survey

18 integrated into ESS 3/ESS 4 and the focus of the 2020 report

3 the focus of other nationally-representative studies

26 claims of policy influence (from CRP OICRs)

3 candidates for inclusion in future survey waves
Uganda
SPIA panel lead: Prof Travis Lybbert

- Partnership with Ugandan Bureau of Statistics (UBoS) and National Agricultural Research Organization (NARO)
  - Uganda National Panel Survey (UNPS) and Annual Agricultural Survey (AAS) being integrated together for first time in 2021/22 (part of 50x2030)
  - Integration of targeted measures in National Service Delivery Survey (NSDS) and Uganda Demographic and Health Survey (UDHS)

Pipeline:
- 2023: Synthesis report on innovations and policy influence claims
  - Features DNA fingerprinting of plant samples of six crops: beans, sweet potato, cassava, banana, maize, groundnuts
  - Improved measurement of plant & livestock health—resistance and mitigation measures
  - Links to study on seed system functioning for beans & maize (CIAT & UC Davis)
  - Causal impact study building on biofortified crop monitoring data (with CIP&HarvestPlus)
  - Community-level measures of trees-on-farms, innovation platforms, food-safety, mechanization
  - Detailed study of selected policy influence claims
    Qualitative research being led by SPIA Member Dr. Monica Biradavolu
55 innovations identified being at least at pilot stage: documented in the stock-take

29 innovations included in 2021/22 UNPS/AAS integrated survey and/or 2021 NSDS survey

14 policy influence claims identified

• Interviews with CGIAR scientists, NARO colleagues, government officials
• Review of published and grey literature, official statistics, NGO projects
• Consultation workshop (October 2019) to identify priorities
Vietnam
SPIA panel leads: Prof Sujata Visaria and Dr Monica Biradavolu

Bilateral partnership between SPIA and Vietnam General Statistical Organization (GSO) signed Dec 2021

Pipeline:
• Mid-2023: First report on three innovations (VHLSS), and data quality assessment / strategy
  • Initial phase (2022) focuses on innovations in rice-systems embedded in widely-used Vietnam Household Living Standards Survey (VHLSS):
    • Adoption of sustainable intensification principles (AWD and 1M5R)
    • Use of recommendations coming from the Climate Smart Maps and Adaptation Plans (CS-Maps)
    • Rice varietal adoption (using DNA fingerprinting)
• End 2024: Synthesis report
  • 2nd round of VHLSS data with wider range of innovations (TBC)
  • Study of influence of “climate smart maps” in provinces
  • Measurement innovations for studying adoption of complex NRM practices
  • Impact study on GIFT tilapia roll-out (TBC)
Universe of CGIAR-related research in **Vietnam (2000-2021)**

- 30+ interviews with CGIAR scientists and national partners
- Review of published and grey literature, official statistics, government decrees

27 policy influence claims

69 innovations identified in the stock-take

21 with information suggesting they may be adopted at scale

- Animal agriculture includes aquaculture & food safety
- NRM includes digital tools and mechanization
Bangladesh
SPIA panel lead: Prof Kyle Emerick

- Currently recruiting for two positions – one junior, one post-doc – to start mid-2022 (hosted at IRRI in Dhaka)
- Methodology will broadly follow the template of the other countries
  - To be combined with causal IA studies on selected innovations/policy influences
- Expected focus on climate change adaptation, women’s empowerment, nutrition, aquaculture, rice, lentils, ...
Cross-cutting: Measurement agenda

- New technologies provide new opportunities for how we measure adoption of CGIAR-related innovations and associated outcomes
- Methodological experimentation implicit to success of country work – how do we measure what we need to measure?
- DNA fingerprinting of crop varieties: technical guidance published 2020; field guidance for economists / social scientists coming in mid-2022
- Remote sensing for impact evaluation: guideline document expected mid-2022
- Measurement guidance under development:
  - Policy influence
  - Adoption of complex NRM practices
  - Community mapping vs remote sensing
  - Heterogeneity in soils

NDVI animation of Ethiopia (Johanne Pelletier)
Objective 2: Expand and deepen evidence of causal impact of CGIAR research investments

- Focus on system-level impact through support to two distinct types of studies—accountability and learning—with different objectives and associated processes clearly aligned with One CGIAR PRMF:
  - Four calls for proposals launched: Long-Term, Large-Scale impacts (2019), environmental synergies and trade-offs (2019), Adapted strategies to enhance uptake of CGIAR innovations (2020) and agricultural digital tools (2021)
  - 131 expressions of interest submitted by CGIAR centers and partners that became 25 full research proposals. 16 proposals were funded
  - Four proposals supported through a pilot phase to document the dissemination of the CGIAR innovations aiming to improve the research design.

- Study teams built on partnerships between CGIAR researchers and academics
<table>
<thead>
<tr>
<th>SPIA calls</th>
<th>Targeted lessons/evidence</th>
<th>Targeted CGIAR innovations</th>
<th>Expected learnings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Long-Term Large-Scale call</td>
<td>Accountability studies that test whether past CGIAR research investments contributed to anticipated impacts</td>
<td>Innovations believed to be widely diffused and hence possible to study impacts at scale</td>
<td>Impact associated with under-evaluated areas in CGIAR (NRM, policies and institutions, farming systems including livestock, fish, non-cereal crops)</td>
</tr>
<tr>
<td>Environmental call</td>
<td>Accountability studies that provide evidence on whether agr. productivity-enhancing innovations have impacts on local environments, incl. synergies &amp; trade-offs</td>
<td>Innovations, investments or policies that can help mitigate negative environmental impacts or increase positive environmental spillovers from increased agr. productivity</td>
<td>Positive or negative environmental impacts that are associated with the adoption of CGIAR innovations</td>
</tr>
<tr>
<td>Adapted Strategies call</td>
<td>Learning studies that start from the characteristics of innovations to develop and test adapted diffusion strategies to increase adoption</td>
<td>Different CGIAR innovations with different traits and profiles of expected cost and benefits, which characteristics may affect farmers’ decision to adopt them or sustain their use</td>
<td>Provide evidence-based guidance on cost-effective adapted approaches to scaling innovations that will lead to impact</td>
</tr>
<tr>
<td>Digital Tools call</td>
<td>Learning studies aimed at testing whether CGIAR-developed tools improve outcomes for small holders</td>
<td>CGIAR-related digital tools, designed to push information or customize advice based on inputs from users and to deliver high-quality information to farmers</td>
<td>How can CGIAR digital tools be adapted to be more efficient in heterogeneous environments? Can sharing agr. information have unintended consequences? Who benefits from the digital support tools?</td>
</tr>
</tbody>
</table>
Accountability studies:

- **Long-Term, Large-Scale impacts**
  SPIA panel lead: started by Prof J.V. Meenakshi

- **Environmental impacts**
  SPIA panel lead: Prof Kelsey Jack

Learning studies:

- **Adapted Strategies to enhance uptake of CGIAR innovations**
  SPIA panel lead: Prof Rachid Laajaj

- **Impacts of Digital Support Tools in Agriculture**
  SPIA panel lead: Prof Kyle Emerick

**Timeline for evidence and impact areas**

Note: These graphs do not include pilot studies that are testing different questions to refine the design of full studies.
**Innovation that CGIAR research contributed to**

<table>
<thead>
<tr>
<th>Innovation</th>
<th>Expected impacts</th>
<th>Research questions</th>
</tr>
</thead>
</table>
| CGIAR research on collective action/property rights informed a large-scale initiative of land restoration in India | Ecological & socio-economic impacts of land restoration | Has restoration caused positive/negative externalities?  
Who benefitted from land restoration? (by gender/ethnicity) |
| Stress tolerant Rice Varieties in Bangladesh | Enhanced yield resilience to improve food security and reduce poverty | Has adoption of STRV increased resilience of the poor to climate change shocks?  
Has adoption of STRV increased productivity, income, employment and food security? |
| Index based livestock insurance (IBLI) in Kenya & Ethiopia | Sustained adoption and impacts on herd management and welfare | What has been the dynamics of adoption and dis-adoption of IBLI?  
Has the early IBLI coverage resulted in herd management and household welfare impacts? |
| Blast resistant wheat varieties in Bangladesh | Productivity and profitability impacts. Reverting decline of wheat cropping land | Do blast resistant varieties improve wheat yield and profitability?  
Does adoption change cropping patterns?  
Is there differentiated demand for improved seed? |

**Long-Term Large-Scale call**
Does intensification of sorghum and millet systems result in crop substitution (replacing cotton) or induces further deforestation?

Do changes in productivity affect food availability and household income?

Does agricultural intensification lead to land sparing or to cropland expansion with negative effects on tree coverage?

Does the adoption of happy seeders reduce residue-burning rates?

Would this imply reduction in CO, NO and CH gases?

Does adoption result in health benefits through reduced pollution?

Enhanced pastoralist resilience may exacerbate stocking rates and generate negative rangeland health effects

Are there unintended environmental effects of IBLI?

How to measure rangeland health effects at scale?

Is the scaling of IBLI exacerbating stocking rates and generating negative rangeland health effects?

Reduction in residue burning

Reduction in air pollution

Improved health impacts

Does intensification of sorghum and millet systems result in crop substitution (replacing cotton) or induces further deforestation?

Do changes in productivity affect food availability and household income?

Note: These tables do not include pilot studies that are testing different questions to refine the design of full accountability studies.
<table>
<thead>
<tr>
<th>Innovation that CGIAR research contributed to</th>
<th>Challenges that may limit a widespread adoption of innovation</th>
<th>How ToC is being tested (research questions)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Machine harvestable chickpeas (MHC) varieties in India</td>
<td>Traditional varieties not suitable for harvester</td>
<td>Can partial subsidy to book harvesters enhance their use?</td>
</tr>
<tr>
<td>East Africa livestock vaccine (ECV) in Kenya</td>
<td>Lack of harvesters with adequate blades</td>
<td>Can extension help to better-manage MHC varieties?</td>
</tr>
<tr>
<td>Adapted motorized paddy weeder (AMW) in Uganda</td>
<td>Field preparation for MHC is different</td>
<td>Does varietal comparison enhance adoption?</td>
</tr>
<tr>
<td>Small-scale mechanization (SSM) in Ethiopia</td>
<td>Yield comparison with old varieties unknown</td>
<td></td>
</tr>
<tr>
<td>Sustainable Rainwater Harvesting (RWH) (demi-lunes) in Niger</td>
<td>Vaccines only economically viable when large</td>
<td>How improved access to ECV affects vaccination rates?</td>
</tr>
<tr>
<td></td>
<td>number of cattle vaccinated simultaneously</td>
<td>Does presence of check-offs system increase effect of access on vaccination rates?</td>
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<tr>
<td></td>
<td>Vaccine administration expensive and require a certified vaccinator, unaffordable for individuals</td>
<td>Effect on cattle investment, milk consumption &amp; sales and profits?</td>
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<td></td>
<td>Demand for AMW maybe limited due to failures in other input markets (fertilizer)</td>
<td>Will adoption of weeder be higher if high quality fertilizer is also available?</td>
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<tr>
<td></td>
<td>If women primary labor provider, intra-household frictions may limit demand</td>
<td>What are the options to effectively disseminate AMW minimizing the effect of the intra-household frictions?</td>
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<tr>
<td></td>
<td>Small mechanization is scarce and investing in this business may be risky</td>
<td>To what extent are supply and demand complementary or substitutable in scaling SSM?</td>
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<tr>
<td></td>
<td>High cost of traditional mechanization is unaffordable for small farmers</td>
<td>What set of affordable interventions are impactful in enhancing take up of SSM?</td>
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<td>RWH requires high constructions costs, intensive technical information a long-time frame to realize benefits</td>
<td>Can adoption of RWH be sustained overtime?</td>
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<td></td>
<td>Disadoption possible if benefits not in year 1</td>
<td>Do training and cash transfers enhance adoption of RWH?</td>
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<tr>
<td></td>
<td></td>
<td>Does adoption of demi-lunes improve soil quality?</td>
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Note: These tables do not include pilot studies that are testing different questions to refine the design of full learning studies.
### Innovation that CGIAR research contributed to

- **Picture based advisory (PBA) digital extension in India & Kenya**
- **Interactive voice response (Tugere Muhinzi) for improving market linkages of smallholders in Rwanda**
- **Group-based ICT extension support system in Peru**

### Key hypothesis in the ToC to be tested

- **Picture submitted by farmers** would increase the amount of information used by experts to provide preventive & curative advice
- **Tailored advice would increase farmer knowledge on crop management**
- **Increasing farmer ownership of PBA** will encourage adoption of both preventive and curative practices
- **Facilitate the linkage between farmers and buyers of produce** by promoting sustained engagement
- **Better market access** would encourage shifting to high-value crops and adoption of irrigation, leading to positive effect on farm profits/welfare
- **Shortage of extension services and remoteness of target areas** create opportunities for ICT to deliver knowledge of modern ag. techniques
- **Engage local focal points** owning smart phones and having good linkages with community.
- **Incentives (financial and social reward)** to keep focal points engaged

### Research questions

- Does tailored advice have an added effect due to increasing personalization?
- Is there heterogeneity in returns to tailored advice across age, gender, smart phone access, digital literacy?
- Does the use of Tugere Muhinzi improves market intermediation?
- Is market intermediation complementary to a subsidy in irrigation technologies in cultivation of high value crops?
- Are community-based ICT models cost-effective in delivering inclusive ag extension in areas with limited access to smartphones?
- What kind of incentives are needed and how they should be awarded?

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**Note:** These tables do not include pilot studies that are testing different questions to refine the design of full learning studies.
Objective 1: Support CGIAR’s strong commitment to embed a culture of impact assessment into the System

- SPIA engaged with One CGIAR Research Strategy and associated PRMF providing specific inputs/comments, some that were incorporated
- SPIA provided advice to One CGIAR initiatives on rigorous methods and approaches for their impact assessment plans, through group and individual meetings with the SGD, initiatives teams and the engagement of the IA CoP
- SPIA supports early career social scientists through a series of webinars to design rigorous IA studies and through small grants and fellowship programs to address new research questions using existing SPIA datasets and working with IA academics
- SPIA engages a broader IA CoP through a variety of events. This includes non-IA specialists who use IA results and who make decisions about investing in generating them.
6-year workplan, 2 business cycles

2019-2021

- Scoping, matching, preparation IA studies
- Design and launch:
  - Accountability studies
  - Learning studies
  - Methods and country work

2022-2024

- Research findings from SPIA portfolio
- Insights from methodological development
- Broader use of rigorous methods

Approved 6-year workplan
6-year workplan, 2 business cycles

2019-2021

- Strengthening the impact assessment of the CGIAR (SIAC)
- Diffusion lessons SIAC
- Synthesis
- Ethiopia report
- Guidelines for DNA fingerprinting

2022-2024

- Scoping, matching, preparation IA studies
- Design and launch:
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  - Learning studies
  - Methods and country work
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Approved 6-year workplan

Evidence to speak to One CGIAR priorities
But if there are new asks

2019-2021

- Scoping, matching, preparation IA studies
- Design and launch:
  - Accountability studies
  - Learning studies
- Methods and country work

2022-2024

- Research findings from SPIA portfolio
- Insights from methodological development
- Broader use of rigorous methods

2025-2027

- Support to OneCGIAR initiatives?
- New country work?
- Design & launch new set of independent IA on OneCGIAR priorities?

Approved 6-year workplan

Findings, Learning, Syntheses, Broader use of methods
Continuity over business cycles

2019-2021
• Strengthening the impact assessment of the CGIAR (SIAC)

2022-2024
• Diffusion lessons SIAC Synthesis
• Ethiopia report
• Guidelines for DNA fingerprinting
• Scoping, matching, preparation IA studies
• Design and launch:
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  • Learning studies
  • Methods and country work
• Research findings from SPIA portfolio
• Insights from methodological development
• Broader use of rigorous methods
• New country work?
• Design & launch new set of independent IA on OneCGIAR priorities?
• Support to OneCGIAR initiatives?

2025-2027
• Findings, learning, Syntheses, Broader use of methods

Approved 6-year workplan

Capacity strengthening
For discussion
Planning for independent impact evidence beyond 2024, in line with One CGIAR results framework

• New Country work?
  • Additional countries by 2027
  • Changes in reach as the portfolio gets implemented
  • Targeted causal IA studies on innovations/policy influences with large reach to build towards new RoR calculation (~ SPIA approach)
  • Cost-effective methods to obtain valid & reliable national-representative data of reach
    • e.g. combining machine learning methods with high quality ground-truth data from DNA fingerprinting

• Design & launch new set of independent IA on One CGIAR priorities?
  • Coordinate collection of monitoring data of scaling efforts, as a first step to design for long-term large-scale impact estimates of “big wins” by 2030
    • Prospectively work with scaling partners to know where, when, for whom, why scaling efforts rolled-out
    • Integrated approach from M&E to ex-post IA
    • To be further enhanced with country-coordination in scaling
  • Gender and social inclusion - differentiated impacts & innovations designed for women and youth
  • Long-term follow-ups on
    • Environmental and biodiversity synergies and trade-offs
    • Nutritional gain
  • Learning studies to test common key assumptions in ToC of One CGIAR
Independent strategic advice to the CGIAR System on impact assessment methods and practices

• Advice at initiative level
  • Building on strategic guidance on IA plans as part of the proposal stage and expanded IA CoP (~ webinars)
  • Demand-driven advice & support on overall methods for IA, prioritization, and matchmaking with external experts (and possibly support leveraging other external resources?)

• Advice at portfolio-level
  • As a science organization - insist on scientific process and rigorous evidence for scaling (implies need for incentives to learn from both failures and successes)
    • Important first step made with plans for impact assessment research as integral part of the initiative proposals
  • Investments in “right” type of data and evidence
  • Invest in the “right” type of human capital: new skills needed to bring in early career social scientists trained in state-of-the-art methods in various social sciences & from multidisciplinary programs
    • Opportunities exist: lots of young researchers, including from global south, graduating from best universities in the world with interest in One CGIAR topics.
    • Challenges exist too: incentives, supporting research environment, mentors, asymmetric information
From here we keep slides for back up
The SPIA calls: selection process

Time from launch of call to signing of LoAs ranging from 7-19 months

- Call launched
- Deadline to submit expression of Interest: Between 20 and 49 EoIs received in each of the ongoing calls
- Internal review process
- Invitations to submit proposals: Between 4 and 9 proposals invited
- External review process
- Proposal revisions following reviewer comments: Between 3 weeks-4 months
- Funding decisions made: Between 1-3 months
- Between 1-7 months
- Between 1-3 months
- 3-5 studies approved for SPIA support
Multi-disciplinary teams bringing independent evidence of CGIAR impacts

Note: These tables do not include pilot studies that are testing different questions to refine the design of full learning studies.
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<thead>
<tr>
<th>When</th>
<th>Where</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Apr-May 2019</td>
<td>IFPRI, Washington</td>
<td>SPIA team presentation on IA methods in workshop organized by HarvestPlus and CIP on harmonizing indicators and approaches to impact assessment of biofortification.</td>
</tr>
<tr>
<td>May 2019</td>
<td>ILRI, Nairobi</td>
<td>SPIA chair visit to ILRI and ICRAF, presentation on impact assessment methods and SPIA approach, and meeting with science leaders and impact assessment researchers.</td>
</tr>
<tr>
<td>June 2019</td>
<td>Virtual</td>
<td>SPIA chair presentation in the annual Science Leader Meeting on foresight, impact assessment and evaluation.</td>
</tr>
<tr>
<td>19-21 June 2019</td>
<td>FAO, Rome</td>
<td>SPIA co-organized Inclusive Agriculture and Rural Transformation: Building a Shared Research Agenda, event organized by FAO, IFAD, the World Bank, SPIA of CGIAR, the Bill &amp; Melinda Gates Foundation and the UK's Department for International Development.</td>
</tr>
<tr>
<td>2-4 Oct 2019</td>
<td>Amsterdam</td>
<td>SPIA co-organized annual meeting of the MEL and IA communities of practice on the topic of Scaling, Impact, and Benefits of CGIAR Research—Towards 2021 in Amsterdam.</td>
</tr>
<tr>
<td>Dec 2019</td>
<td>Paris</td>
<td>SPIA workshop in Paris, to define the research and capacity development agenda in the area of better measurement of the adoption of agricultural innovations.</td>
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<tr>
<td>Jul-Aug 2020</td>
<td>Virtual</td>
<td>Annual Impact Assessment Focal Point (IAFP) meeting with participation for all CGIAR centers.</td>
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<tr>
<td>18 &amp; 25 Nov 2020</td>
<td>Virtual</td>
<td>SPIA convened broader CGIAR CoP on impact assessment and a webinar with CGIAR research leaders and impact assessment researchers, focusing on the results of the Ethiopia synthesis report.</td>
</tr>
<tr>
<td>Nov 2020</td>
<td>Virtual</td>
<td>SPIA co-organized a series of webinars for CGIAR social scientists on ‘getting published’ with editors of high-impact journals</td>
</tr>
<tr>
<td>Jan-Nov 2021</td>
<td>Virtual</td>
<td>Monthly webinars for the CGIAR impact assessment community of practice to jointly reflect on methods and approaches to impact assessment.</td>
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<tr>
<td>30 June 2021</td>
<td>Virtual</td>
<td>Co-organized webinar with initiative design teams to support development of Impact Assessment plans.</td>
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<tr>
<td>Sept-Oct 2021</td>
<td>Virtual</td>
<td>Meetings with specific initiative design teams to support development of Impact Assessment plans.</td>
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<tr>
<td>10 Nov 2021</td>
<td>Virtual</td>
<td>Annual meeting with the CGIAR Impact Assessment Focal Points</td>
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