



Annual Report: AAS-2013-11

2012 Annual Report to Consortium Office



RESEARCH
PROGRAM ON
Aquatic
Agricultural
Systems

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A. KEY MESSAGES

The CGIAR Research Program on Aquatic Agricultural Systems (AAS) aims to change the way the CGIAR engages with aquatic agricultural systems and the poor and vulnerable communities who depend upon them. We aim to reach millions more by harnessing learning that can improve agricultural research and development in other complex agricultural and natural resource management systems.

The program pursued a participatory approach to identification of research priorities successfully in focal landscapes (hubs) in the first three focal countries: southern polder zone (Bangladesh), Malaita (Solomon Islands), and Barotse floodplain (Zambia). Starting with scoping, followed by diagnosis and then design, our participatory approach has seen the effective engagement of research and development partners, from the communities we work with through the national agricultural research system, to the national and international development community working in these locations.

A program rollout handbook was developed to guide implementation of the program's participatory approach consistently across locations. The handbook has proved to be an extremely effective learning tool with regular adjustments made in light of the improved understanding developed through rollout. This learning will inform revision of the handbook in 2013 and guide rollout in other hubs and countries, including in Cambodia and the Philippines in the first instance. As part of the rollout process, after action reviews were performed consistently after completion of each stage. This has helped develop a strong learning culture in the program team as an important outcome of rollout.

We have confronted limitations in impact assessment methods by convening a CGIAR Community of Practice on NRM Impact Assessment to develop a position paper on Impact Assessment of NRM Research Programs. This reflects the program's focus on developing new methods for monitoring and evaluation and impact assessment in complex natural resource management and farming systems. The program is now drawing upon the position paper in developing our monitoring and evaluation and impact assessment framework.

We have made significant investments to ensure that the program's focus on gender and social change is resourced effectively and that strong partnerships are in place. Three staff were recruited during the course of 2012 and a further nine will be recruited in 2013. This group will participate in targeted and ongoing capacity building activities to ensure the program can deliver our gender approach effectively in focal countries. Building upon this, and engagement in selected international fora, the gender team will work to develop mechanisms for shared learning with other CRPs. During the course of the year we revised the program's gender strategy and at year's end this was awaiting approval by the Consortium office. A policy brief summarizes the gender strategy.

The program convened an international dialogue "Building Coalitions, Creating Change: An Agenda for Gender Transformative Research in Agricultural Development". This brought together 40 leading practitioners and researchers from different development sectors to review the current state of knowledge on gender transformative approaches, and distill learning to be implemented in the program. The results of the meeting helped inform the program's revised gender strategy.

The program generated a range of science outputs, including eight methods guidance and decision support tools, and a total of 47 science publications. Of these publications, 30 were submitted for publication or published in the primary literature, 5 are working papers, 7 reports, and 5 policy briefs. One third of

the science publications (16) concerned the program's productivity theme, 25% (12) concerned resilience, and 20% (9) concerned governance. The program also maintained four open access data bases.

Good progress was made towards achieving outcomes through:

- i) the program rollout process, which has fostered more coordinated action amongst program stakeholders in hubs;
- ii) adoption, adaptation and promotion of program research products, with the highlight in Bangladesh where, working with Save the Children and the Department of Fisheries 22,000 women and 23,000 men were trained in AAS technologies, and practice improved in 92,000 hectares;
- iii) development and adoption of policies, with the highlight here being the adoption of the AAS supported national aquaculture development strategy in Timor Leste which can serve as a learning platform for Coral Triangle nations.

The program's Communications Strategy was completed, and increased emphasis is now being placed on communication to achieve outcomes. To this end specific communication investments have been designed in each of the program's locations. Partners and investors have welcomed the program's strong CGIAR branding, and we will continue to roll this out across all communications materials, tools and channels. An internal web site was launched with a beta version planned for early 2013.

The Program Oversight Panel (POP) met in February (Penang) and July (Zambia). In the first meeting the POP focused on learning

about the design and approach of the program, and in the second visited one of the program hubs to view the partnership and operational approach being developed. Six of the eight POP members are independent; four are women and four men.

The Program Leadership Team (PLT) met in January and June to finalize program plans for the year and then conduct a mid-year review. The PLT brings together representatives from participating CGIAR Centers (Bioversity, IWMI, WorldFish), representatives from CARE and CRS, Country Managers, the head of the Program Support Unit, and science theme leaders for the Program's six research themes.

Effective partnerships have been developed at multiple levels, ranging from NGO membership in the PLT, six independent members in the POP, strong engagement of partners in focal countries through membership in the hub diagnosis and design teams, and significant international partnerships in developing the program's work on gender, monitoring, evaluation and impact assessment (MEIA) and research in development. A partnership policy brief summarized the program's partnership strategy.

B. IMPACT PATHWAY AND INTERMEDIATE DEVELOPMENT OUTCOMES (IDOS)

The CGIAR Strategy and Results Framework highlights the need to shift emphasis from a narrow focus on the impact of particular technologies on the incomes of the rural poor to understanding the complex of factors required to significantly reduce rural poverty rates. AAS was developed with this holistic focus, and our initial programmatic theory of change and six research themes provide a framework for the research needed to pursue this. The program is now working through participatory processes with local stakeholders and national and international development partners to co-develop action research activities within these themes that reflect the priorities of the hubs in which we work.

In 2012 we implemented these processes in three focal countries and hubs (Polder Zone of Southern Bangladesh, Malaita Province in the Solomon Islands, and the Barotse floodplain of Zambia's Western Province). This identified the most important development

challenges facing rural farming, fishing and herding communities in each hub, developed a preliminary theory of change for each, and outlined a research agenda to pursue this. In Malaita, where rural people face challenges arising from rising population and diminishing marine resources, the program will work to diversify livelihoods and empower communities so that they can make more effective use of their marine resources and adapt better to change. In Zambia, where seasonal inundation of the Zambezi floodplain constrains livelihoods and limits options for agriculture, the program will pursue technologies and management practices that make more effective use of the agricultural potential and natural resources of the system. In southern Bangladesh, where changes in sea level and water flow drive a very dynamic farming environment, we will foster adoption of more productive, diversified and resilient practices and technologies that improve use of resources and improve adaptive capacity. In addition to identifying these development challenges and initial theories of change, rollout has also provided broad benchmarking information that will be pursued in greater depth as we work to detail specific theories of change for each of the research priorities in each hub. More information on the initial results from this work is available here.

Building on this work in program countries and hubs, the program has also engaged closely with the Consortium-led process to develop a coherent set of Intermediate Development Outcomes (IDOs) for the CRPs. Accordingly AAS is currently engaged in intensive analysis of our IDOs and their associated Impact Pathways (IPs) and Theories of Change (ToCs). This analysis builds on the initial theory of change and three impact pathways set out in the original proposal, and deepens our understanding of how these pathways are guiding our research outputs and development outcomes:

- **Impact pathway 1** involves developing, replicating and expanding adoption of tested technologies and approaches in our hubs.
- **Impact pathway 2** focuses on catalyzing socio-ecological transformation in our hubs by:
 - i) increasing the pool of technologies and organizational innovations available to actors in the hub,
 - ii) improving knowledge and information systems to allow their spread, and
 - iii) improving the ways actors evaluate and select among strategies for change. This will include critical analysis of gender norms and power relations that constrain rural households and communities from having a greater say in choosing, and taking control of, their livelihood options.
- **Impact pathway 3** will contribute to changing agricultural research and development investment policy and practice to better support the approaches pursued through pathways 1 and 2. To pursue this AAS will contribute to national, regional, and global policy dialogue, increasing investment in this area in future years as the results of the program's work mature.

The program will develop a full set of revised IDOs, IPs and ToCs by June 2013 to discuss these with donors and partners at that time. They will then be revised further with a view to providing a final set to the Consortium at the end of September 2013. The revised IDOs will then provide the strategic core of the next phase of the program, to be developed in early 2014.

C. PROGRESS ALONG THE IMPACT PATHWAY

During our first full calendar year of implementation of the program, we focused on four key areas:

- i) consolidating the program set up begun in the second half of 2011;
- ii) establishing the program in the first three focal countries and sites and developing our research agenda there;

- iii) conducting global research synthesis on selected themes to underpin and strengthen the detailed design of the program at country and hub level;
- iv) implementing research projects in focal countries and related systems in order to generate outputs and outcomes that contribute to the program's overarching development objectives, generating learning and technologies that the program will draw upon as it moves forward.

Progress in these four areas is summarized below in terms of major achievements, outputs, progress towards outcomes, and progress towards impact.

C1. Major achievements.

Both the Program Oversight Panel (POP) —the program's governance body—and our Program Leadership Team (PLT) became fully operational at the start of 2012. The POP met in February (Penang) to review program design and management and approve program plans for the year, then in July (Zambia) with a visit to the Barotse floodplain hub, focusing on how the partnership and operational approach of the program was being developed.

The PLT brings together representatives from participating CGIAR Centers (Bioversity, IWMI, WorldFish), representatives from CARE and CRS, Country Managers, the head of the Program Support Unit, and science leaders for the Program's six research themes. The team met in January and June to develop detailed plans for rollout during the course of the year, then to conduct a mid-year review. At its first meeting the PLT established five working groups to guide design of the program at country level (rollout working group), oversee program science (science working group), support development of the program's gender transformative approach (gender working group), develop a coherent approach to program communications (communications working group), and guide program operations (operations working group). These working groups operated successfully over the course of the year, and learning from this is helping refine operation of the groups and overall PLT in 2013.

A Program Support Unit (PSU) was established to provide effective coordination of managerial and administrative aspects of the program. The PSU established processes to integrate activity and resource planning across participating CGIAR Centers and built financial management systems to allow for efficient deployment of resources across the program. These new processes and systems will be refined throughout 2013.

Recognizing the weakness of existing methods for monitoring and impact evaluation for both research and development programs in natural resource management (NRM) and complex farming systems, the program convened a community of practice and two international workshops to synthesize the state-of-the-art and craft a research agenda on these issues. The program will now draw upon the position paper developed from this work in designing the MEIA dimensions of the program. An MEIA strategy paper is in preparation.

In view of our strong focus on gender, and in particular on the importance of gender transformative approaches, the program convened an international dialogue "Building Coalitions, Creating Change: An Agenda for Gender Transformative Research in Agricultural Development" from 3-5 October. This brought together 40 gender practitioners and researchers from different development sectors to review the current state of knowledge on gender transformative approaches, and distill learning that can be applied in the implementation of the program. The results of the meeting fed into the program's revised gender strategy. In conjunction with this approach the program has worked closely with the Consortium Gender Advisor to encourage learning and capacity in gender transformative approaches across CRPs.

Specific plans to pursue this cross-program learning further are being developed for 2013.

At country level, we have pursued a participatory approach to research design in focal landscapes (hubs) in the Polder Zone of Southern Bangladesh; Malaita Province in the Solomon Islands, and the Barotse floodplain of Zambia's Western Province. Starting with scoping, followed by diagnosis and then design, this approach has seen the effective engagement of research and development partners, from the communities we work with through the national agricultural research system, to the international development community working in these locations. We are now working closely with partners in the detailed design and implementation of the research programs identified in each location.

To support this process the PLT's Rollout Working Group worked closely with country teams to develop a rollout handbook, detailing the program's staged, participatory process of partner engagement, priority setting and research design. By documenting the process used to design the program the handbook will constitute an important public good that sets out and communicates the program's innovative approaches to conducting outcome focused systems level research in aquatic agricultural systems, including community participation, MEIA and gender. The handbook was also designed to provide a learning tool for the program, and regular adjustments were made in light of the improved understanding developed through rollout. This learning will guide rollout in other hubs and countries, including in Cambodia and the Philippines in the first instance. Work also began on development of a science handbook for the program, in which we will set out the program's approach in different research areas, including explaining where we have adapted existing methods, and where we have developed (or will develop) new ones. This will be published in 2013.

C2. Outputs.

The program generated a range of outputs in 2012, and these are summarized below in Annex 1, Table 1. Documentation of these outputs is found in project reports, websites, and publications available from PSU. Three types of output were of particular importance:

Decision support tools. Eight methods guidance and decision support tools were generated during the year. Three were directed towards researchers: guidelines for ex-ante assessment of fisheries and aquaculture projects; guidelines for adaptive management of NRM projects; and a monitoring system for assessing impact of management practices in fish-rice systems. Two were directed towards NRM management stakeholders in Ghana: school curricula for monitoring wetlands; and a best practices atlas for shoreline use. Finally three were directed towards stakeholders in the aquaculture sector: risk management guidelines for investors; production manuals for tilapia and milkfish production in Solomon Islands; and Bengali language guidelines for *mola* brood fish transport.

Open-access data bases. Four open-access data bases are maintained through the program. BioFresh Portal is a clearing house site that aggregates models, tools, and indices for freshwater biodiversity research. During the year about 20 tools were integrated in the database or linked. The program also created an online database portal with open-source software for geographic, ecological and socio-economic data and information. ReefBase, a relational database and information system for structured information on coral reefs and their resources, and the Coral Triangle Atlas provide information on coastal systems.

Publications in ISI Journals. 47 science publications were completed during the course of the year. Of these, 30 were

submitted for publication or published in the primary literature (Annex 1, Table 1, indicator #9), 5 are working papers, 7 reports, and 5 policy briefs. One third of the publications (16) concerned the program's productivity theme, 25% (12) concerned resilience, and 20% (9) concerned governance. In addition the program also drew on published science outputs and work in progress to develop a 52-episode radio drama on coastal resources management in Ghana. This is indicative of the innovative communication approaches that will need to expand as the program develops. A full list of publications is provided in Annex 2.

C3. Progress towards achieving outcomes.

Progress towards outcomes concerns primarily both the achievements of the rollout in focal countries and hubs, and the achievements of pre-existing projects that will contribute to achieving outcomes under the framework of AAS. Highlights from this work are summarized below.

Fostering more coordinated action among stakeholders in program hubs. One of the program's primary impact pathways concerns improving the enabling environment for innovation in the program hubs. This will take time to develop, but an essential step lies in building an effective coalition of stakeholders engaged in the design and implementation of the program in each of these locations. The work done in 2012 in Bangladesh, Solomon Islands, and Zambia, as well as preliminary work in Cambodia and Philippines, has established strong coalitions in these locations. Hub rollout is designed to build stakeholder coalitions through scoping, consultation, agreeing on a hub development challenge to tackle, visioning success and identifying opportunities and competencies to build on, with particular emphasis on rural communities. This work is guided by a Diagnostic and Design Team in each hub made up members from key hub organizations. The process culminates in a program design workshop to agree a framework for a hub program of work. Workshop after action reviews in Bangladesh, Solomon Islands and Zambia highlighted the success of the process in terms of ownership, energy and new links. In Zambia, for example, the design workshop was attended by CGIAR Centers, NARS, NGOs, national and local government, the Royal Barotse Establishment (the traditional authority), the private sector and community representatives. Participants said they appreciated "the evolution of team spirit and joint ownership", "the good effort to get engagement by many" and "the process and methodology used to come up with community priorities". In terms of insight, several made reference to beginning to see the potential of building better linkages between the organizations and sectors supporting community development. In 2013 the Diagnostic and Design teams will transition into program management and oversight teams and these will build on the positive and engaged institutional environment built in 2013.

Adoption, adaptation and promotion of AAS CRP prototypes and knowledge. With partners in southern Bangladesh, AAS research and training contributed to widespread adoption of improved aquaculture production practices by farmers and hatchery operators. With Save the Children and the Department of Fisheries, the program is working to provide improved quality fish seed at scale, provide aquaculture training to large numbers of farmers and hatchery operators, and support adoption of vegetable production at household level. Taking a value chain focus, this work combines hatchery operator training for better quality input provision, training for low intensity integrated aquaculture-aquaculture through vegetable production, and training for both household fish ponds and higher intensity commercial tilapia and shrimp production. The activities include training for hatchery operators in quality control for fingerlings production, cage aquaculture, farm pond carp polyculture, and commercial shrimp and tilapia culture. 23,000 men and 22,000

women from 45,000 households were trained in these approaches in 2012. Monitoring of these households has shown 92,000 hectares under improved practice.

Development and adoption of policies. Aquaculture development is emerging as an important aquatic resource arena for countries of the Coral Triangle, one of the AAS focal regions. In response AAS is working to support the Solomon Islands and Timor Leste (where we intend in time to scale out the AAS approach), through the development of improved aquaculture policy and practice. As part of this work in 2012 AAS research contributed to the participatory development of the National Aquaculture Development Strategy for Timor Leste in partnership with the National Directorate of Fisheries and Aquaculture of the Ministry of Agriculture and Fisheries, FAO's Regional Fisheries Livelihoods Program, and the Coral Triangle Support Partnership of the World Wildlife Fund. This included convening consultation meetings with stakeholders at national and local levels, review of relevant national policies and strategies, and analysis of agro-ecological, social, economic and institutional issues. A report "Analysis of the Current Situation and Potential for Aquaculture Development in Timor Leste" was produced. The strategy will proceed in 2013 and support the emergence of small and medium size aquaculture businesses, and help connect farmers to fish markets. For inland communities, freshwater aquaculture will provide more small business and income raising opportunities, and help address the widespread problem of under-nutrition among women and children, while brackish water aquaculture and mariculture will be developed in coastal communities.

C4. Progress towards Impact.

While the program is still in the early stages of implementation the evidence of achievements, outputs and outcomes in 2012 give grounds for confidence that the program will contribute to significant impact over time. In particular the results reported here provide tangible evidence of the role of our research in pursuing the program's three impact pathways and these will be developed further as we establish the program's IDOs, together with their ToCs.

D. GENDER RESEARCH ACHIEVEMENTS

The program has placed high priority on gender research and focused in 2012 on establishing a strong platform from which to develop in future years. This has included recruiting an initial team of three gender scientists, and working through them to integrate gender in the rollout in focal countries and hubs. Drawing from the learning developed through this work a review of gender in AAS in the five program countries has been produced, together with several other background studies.

To support this work the program also convened the international dialogue on gender transformational approaches (GTA) to research in agriculture from 3-5 October (Building Coalitions, Creating Change: An Agenda for Gender Transformative Research in Agricultural Development). This strengthened the program's approach to GTA, built important partnerships (see below) to carry forward this work, and established a coalition that will work with the program to pursue the agenda for GTA developed. The dialogue highlighted the importance of the enabling environment, and institutional capacity, in developing and sustaining a successful gender transformative approach. In our 2013 workplan and budget the program has therefore prioritized investments to build this capacity and create the enabling environment required. A summary report and other communications products (e.g. thought leader interviews) are available at the meeting's microsite. These provide important testimony to the energy and commitment generated through the dialogue, and we will build upon this in 2013.

Building on learning developed through the work at local and country level, and the global analysis, we also reviewed and

revised the gender strategy for the program. This was submitted to the Consortium Office in December 2012 (and approved in early 2013).

D1. Gender equality targets defined.

The program is setting gender equality targets as part of the diagnosis and design process being pursued in each of the focal countries and hubs. Gender checklists were used to characterize the obstacles and opportunities for achieving gender transformative change to address the hub development challenges. These data provide the baseline on the main dimensions of gender inequality in AAS target populations in the hubs. Building upon this work a module was developed to orient the Diagnosis and Design team towards the Gender Transformative Approach (GTA) of the program. Similarly a guideline and modular toolkit for qualitative gender situational analysis was developed and hub level teams were trained to conduct the study as a part of the diagnosis. In hub locations where considerable prior work has been done on gender (e.g. the polder zone in southern Bangladesh) a review of secondary materials and interviews with NGOs with more innovative gender programs was conducted. Based on the data gathered through this process, reports were produced for the three hubs. These findings were used to inform program design and integrate gender within this.

This process resulted in the development of an ambitious gender research agenda in each hub covering research under both the gender equality theme and integration of gender in the work of other research themes. This will be specified further in 2013 as detailed plans are elaborated for specific research projects under each research theme. A more detailed and rigorous social and gender analysis will also be undertaken in the hubs in 2013 which will provide the benchmarks on the main dimensions of gender inequality relevant to the program's IDOs. Initiatives to build capacity of the research team to design and implement this are in place and will be rolled out in 2013. It is only at this stage that specific gender equality targets will be set for each hub derived from theories of change developed together with key stakeholders in each hub. Targets for individual hubs will then be aggregated up for the whole program.

Learning from the work carried out in 2012 is now being used to develop the program's IDOs, and also to inform discussion of a common gender equality IDO across CRPs. The program has also distilled learning from other on-going projects to inform development of the gender related targets. For example, a small scale aquaculture project in Cambodia employing a community science method has delivered both material (access to financial capital, increased incomes and food security, employment) and transformative outcomes (enhanced self-confidence, knowledge, social networks). This experience offers lessons on the possibilities and insights for developing strategies for scaling out such initiatives and therefore help define targets.

D2. Institutional architecture for gender mainstreaming in place (integration of gender across the research cycle).

Two senior scientists and a post-doctoral fellow (PDF) joined the program in 2012 and at the end of December 2012 recruitment was under way for a third senior scientist, 2 PDFs and 6 national gender research analysts (as of 12 April 2013, 5 of these had been recruited). Complementing these investments in staff numbers, we are also investing in developing gender capacity more broadly across the program. This includes defining a gender and social science research capacity development plan with UEA to enhance high quality research skills amongst national gender analysts and some partner staff (including NARS) to be implemented in 2013. With Johns Hopkins we are defining a program to support GTA through behavioral change communication, and with the International Center for Research on Women (ICRW) and Promundo we are developing a partnership that will draw on

their experience to engage men and boys as a part of the GTA approach to achieving sustainable change in social norms.

The program's Gender team is represented on the Program Leadership Team and its working groups, ensuring formal interaction with all components of the program management structure and enabling gender considerations in the decision process. Process guidelines and a handbook to guide the diagnosis and design teams have been developed with the input of senior gender researchers. As a result the program design integrates gender effectively. A gender situational analysis in each focal hub, involving diverse social groups, was a critical step in achieving this integration of gender dimensions in the program in the hubs. As the program moves forward to implement its research agenda in each hub we will develop and use appropriate methods to track the implications for gender equality of the outputs and outcomes from this research. This will form part of the program's monitoring and evaluation system which will track both integration of gender in research and the application of, and learning from, the program's gender transformative approach.

E. PARTNERSHIP ACHIEVEMENTS

The program views working through partnerships as central to our impact pathways and theories of change. National partners have participated in program scoping, diagnosis and design in each focal country and will play a central role in implementation. Similarly at international level a wide range of research and development partners are working as key players in the program. Reflecting this commitment CARE and Catholic Relief Services are helping steer the program through their membership in the PLT. Similarly the program has worked closely with experts from the Universities of Sussex (IDS), East Anglia, Johns Hopkins, Wageningen, and Berne, in pursuing key strategic initiatives on Gender, Impact Assessment and Research in Development. As the program moves forward we expect these collaborations to grow into strong institutional relationships.

Reflecting this approach the program has also developed important partnerships with leading research and capacity building institutions. MoUs have been signed in 2012 with ICRW, with the International Center for development oriented Research in Agriculture (ICRA), and with the NGO Constellation, with a view to engaging their expertise and capacity in developing the program's work on gender and in building wider capacity for participatory approaches to research in development. We expect the scope and number of these partnerships to grow further in 2013.

At regional level we have begun to work with FARA and NEPAD in planning expansion of AAS in sub-Saharan Africa. Agreement has been reached to jointly convene a regional consultation on the role of AAS in sub-Saharan Africa and in particular explore how the program can expand in Africa in partnership with NEPAD-CAADP. This event will take place from 14-16 May 2013 and will determine the approach the program will take in Africa in its second phase. Further details on the program's approach to partnerships are available in a policy brief produced in 2012.

F. CAPACITY BUILDING

Improved capacity at multiple levels is essential to the program's theories of change. Reflecting this importance, capacity building is an emerging program priority and one where we expect investment to grow steadily in coming years. In 2012 the program provided short-term training for a total of 37,000 women and 34,000 male farmers, and helped improve practice on 105,000 hectares (Annex 1, Table 1: indicators #13, 14, 33).

Complementing this capacity building at community level the program has also developed ambitious plans to improve the capacity of researchers and partners to foster innovation and learning in the program. As part of this work the Program is

working closely with ICRA and Constellation to develop a sustained program of "on the job" training for researchers and staff from partners. This will be expanded in 2013 with a first investment in leadership development in two hubs. The program also began developing a gender capacity and organizational change approach to foster the enabling environment necessary for implementing the program's gender transformative strategy. These investments in capacity development are designed to help break the mold of much past investment in agricultural research and development in the program's focal hubs by creating effective multi-stakeholder dialogue and capacity to identify and pursue pathways for transformative change and help build collective action in pursuit of this.

G. RISK MANAGEMENT

The three major risks that may hinder the expected delivery of results by the CRP and their mitigation actions are described below. The POP reviews the risk inventory on an annual basis with the next review scheduled for February 2013.

Risk factor 1 – Limited engagement of CGIAR Centers.

Mitigation actions: Early program management involvement was pursued with all participating centers (Bioversity, IWMI, WorldFish). During the year the program has also initiated engagement with IRRI (concerning Bangladesh, Zambia and Myanmar), Africa Rice (Zambia), and ILRI (Bangladesh and Zambia), with a view to drawing upon their expertise, and the CRPs they are engaged in, for selected aspects of the research agenda in these countries and hubs. In addition the program is working with other CRPs in Bangladesh to foster cross CRP integration and develop the CGIAR work there as a showcase for effective CRP collaboration. Through the CGIAR gender network the program is also linking with ILRI, Bioversity, CIAT, CIFOR, and ICARDA to test GTAs. The Policies, Institutions, and Markets CRP is also supporting lesson-learning on the role of action research in influencing policy processes in the AAS focal countries.

Risk factor 2 – Existing projects leading to dispersion of effort.

Mitigation actions: Existing projects that are not aligned to the CRP are managed separately by participating Centers and not included within the CRP. New projects will prioritize focal countries and hubs and work in other locations will only be developed where this is clearly justifiable for reasons of broader learning and support to the program's scaling approach.

Risk factor 3 – Absence of strong management.

Mitigation actions: The participating Centers have prioritized hiring the appropriate skill sets required to implement the program, and the Lead Center has appointed a high quality Oversight Panel and Program Leader. Targeted leadership and management capacity building activities are also being developed.

H. LESSONS LEARNED

Indicators. The indicators set out in Table 1 provide a useful overview of the program's achievements using a limited set of metrics, and specific highlights are noted in this text. However the results summarized in Table 1 are largely confined to those derived from ongoing research in program countries and other locations which was initiated before AAS was designed and implementation started. While these results provide an important platform upon which the program will grow, Table 1 does not provide useful insights into the success (or otherwise) of the rollout process and new research designed in 2012. This is noticeably the case for indicator #25 which provides only a partial perspective on previous work on gender in bilateral projects, and does not reflect the significant investments made in gender in 2012 as part of program rollout. The narrative provided in the previous sections provides more insight and the detailed MEIA framework and methodologies now being developed for the

program seek to provide rigorous metrics that can be used across the program as it moves forward. This will build upon the rationale for, and measure progress towards, the program's IDOs, IPs and ToCs.

Research results. The research outputs and outcomes achieved in 2012 highlight the growing volume of results being generated through the program, as a result of both pre-existing projects and new research being designed and implemented through AAS. The outputs and outcomes derived from existing work highlight the potential for substantial impact at scale through well designed research and effective partnerships. The program has built on this in 2012 by focusing the design of new research on key development challenges in the program hubs, and by strengthening partnerships at multiple levels.

The identification of development challenges in program hubs and the identification of research priorities to address these has allowed the program to sharpen its precise research focus in each and assess the relative importance of the program's six research themes: sustainable increases in system productivity; equitable access to markets; socio-ecological resilience and adaptive capacity; gender equity; policies and institutions; knowledge sharing and learning. While all six themes have been confirmed as essential for the program, experience from 2012 indicates that markets and value chains have been underinvested and this will need attention in 2013 and 2014. All other research themes will need careful monitoring to ensure that the science capacity is in place in a timely manner to respond to the growing research agendas in each hub.

Learning from the rollout process in countries and hubs has highlighted the intensity and quality of the partnership engagement required for truly participatory development of the research agenda. The recognition given to this by participants in the various stakeholder workshops is an important outcome from 2012 and sets the stage for sustained stakeholder engagement in program implementation in the hubs. Similarly the strong commitment from participants in the Gender dialogue indicates that the program will be able to work through a very supportive coalition in 2013 and beyond, an essential precondition for achieving the impacts at scale that we aspire to.

Program lessons. As noted in the 2011 report there are already indications that the detailed program design process being developed for focal countries and hubs is going to take longer than indicated in the original program proposal. In parallel, the program has recognized the need for engagement in a larger number of countries in order to engage with aquatic systems reflecting a sufficient diversity of ecological, social, economic, and institutional contexts. In view of this analysis the program has begun to explore expanding the number of countries we engage in and a meeting to consider this for sub-Saharan Africa in 2013 has been agreed with FARA and NEPAD.

The increasing attention being given to clarifying the program's impact pathways and theories of change, has reinforced the program's focus on partnership, and highlighted the need for greater investment in communication and capacity building at multiple levels. Responding to this analysis a capacity building strategy will be developed in 2013.

Annex 1: Table 1. CRP indicators of progress, with glossary and targets

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
KNOWLEDGE, TOOLS, DATA							
All	1. Number of flagship "products" produced by CRP	These are frameworks and concepts that are significant and complete enough to have been highlighted on web pages, publicized through blog stories, press releases and/or policy briefs. They are significant in that they should be likely to change the way stakeholders along the impact pathway allocate resources and/or implement activities. They should be products that change the way these stakeholders think and act. Tools, decision-support tools, guidelines and/or training manuals are not included in this indicator			0		
All	2. % of flagship products produced that have explicit target of women farmers/NRM managers	The web pages, blog stories, press releases and policy briefs supporting indicator #1 must have an explicit focus on women farmers/NRM managers to be counted			0		
All	3. % of flagship products produced that have been assessed for likely gender-disaggregated impact	Reports/papers describing the products should include a focus on gender-disaggregated impacts if they are to be counted			0		
All	4. Number of "tools" produced by CRP	These are significant decision-support tools, guidelines, and/or training manuals that are significant and complete enough to have been highlighted on web pages, publicized through blog stories, press releases and/or policy briefs. They are significant in that they should be likely to change the way stakeholders along the impact pathway allocate resources and/or implement activities			8		
All	5. % of tools that have an explicit target of women farmers	The web pages, blog stories, press releases and policy briefs supporting indicator #4 must have an explicit focus on women farmers/NRM managers to be counted			0		
All	6. % of tools assessed for likely gender-disaggregated impact	Reports/papers describing the products should include a focus on gender-disaggregated impacts if they are to be counted			0		
All	7. Number of open access databases maintained by CRP			4	4		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
All	8. Total number of users of these open access databases				Not known		
All	9. Number of publications in ISI journals produced by CRP		From KPG list as time lags in publication prevent this statistic being in project reports	51	30		
1,2,3,4,6	10. Number of strategic value chains analyzed by CRP				9		
1,5,6,7	11. Number of targeted agro-ecosystems analyzed/characterized by CRP	Use the Millennium Ecosystem Assessment (MEA) typology of cultivated systems and of forests and woodland systems (MEA, 2005, Ecosystems and Human Well-Being: Current State and Trends, Volume 1) to define these agro-ecosystems and specify the regions concerned	Total of each different agro-ecosystem	3	3		
1,5,6,7	12. Estimated population of above-mentioned agro-ecosystems		Figure is sum of population of all project regions (figures not available for Malawi, Philippines and Ghana, so is a potential underestimate)	35m	35m		
CAPACITY ENHANCEMENT AND INNOVATION PLATFORMS							
All	13. Number of trainees in short-term programs facilitated by CRP (male)	The number of individuals to whom significant knowledge or skills have been imparted through interactions that are intentional, structured, and purposed for imparting knowledge or skills should be counted. This includes farmers, ranchers, fishers, and other primary sector producers who receive training in a variety of best practices in productivity, post-harvest management, linking to markets, etc. It also includes rural entrepreneurs, processors, managers and traders receiving training in application of new technologies, business management, linking to markets, etc., and training to extension specialists, researchers, policymakers and others who are engaged in the food, feed and fiber system and natural resources and water management. Include training on climate risk analysis, adaptation, mitigation, and vulnerability assessments, as it relates to agriculture. Training should include food security, water resources management/IWRM, sustainable agriculture, and climate change resilience	Total across all AAS projects assessed Figures for target are often gender combined	51,088	34,918		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
CAPACITY ENHANCEMENT AND INNOVATION PLATFORMS							
All	14. Number of trainees in short-term programs facilitated by CRP (female)	(see above, but for female)	Total across all AAS projects assessed. Figures for target are often gender combined	51,097	37,197		
All	15. Number of trainees in long-term programs facilitated by CRP (male)	The number of people who are currently enrolled in or graduated in the current fiscal year from a bachelor's, master's or Ph.D. program or are currently participating in or have completed in the current fiscal year a long term (degree-seeking) advanced training program such as a fellowship program or a post-doctoral studies program. A person completing one long term training program in the fiscal year and currently participating in another long term			5		
All	16. Number of trainees in long-term programs facilitated by CRP (female)	(see above, but for female)			1		
1,5,6,7	17. Number of multi-stakeholder R4D innovation platforms established for the targeted agro-ecosystems by the CRPs	To be counted, a multi-stakeholder platform has to have a clear purpose, generally to manage some type of tradeoff/conflict among the different interests of different stakeholders in the targeted agro-ecosystems, and inclusive and clear governance mechanisms, leading to decisions to manage the variety of perspectives of stakeholders in a manner satisfactory to the whole platform		5	5		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
TECHNOLOGIES/PRACTICES IN VARIOUS STAGES OF DEVELOPMENT							
All	18. Number of technologies/ NRM practices under research in the CRP (Phase I)	<p>Technologies to be counted here are agriculture-related and NRM-related technologies and innovations including those that address climate change adaptation and mitigation. Relevant technologies include but are not limited to:</p> <ul style="list-style-type: none"> • Mechanical and physical: New land preparation, harvesting, processing and product handling technologies, including biodegradable packaging • Biological: New germplasm (varieties, breeds, etc.) that could be higher-yielding or higher in nutritional content and/or more resilient to climate impacts; affordable food-based nutritional supplementation such as vitamin A-rich sweet potatoes or rice, or high-protein maize, or improved livestock breeds; soil management practices that increase biotic activity and soil organic matter levels; and livestock health services and products such as vaccines • Chemical: Fertilizers, insecticides, and pesticides sustainably and environmentally applied, and soil amendments that increase fertilizer-use efficiencies • Management and cultural practices: sustainable water management practices; sustainable land management practices; sustainable fishing practices; Information technology, improved/sustainable agricultural production and marketing practices, increased use of climate information for planning disaster risk strategies in place, climate change mitigation and energy efficiency, and natural resource management practices that increase productivity and/ or resiliency to climate change. IPM, ISFM, and PHH as related to agriculture should all be included as improved technologies or management practices <p>New technologies or management practices under research counted should be only those under research in the current reporting year. Any new or management practice under research in a previous year but not under research in the reporting year should not be included</p>	<p>AAS is less focused on technological development, but on deployment, testing and implementation of existing technologies in field. Hence, have higher number presented for CRP indicator #23</p> <p>Technology listed here is for new technology development for small indigenous fish management for aquaculture production</p>	0	1		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
All	19. % of technologies under research that have an explicit target of women farmers	The papers, web pages, blog stories, press releases and policy briefs supporting indicator #x must have an explicit focus on women farmers/NRM managers to be counted		0	0		
All	20. % of technologies under research that have been assessed for likely gender-disaggregated impact	Reports/papers describing the products should include a focus on gender-disaggregated impacts if they are to be counted		0	0		
1,5,6,7	21. Number of agro-ecosystems for which CRP has identified feasible approaches for improving ecosystem services and for establishing positive incentives for farmers to improve ecosystem functions as per the CRP's recommendations	Use the Millennium Ecosystem Assessment (MEA) typology of cultivated systems and of forests and woodland systems (MEA, 2005, Ecosystems and Human Well-Being: Current State and Trends, Volume 1) to define these agro-ecosystems; identify the regions if possible	Total of each different agro-ecosystem	3	3		
1,5,6,7	22. Number of people who will potentially benefit from plans, once finalized, for the scaling up of strategies	Gender disaggregated	Figure is sum of population of all project regions (figures not available for Malawi, Philippines and Ghana, so is a potential underestimate)	N/A	96m		
All, except 2	23. Number of technologies/ NRM practices field tested (phase II)	Under "field testing" means that research has moved from focused development to broader testing and this testing is underway under conditions intended to duplicate those encountered by potential users of the new technology. This might be in the actual facilities (fields) of potential users, or it might be in a facility set up to duplicate those conditions	See CRP Indicator #18		20		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
1,5,6,7	24. Number of agro-ecosystems for which innovations (technologies, policies, practices, integrative approaches) and options for improvement at system level have been developed and are being field tested (Phase II)	Use the Millennium Ecosystem Assessment (MEA) typology of cultivated systems and of forests and woodland systems (MEA, 2005, Ecosystems and Human Well-Being: Current State and Trends, Volume 1) to define these agro-ecosystems and specify the regions where field testing is underway	Total of each different agro-ecosystem	3	3		
1,5,6,7	25. % of above innovations/ approaches/ options that are targeted at inequality 32 between men and women				1.67		
1,5,6,7	26. Number of published research outputs from CRP utilized in targeted agro-ecosystems				54		
All, except 2	27. Number of technologies/ NRM practices released by public and private sector partners globally (phase III)	In the case of crop research that developed a new variety, e.g., the variety must have passed through any required approval process, and seed of the new variety should be available for multiplication. The technology should have proven benefits and be as ready for use as it can be as it emerges from the research and testing process. Technologies made available for transfer should be only those made available in the current reporting year. Any technology made available in a previous year should not be included			0		
POLICIES IN VARIOUS STAGES OF DEVELOPMENT							
All	28. Numbers of policies/ regulations/ administrative procedures analyzed (Stage 1)	Number of agricultural enabling environment policies/regulations/ administrative procedures in the areas of agricultural resource, food, market standards & regulation, public investment, natural resource or water management and climate change adaptation/mitigation as it relates to agriculture that underwent the first stage of the policy reform process i.e. analysis (review of existing policy/ regulation/administrative procedure and/or proposal of new policy/ regulations/administrative procedures). Please count the highest stage completed during the reporting year – don't double count for the same policy			2		

CRPs concerned by this indicator	Indicator	Glossary/guidelines for measuring the indicator	Deviation narrative	2012		2013	2014
				Target (if available for 2012)	Actual	Target	Target
All	29. Number of policies/ regulations/ administrative procedures drafted and presented for public/ stakeholder consultation (Stage 2)that underwent the second stage of the policy reform process. The second stage includes public debate and/or consultation with stakeholders on the proposed new or revised policy/ regulation/administrative procedure			2		
All	30. Number of policies/ regulations/ administrative procedures presented for legislation (Stage 3)	: ... underwent the third stage of the policy reform process (policies were presented for legislation/decree to improve the policy environment for smallholder-based agriculture)			0		
All	31. Number of policies/ regulations/ administrative procedures prepared passed/approved (Stage 4)	: ...underwent the fourth stage of the policy reform process (official approval (legislation/decree) of new or revised policy/regulation/administrative procedure by relevant authority)			0		
All	32. Number of policies/ regulations/ administrative procedures passed for which implementation has begun (Stage 5)	: ...completed the policy reform process (implementation of new or revised policy/regulation/administrative procedure by relevant authority)			0		
OUTCOMES ON THE GROUND							
All	33. Number of hectares under improved technologies or management practices as a result of CRP research	Indicate the regions where this is occurring and whether the application of technologies is on a new or continuing area	Large scale adoption is occurring among aquaculture producers in Bangladesh, is mostly technology change in existing area	27,900	105,344		
All	34. Number of farmers and others who have applied new technologies or management practices as a result of CRP research	Indicate the regions where this is occurring and disaggregate farmers by socio-economic and gender status	Training numbers are primarily related to adoption in #33. Also smaller scale training in 6 additional countries. Mostly focused on aquaculture but some also including fisheries and coastal management	45,587	47,035		

Annex 2: AAS Publications 2012

Links to documents are available on the program's web site <http://aas.cgiar.org/publications>.

Theme	Publications in 2012
1. Sustainable increases in system productivity	<p>Albert, J.A.; Trinidad, A.; Boso, D.; Schwarz, A.J. (2012). Coral reef economic value and incentives for coral farming in Solomon Islands. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Policy Brief: AAS-2012-14. http://www.worldfishcenter.org/resource_centre/WF_3163.pdf.</p> <p>Albert, J.A.; Warren-Rhodes, K.; Schwarz, A.J.; Duke, N.D. (2012). Mangrove ecosystem services and payments for blue carbon in Solomon Islands. CGIAR Research Program on Aquatic Agricultural Systems. Solomon Islands. Policy Brief: AAS-2012-06. http://www.worldfishcenter.org/resource_centre/WF_3052.pdf.</p> <p>Belton, B.; Azad, A. (2012). The characteristics and status of pond aquaculture in Bangladesh. <i>Aquaculture</i> 358-359: 196-204. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3167.pdf.</p> <p>CGIAR Research Program on Aquatic Agricultural Systems. (2012). Teaching the Adivasi to fish for a lifetime of benefit in Bangladesh. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Outcome Story: AAS-2012-24. http://www.worldfishcenter.org/resource_centre/WF_3333.pdf.</p> <p>CGIAR Research Program on Aquatic Agricultural Systems. (2012). Teaching the Adivasi to fish for a lifetime of benefit in Bangladesh [in Bangali]. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Outcome Story: AAS-2012-33. http://www.worldfishcenter.org/resource_centre/WF_3393_bangali.pdf.</p> <p>Descheemaeker, K.; Molden, D.; Bunting, S.; Bindraban, P.; Muthuri, C.; Sinclair, F.; Beveridge, M.; van Brakel, M.; Herrero, M.; Fleiner, R.; Clement, F.; Boelee, E. (2012). Increasing water productivity in agriculture. In: Boelee, E. (ed.). <i>Managing Agroecosystems for Sustainable Water and Food Security</i>. CABI. Cambridge p. 140-164. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3157.pdf.</p> <p>Finlayson, M.; Bunting, S.W.; Beveridge, M.; Tharme, R.; van Brakel, M.; Atapattu, S.; Coates, D.; Nguyen-Khoa, S. (2012). Wetland agroecosystems. In: Boelee, E. (ed.). <i>Managing Agroecosystems for Sustainable Water and Food Security</i>. CABI. Cambridge p. 94-118. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3156.pdf.</p> <p>Hair, C.A.; Pickering, T.D.; Mills, D.J. (eds.) (2012). Asia–Pacific tropical sea cucumber aquaculture. Proceedings of an international symposium held in Noumea, New Caledonia, 15–17 February 2011. <i>ACIAR Proceedings No. 136</i>. Australian Centre for International Agricultural Research, Canberra. 209 p. http://aciar.gov.au/files/node/14423/pr136_asia_pacific_tropical_sea_cucumber_aquacu_10936.pdf.</p> <p>Joffre, O.; Kosal, M.; Kura, Y.; Pich, S.; Nao, T. (2012). Community fish refuges in Cambodia: Lesson learned. WorldFish, Phnom Penh, Cambodia. Lessons Learned Brief 2012-03. http://www.worldfishcenter.org/resource_centre/WF_3147.pdf.</p> <p>McCartney, M.P.; Cai, X.; Smakhtin, V. A new method for evaluating flow regulating functions of natural ecosystems in the Zambezi basin. <i>[Submitted.]</i></p> <p>Modalities for re-orientating research in development: using community science to sustain the adoption of Small-scale Aquaculture as an alternative livelihood and contributor to better management of wetland resources in North East Cambodia. <i>[Submitted.]</i></p> <p>Nagabhatla, N.; Beveridge, M.; Mahfuzul Haque, A.B.M.; Nguyen-Khoa, S.; van Brakel, M. (2012). Multiple water use as an approach for increased basin productivity and improved adaptation: a case study from Bangladesh. <i>International Journal of River Basin Management</i> 10(1): 121-136. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3047.pdf.</p> <p>Purcell, S.W.; Hair, C.A.; Mills, D.J. (2012). Sea cucumber culture, farming and sea ranching in the tropics: Progress, problems and opportunities. <i>Aquaculture</i> 368–369: 68-81. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3346.pdf.</p> <p>Salayo, N.D.; Perez, M.L.; Garces, L.R.; Pido, M.D. (2012). Mariculture development and livelihood diversification in the Philippines. <i>Marine Policy</i> 36(4): 867-881. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3040.pdf.</p>
2. Equitable access to markets	<p>Analyzing livelihoods from a value chain perspective: conceptual tools and possible applications to aquaculture in Aquatic Agricultural Systems. <i>[Submitted.]</i></p> <p>Assessing economic and social impacts of the Akosombo Tilapia Strain in Central and Western Regions: An application of the Minimum-data Trade Off Analysis (TOA-MD) model in Ghana. <i>[Submitted.]</i></p>

Theme	Publications in 2012
3. Socio-ecological resilience and adaptive capacity	<p data-bbox="432 141 1203 170">Adapting to climate change in Roviana lagoon, Solomon Islands. <i>[Submitted.]</i></p> <p data-bbox="432 199 1449 282">Brummett, R.E.; Beveridge, M.C.M.; Cowx, I.G. (2012). Functional aquatic ecosystems, inland fisheries and the Millennium Development Goals. <i>Fish and Fisheries [online first]</i>. http://onlinelibrary.wiley.com/doi/10.1111/j.1467-2979.2012.00470.x/pdf</p> <p data-bbox="432 311 1477 421">CGIAR Research Program on Aquatic Agricultural Systems. (2012). CGIAR research program collaboration on NRM impact assessment: workshop report. 12-14 February. CGIAR Research Program on Aquatic Systems. Penang, Malaysia. Workshop Report: AAS-2012-04. http://www.worldfishcenter.org/resource_centre/WF_3038.pdf.</p> <p data-bbox="432 450 1382 506">Chunga, B.; Cai, X.L.; Malunga, J.; Hoanh, C.T. Integrated Water Use for Small Scale Irrigation and Aquaculture in the Chinyanja Triangle: A Modelling Approach. <i>[Submitted.]</i></p> <p data-bbox="432 535 1442 591">Flow Duration Curve for Evaluating Ecosystem Flow Regulating Functions in the Zambezi River Basin. <i>[Submitted.]</i></p> <p data-bbox="432 620 1445 703">Foale, S.; Adhuri, D.; Aliño, P.; Allison, E.H.; Andrew, N.; Cohen, P.; Evans, L.; Fabinyi, M.; Fidelman, P.; Gregory, C.; Stacey, N.; Tanzer, J.; Weeratunge, N. (2013). Food security and the coral Triangle Initiative. <i>Marine Policy 38: 174-183</i>. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3160.pdf.</p> <p data-bbox="432 732 1469 842">Garces, L.R.; Pido, M.D.; Tupper, M.H.; Silvestre, G.T. (2012). Evaluating the management effectiveness of three marine protected areas in the Calamianes Islands, Palawan Province, Philippines: Process, selected results and their implications for planning and management. <i>Ocean & Coastal Management [online first]</i>. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3178.pdf.</p> <p data-bbox="432 871 1086 900">Mangrove forests as carbon sinks in Solomon Islands. <i>[Submitted.]</i></p> <p data-bbox="432 929 1477 1012">Perez, M.L.; Pido, M.D.; Garces, L.R.; Salayo, N.D. (2012). Towards sustainable development of small-scale fisheries in the Philippines: Experience and lessons learned from eight regional sites. WorldFish, Penang, Malaysia. Lessons Learned Brief 2012-10. http://www.worldfishcenter.org/resource_centre/WF_3225.pdf.</p> <p data-bbox="432 1041 1453 1124">Ratner, B.D.; Allison, E.H. (2012). Wealth, rights, and resilience: An agenda for governance reform in small-scale fisheries. <i>Development Policy Review 30(4): 371-398</i>. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3141.pdf.</p> <p data-bbox="432 1153 1485 1236">Ratner, B.D. Building resilience in rural livelihood systems as an investment in conflict prevention. In H. Young and L. Goldman (editors), <i>Livelihoods, Natural Resources, and Post-conflict Peacebuilding</i>. London: <i>Earthscan</i>. <i>[Forthcoming.]</i></p> <p data-bbox="432 1265 1461 1348">Ratner, B.D. (2011). Common-pool resources, livelihoods, and resilience: critical challenges for governance in Cambodia. <i>IFPRI Discussion Paper 01149</i>. IFPRI. Washington, D.C. 14 p. http://www.ifpri.org/sites/default/files/publications/ifridp01149.pdf.</p> <p data-bbox="432 1377 1449 1433">Understanding fisher behaviour and spatial planning in small-scale tropical marine systems: A review. <i>[Submitted.]</i></p>
4. Gender equality	<p data-bbox="432 1447 1485 1556">CGIAR Research Program on Aquatic Agricultural Systems. (2012). Building coalitions, creating change: An agenda for gender transformative research in development workshop report. 3-5 October 2012. Penang, Malaysia. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Workshop Report: AAS-2012-31. http://www.worldfishcenter.org/resource_centre/WF_3447.pdf.</p> <p data-bbox="432 1585 1474 1695">CGIAR Research Program on Aquatic Agricultural Systems. (2012). Building coalitions, creating change: An agenda for gender transformative research in agricultural development. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Working Paper: AAS-2012-20. http://www.worldfishcenter.org/resource_centre/AAS-2012-20.pdf.</p> <p data-bbox="432 1724 1442 1834">CGIAR Research Program on Aquatic Agricultural Systems. (2012). Gender strategy brief: A gender transformative approach to research in development in aquatic agricultural systems. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Brief: AAS-2012-03a. http://www.worldfishcenter.org/resource_centre/WF_3048.pdf.</p> <p data-bbox="432 1863 1485 1973">Weeratunge, N.; Chiuta, T.M.; Choudhury, A.; Ferrer, A.; Hüsken, S.M.C.; Kura, Y.; Kusakabe, K.; Madzudzo, E.; Maetala, R.; Naved, R.; Schwarz, A.; Kantor, P. (2012). Transforming aquatic agricultural systems towards gender equality: a five country review. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Working Paper: AAS-2012-21. http://www.worldfishcenter.org/resource_centre/WF_3348.pdf.</p>

Theme	Publications in 2012
5. Policies and institutions to empower aquatic agricultural systems users	<p>Allison, E.H.; Ratner, B.D.; Åsgård, B.; Willmann, R.; Pomeroy, R.; Kurien, J. (2012). Rights-based fisheries governance: from fishing rights to human rights. <i>Fish and Fisheries</i> 13(1): 14-29. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_2754.pdf.</p> <p>Åsgård, B.; Allison, E.H.; Ratner, B.D. Fishing for justice: Human rights, development, and fisheries sector reform. <i>World Development</i>. [Submitted.]</p> <p>CGIAR Research Program on Aquatic Agricultural Systems. (2012). Resilient livelihoods and food security in coastal aquatic agricultural systems: Investing in transformational change. CGIAR Research Program on Aquatic Agricultural Systems, Penang, Malaysia. Project Report: AAS-2012-28. http://www.worldfishcenter.org/resource_centre/WF_3392.pdf.</p> <p>Ratner, B.D.; Barman, B.; Cohen, P.; Mam, K.; Nagoli, J.; Allison, E.H. (2012). Strengthening governance across scales in aquatic agricultural systems. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Working Paper: AAS-2012-10. http://www.worldfishcenter.org/resource_centre/WF_3121.pdf.</p> <p>Ratner, B.D. (2012). Collaborative governance assessment. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Guidance Note: AAS-2012-27. http://www.worldfishcenter.org/resource_centre/WF_3465.pdf.</p> <p>Ratner, B.D.; Oh, E.J.V.; Pomeroy, R.S. (2012). Navigating change: Second-generation challenges of small-scale fisheries co-management in the Philippines and Vietnam. <i>Journal of Environmental Management</i> 107: 131–139. http://vlib.wf.cslive.org/dbtw-wpd/Pdf/Staff/WF_3090.pdf.</p> <p>Ratner, B.D.; Halpern, G.; Mam, K. Catalyzing collective action to address natural resource conflict: Lessons from Cambodia's Tonle Sap Lake. <i>Human Organization</i>. [Submitted.]</p> <p>Ratner, B.D.; R. Meinzen-Dick; E. Haglund; May, C. Resource conflict, collective action, and resilience: An analytical framework. <i>International Journal of the Commons</i>. [Submitted.]</p>
6. Knowledge sharing and learning	<p>A practical guide for ex-ante impact evaluation in fisheries and aquaculture. [Submitted.]</p> <p>Assessing economic and social impacts of integrated aquaculture-agriculture technologies: An application of the Minimum-data Trade Off Analysis (TOA-MD) model in Bangladesh. [Submitted.]</p> <p>Assessing economic and social impacts of integrated aquaculture-agriculture technologies: An application of the Minimum-data Trade Off Analysis (TOA-MD) model in Malawi. [Submitted.]</p> <p>CGIAR Research Program on Aquatic Agricultural Systems Hub Roll-out and M&E Guide. [Submitted.]</p> <p>CGIAR Research Program on Aquatic Agricultural Systems. (2012). Strengthening Impact Evaluation in Natural Resource Management Workshop Report, 4-5 September 2012, Penang, Malaysia. CGIAR Research Program on Aquatic Agricultural Systems. Penang, Malaysia. Workshop Report: AAS-2012-22. http://www.worldfishcenter.org/resource_centre/WF_3391.pdf.</p> <p>Impact Evaluation of CGIAR NRM Research Programmes: A broader view. [Submitted.]</p>

Annex 3: CRP Financial Reporting Templates

L101 CRP Annual Funding Summary

Report Description L101
Name of Report CRP Cumulative Financial Summary
Reporting Line Lead Center Report to Consortium Office
Frequency/Period Every 6 months
Period 1 January 2011 - 31 December 2012
CRP Nr

	(a) Cumulative budget per annual financial plans.					(b) Actual Expenses - Cumulative					(c) Variance - Cumulative				
	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding
WorldFish	14,181	-	12,998		27,179	10,094	954	15,343	1,206	27,597	4,087	(954)	(2,346)	(1,206)	(419)
Totals for CRP	14,181	-	12,998	-	27,179	10,094	954	15,343	1,206	27,597	4,087	(954)	(2,346)	(1,206)	(419)
	52%	0%	48%	0%	100%	37%	4%	56%	4%	102%	-976%	228%	560%	288%	100%

Notes

Section (a) is cumulative - includes financial plan of current year as well as those of prior years.

Section (b) is cumulative - refers to all costs since inception, not just current year.

Section (c) amounts are differences between Section (a) and (b).

L106 CRP Annual Funding Summary

Report Description

L106

Name of Report CRP Annual Funding Summary
 Reporting Line Lead Center Report to Consortium Office
 Frequency/Period Every 6 months
 Period January 2012 - 31 December 2012
 CRP Nr

PART1 - Annual FINANCE Plan (Totals for Windows 1 and 2 combined)					
Approved Level for Year - Initial Approval					9,740
Approved Level for Year - Final Amount					9,740
PART2 - Funding Summary for Year					
	CRP 2012 Actual Funding				
	Window 1	Window 2	Window 3	Bilateral	Total Funding
CGIAR	755				755
Australia		702			
IDRC		780			
Sweden		4,213			
Swiss		1,092			
USAID			954	5,224	6,178
ACIAR				1,479	1,479
ACIAR (CGIAR)				3	3
ANZDEC				15	15
AUSAID				35	35
BAR				204	204
BMZ				52	52
CARE				-	-
CEPF				79	79
CIDA				34	34
DANIDA				121	121
EC				373	373
EEPSEA				47	47
FAO				21	21
GTZ				470	470
ICEM				1	1
IDRC				74	74
IDRC;SIDA				68	68
IFAD				277	277
IRISHAID				26	26
IRRI				1,427	1,427
JAPAN				36	36
LGED				67	67
MAFF				83	83
MBE				5	5
MECDM				36	36
MFMR				208	208
Nofima				35	35
NOR				249	249
OFID				25	25
PRIMEX				44	44
RFB				38	38
SAVE				187	187

	CRP 2012 Actual Funding				
	Window 1	Window 2	Window 3	Bilateral	Total Funding
SIDA				265	265
SPIA				117	117
UNDP-GEF				58	58
UNE				20	20
UniQuest				39	39
UQ				3	3
WB				11	11
WWF-US				36	36
Totals for CRP	755	6,788	954	11,590	13.299

Notes

Amount shown for Window 1 donors is total, as these funds are co-mingled.

Amount shown for Window 2 donors are as per Report L411.

Amount shown for Window 3 donors are as per Report L201.

Amounts shown for Bilateral funding are as per Report L201.

Report L111 - CRP Annual Finance Plan Summary (by Center, Windows 1 and 2)

Report Description L111
 Name of Report CRP Annual Financial Summary
 Reporting Line Lead Center Report to Consortium Office
 Frequency/Period Every 6 months
 Period 1 January 2012 - 31 December 2012

	(a) CRP2012 Fin plan approved budget					(b) CRP 2012 Expenditure					(c) Variance this Year				
	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding	Windows 1 & 2	Window 3	Bilateral funding	Center funds	Total Funding
WorldFish	9,740	686	12,696		23,122	7,543	954	11,590	1,206	21,293	2,197	(268)	1,106	(1,206)	1,829
Totals for CRP	9,740	686	12,696	-	23,122	7,543	954	11,590	1,206	21,293	2,197	(268)	1,106	(1,206)	1,829
	532%	37%	694%	0%	1264%	412%	52%	634%	66%	1164%	120%	-15%	60%	-66%	100%

Notes

All figures are for current year.
 Section (a) amounts are as per the latest financing plan.
 Section (b) amounts are as for actual expenses in current year.
 Section (c) amounts are the differences between Sections (a) and (b).

Report L121 - CRP Expenditure by natural classification - by CG Center

Report Description L121
 Name of Report CRP Financial Report - Expenditure by natural classification (by Center)
 Reporting Line Lead Center Report to Consortium Office
 Frequency/Period Every 6 months

	Annual Budget					Actual Expenses - This Year					Unspent Budget				
	Windows 1 and 2 Funds	Windows	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total
Total CRP															
Personnel	5819	219	4768	-	10805	4519	249	4558	887	10214	(1299)	31	(210)	887	(592)
Collaborator Costs - CGIAR Centers	-	-	216	-	216	-	-	140	-	140	-	-	(76)	-	(76)
Collaborator - Partners	484	161	1,570	-	2,215	370	170	1,433	-	1,972	(114)	9	(138)	-	(243)
Supplies and Services	1,266	128	3,138	-	4,532	980	281	2,719	-	3,981	(285)	153	149	-	(551)
Operational Travel	681	63	1,036	-	1,780	518	74	925	-	1,517	(163)	11	(111)	-	(263)
Depreciation	78	3	143	-	225	60	4	128	-	191	(18)	0	(15)	-	(34)
Sub-total of Direct Costs	8,328	574	10,872	-	19,774	6,448	778	9,903	887	18,016	(1,880)	204	(969)	887	(1,758)
Indirect Costs	1,412	112	1,824	-	3,348	1,095	176	1,688	319	3,277	(317)	64	(136)	319	(71)
Total - all Costs	9,740	686	12,696	-	23,122	7,543	954	11,591	1,206	21,293	(2,197)	268	(1,105)	1,206	(1,829)
Amounts for each participating center below:															
WorldFish															
Personnel	5571	219	4482		10271	4257	249	4301	887	9695	(1,313)	31	(182)	887	(577)
	-		216		216	-	-	140	-	140	-	-	(76)	-	(76)
Collaborator - Partners	484	161	1,570		2,215	370	170	1,410	-	1,950	(114)	9	(160)	-	(265)
Supplies and Services	1,183	128	3,101		4,412	904	281	2,679	-	3,864	(279)	153	(422)	-	(548)
Operational Travel	656	63	1,029		1,748	502	74	900	-	1,476	(155)	11	(129)	-	(273)
Depreciation	78	3	143		225	60	4	128	-	191	(18)	0	(15)	-	(34)
Sub-total of Direct Costs	7,972	574	10,542	-	19,088	6,093	778	9,558	887	17,316	(1,879)	204	(984)	887	(1,772)
Indirect Costs	1,348	112	1,780		3,240	1,080	176	1,642	319	3,167	(318)	64	(138)	319	(73)
Total - all Costs	9,320	686	12,322	-	22,328	7,123	954	11,200	1,206	20,483	(2,197)	268	(1,122)	1,206	(1,845)
IWMI															
Personnel	145		211		356	162	-	182		344	17	-	(29)	-	(12)
Collaborator Costs - CGIAR Centers	-		-		-	-	-	-		-	-	-	-	-	-
Collaborator - Partners	-		-		-	-	-	22		22	-	-	22	-	22
Supplies and Services	36		37		73	29	-	41		69	(7)	-	3	-	(4)
Operational Travel	16		6		22	5	-	25		30	(11)	-	18	-	8
Depreciation	-		-		-	-	-	-		-	-	-	-	-	-
Sub-total of Direct Costs	197	-	255	-	451	196	-	270	-	465	(1)	-	15	-	14
Indirect Costs	33		44		78	34	-	46		80	1	-	2	-	2
Total - all Costs	230	-	299	-	529	230	-	315	-	545	0	-	17	-	16

	Annual Budget					Actual Expenses - This Year					Unspent Budget				
	Windows 1 and 2 Funds	Windows	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total
Bioversity															
Personnel	103		75		178	100	-	75		175	(3)	-	-	-	(3)
Collaborator Costs - CGIAR Centers	-				-	-	-	-		-	-	-	-	-	-
Collaborator - Partners	-				-	-	-	-		-	-	-	-	-	-
Supplies and Services	47				47	48	-	-		48	1	-	-	-	1
Operational Travel	10				10	12	-	-		12	2	-	-	-	2
Depreciation	-				-	-	-	-		-	-	-	-	-	-
Sub-total of Direct Costs	160	-	75	-	235	160	-	75	-	235	(0)	-	-	-	(0)
Indirect Costs	30				30	30		-		30	0	-	-	-	0
Total - all Costs	190	-	75	-	265	190	-	75	-	265	0	-	-	-	0
Center 3, 4, etc to be added															

Report L131 – CRP Expenditure by Theme

Report Description L131
Name of Report CRP Themes Report (by Center, and Funding Source)
Reporting Line Lead Center Report to Consortium Office
Frequency/Period Every 6 months
Period 1 January 2012 - 31 December 2012

	Annual Budget					Actual Expenses this Year					Unspent Budget				
	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total
CRP Report - by Themes															
Theme 1: Sustainable increase in system productivity	47	343	4,907	-	5,297	87	477	3,911	331	4,805	(40)	(134)	996	(331)	492
Theme 2: Equitable access to markets	-	343	2,599	-	2,942	-	477	2,445	155	3,077	-	(134)	154	(155)	(136)
Theme 3: Social-ecological resilience and adaptive capacity	24	-	1,844	-	1,867	24	-	1,790	211	2,026	(0)	-	53	(211)	(158)
Theme 4: Gender and equity	588	-	428	-	1,016	506	-	438	134	1,079	81	-	(10)	(134)	(64)
Theme 5: Policies and institutions to empower AAS users	-	-	2,899	-	2,899	-	-	2,990	374	3,364	-	-	(91)	(374)	(465)
Theme 6: Knowledge sharing, learning and innovation	242	-	20	-	262	210	-	16	-	226	32	-	4	-	36
Theme 7: Science leadership and support	6,855	-	-	-	6,855	4,566	-	-	-	4,566	2,289	-	-	-	2,289
Theme 8: Governance and management	1,248	-	-	-	1,248	1,091	-	-	-	1,091	157	-	-	-	157
Theme 9: Partnerships	622	-	-	-	622	959	-	-	-	959	(337)	-	-	-	(337)
Theme 10: Communications	115	-	-	-	115	100	-	-	-	100	15	-	-	-	15
Totals for CRP	9,740	686	12,696	-	23,122	7,543	954	11,590	1,206	21,293	2,197	(268)	1,106	(1,206)	1,829
Amounts for each participating center below:															
Worldfish															
Theme 1: Sustainable increase in system productivity	-	343	4,797	-	5,140	-	477	3,836	331	4,643	-	(134)	961	(331)	496
Theme 2: Equitable access to markets	-	343	2,599	-	2,942	-	477	2,445	155	3,077	-	(134)	154	(155)	(136)
Theme 3: Social-ecological resilience and adaptive capacity	-	-	1,600	-	1,600	-	-	1,491	211	1,703	-	-	108	(211)	(103)
Theme 4: Gender and equity	588	-	428	-	1,016	506	-	438	134	1,079	81	-	(10)	(134)	(64)
Theme 5: Policies and institutions to empower AAS users	-	-	2,899	-	2,899	-	-	2,990	374	3,364	-	-	(91)	(374)	(465)
Theme 6: Knowledge sharing, learning and innovation	242	-	-	-	242	210	-	-	-	210	32	-	-	-	32
Theme 7: Science leadership and support	6,855	-	-	-	6,855	4,566	-	-	-	4,566	2,289	-	-	-	2,289
Theme 8: Governance and management	899	-	-	-	899	782	-	-	-	782	117	-	-	-	117

	Annual Budget					Actual Expenses this Year					Unspent Budget				
	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total
Theme 9: Partnerships	622	-	-	-	622	959	-	-	-	959	(337)	-	-	-	(337)
Theme 10: Communications	115	-	-	-	115	100	-	-	-	100	15	-	-	-	15
Totals for CRP	9,320	686	12,322	-	22,328	7,123	954	11,200	1,206	20,483	2,197	(268)	1,122	(1,206)	1,845
IWMI															
Theme 1: Sustainable increase in system productivity	13	-	35	-	48	13	-	-	-	13	0	-	35	-	35
Theme 2: Equitable access to markets	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 3: Social-ecological resilience and adaptive capacity	24	-	244	-	268	24	-	299	-	323	(0)	-	(55)	-	(55)
Theme 4: Gender and equity	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 5: Policies and institutions to empower AAS users	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 6: Knowledge sharing, learning and innovation	-	-	20	-	20	-	-	16	-	16	-	-	4	-	4
Theme 7: Science leadership and support	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 8: Governance and management	193	-	-	-	193	193	-	-	-	193	0	-	-	-	0
Theme 9: Partnerships	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 10: Communications	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Totals for CRP	230	-	299	-	529	230	-	315	-	545	-	-	(16)	-	(16)
Biodiversity															
Theme 1: Sustainable increase in system productivity	34	-	75	-	109	74	-	75	-	149	(40)	-	-	-	(40)
Theme 2: Equitable access to markets	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 3: Social-ecological resilience and adaptive capacity	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 4: Gender and equity	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 5: Policies and institutions to empower AAS users	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 6: Knowledge sharing, learning and innovation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 7: Science leadership and support	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

	Annual Budget					Actual Expenses this Year					Unspent Budget				
	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total	Windows 1 and 2 Funds	Window 3	Bilateral funding	Center Funds	Total
Theme 8: Governance and management	156	-	-	-	156	116	-	-	-	116	40	-	-	-	40
Theme 9: Partnerships	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Theme 10: Communications	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Totals for CRP	190	-	75	-	265	190	-	75	-	265	0	-	-	-	0

Report L201 - CRP Bilateral Grants Summary - by CG Center

Report Description **L201**
 Name of Report CRP Financial Report - Bilateral Grants (by Center)
 Reporting Line Lead Center Report to Consortium Office
 Frequency/Period Every 6 months
 CRP Nr 1.3 AAS
 Period 1 January 2012 - 31 December 2012

	Annual Budget	Actual Expenses this Year	Variance
TOTALS FOR CRP			
Window 3			
USAID	686	954	268
Sub-total	686	954	268
Bilateral			
ACIAR	1,505	1,479	(26)
ACIAR (CGIAR)	3	3	-
ANZDEC	15	15	(0)
AUSAID	35	35	-
BAR	287	204	(83)
BMZ	-	52	52
CARE	-	-	-
CEPF	97	79	(17)
CIDA	34	34	-
DANIDA	150	121	(29)
EC	455	373	(82)
EEPSEA	47	47	-
FAO	21	21	(0)
GTZ	359	470	112
ICEM	1	1	-
IDRC	94	74	(20)
IDRC;SIDA	67	68	1
IFAD	320	277	(44)
IRISHAID	27	26	(1)
IRRI	1,316	1,427	111
JAPAN	47	36	(10)
LGED	83	67	(15)
MAFF	-	83	83
MBE	5	5	-
MECDM	43	36	(7)
MFMR	223	208	(15)
Nofima	35	35	0
NOR	271	249	(21)
OFID	59	25	(34)
PRIMEX	69	44	(25)
RFB	38	38	-
SAVE	231	187	(44)
SIDA	265	265	-
SPIA	110	117	7
UNDP-GEF	58	58	(0)
UNE	-	20	20
UniQuest	39	39	-
UQ	3	3	-

Totals for CRP	Annual Budget	Actual Expenses this Year	Variance
USAID	5,865	5,224	(641)
WB	11	11	(0)
WWF-US	37	36	(1)
Sub-total	12,322	11,590	(732)
Totals for CRP	13,008	12,544	(464)
TOTALS FOR CRP WorldFish			
Window 3			
USAID	686	954	268
Sub-total	686	954	268
Bilateral			
ACIAR	1,505	1,404	(101)
ACIAR (CGIAR)	3	3	-
ANZDEC	15	15	0
AUSAID	35	35	-
BAR	287	204	(83)
CEPF	97	79	(17)
CIDA	34	34	-
DANIDA	150	121	(29)
EC	455	373	(82)
EEPSEA	47	47	-
FAO	21	21	0
GTZ	359	308	(50)
ICEM	1	1	-
IDRC	94	74	(20)
IDRC;SIDA	67	68	1
IFAD	320	277	(44)
IRISHAID	27	26	(1)
IRRI	1,316	1,427	111
JAPAN	47	36	(10)
LGED	83	67	(15)
MBE	5	5	-
MECDM	43	36	(7)
MFMR	223	208	(15)
Nofima	35	35	0
NOR	271	249	(21)
OFID	59	25	(34)
PRIMEX	69	44	(25)
RFB	38	38	-
SAVE	231	187	(44)
SIDA	265	265	-
SPIA	110	117	7
UNDP-GEF	58	58	0
UniQuest	39	39	-
UQ	3	3	-
USAID	5,865	5,224	(641)
WB	11	11	0
WWF-US	37	36	(1)
Sub-total	12,322	11,200	(1,122)
Totals for CRP	13,008	12,154	(854)

Totals for CRP	Annual Budget	Actual Expenses this Year	Variance
IWMI			
Window 3			
Sub-total	-	-	-
Bilateral			
GIZ	200	162	(38)
UNE	49	20	(29)
BMZ	51	52	1
MAFF		83	83
Sub-total	299	315	17
Totals for CRP	299	315	17
Bioversity			
Window 3			
Sub-total	-	-	-
Bilateral			
ACIAR	75	75	-
Sub-total	75	75	-
Totals for CRP	75	75	-
Center 3, 4, etc to be added			

Report L211 - CRP Partnerships Report - by CG Center

Report Description L211
Name of Report CRP Partnerships Report
Reporting Line Lead Center Report to Consortium Office
Frequency/Period Every 6 months

Institute	Country	Annual Budget					Actual Expenses – This Year					Unspent Budget				
		Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total
Adelphi Research Gemeinnutzige (GMBH)	Germany					-	-	-	40		40					
Agro Based Technology	Bangladesh					-	-	-	8		8					
AIDA (Aida, Ayunda, Intercambio y Desarrollo)	Spain					-	15	-	-		15					
Akphivat Neary Khmer Organization (ANKO)	Cambodia					-	-	-	25		25					
Analyzing Development Issues Centre (ADIC)	Cambodia					-	-	-	5		5					
Asiatic	Bangladesh					-	-	-	4		4					
Banchte Shekha	Bangladesh					-	-	-	1		1					
BarotseRoyal Establishment (BRE)	Africa					-	22	-	-		22					
BCCP	Bangladesh					-	-	-	1		1					
BDRWCP	Bangladesh					-	-	-	1		1					
BDS	Bangladesh					-	-	-	6		6					
BFRF	Bangladesh					-	-	-	42		42					
BFRI	Bangladesh					-	-	-	32		32					
Bioversity (CG Center)	Rome, Italy					-	-	-	-		-					
BMS	Bangladesh					-	-	-	4		4					
BRAC	Bangladesh					-	-	-	48		48					
BS	Bangladesh					-	-	-	2		2					
BSFF	Bangladesh					-	-	64	-		64					
Cambodia Development Resources Institute (CDRI)	Cambodia					-	-	-	5		5					
Cambodia Organization for Women Support (COWS)	Cambodia					-	-	-	24		24					
Cambodian Agricultural Research and Development Institute (CARDI)	Cambodia					-	-	-	45		45					
Can Tho University (CTU)	Vietnam					-	-	-	13		13					
Catholic Relief Services (CRS)	Africa					-	32	-	-		32					
Center for Coastal Marine Resources Studies, Bogor Agricultural University	Indonesia					-	-	-	10		10					
Chisty Engineering	Bangladesh					-	-	-	34		34					
Chowdhury Matsha Hatch	Bangladesh					-	-	-	0		0					

Institute	Country	Annual Budget					Actual Expenses – This Year					Unspent Budget				
		Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total
CIBA	Bangladesh					-	-	-	27		27					
CODEC	Bangladesh					-	-	83	279		362					
Constellation	Belgium					-	118	-	-		118					
CRS (Catholic Relief Services)	US					-	15	-	-		15					
CSIR Water Research Institute	Ghana					-	-	-	6		6					
Department of Fisheries, Ministry of Agriculture and Livestock (DOF)	Zambia					-	-	-	24		24					
ESDO	Bangladesh					-	-	-	6		6					
Fatema Fish Hatch	Bangladesh					-	-	-	3		3					
FishBase Information and Research Group Inc. (FIN)	Philippines					-	-	-	6		6					
Fisheries Action Coalition Team (FACT)	Cambodia					-	-	-	3		3					
Fisheries Administration (FiA)	Cambodia					-	-	-	5		5					
GCARD	Uruguay					-	3	-	-		3					
Goldcoast Hatchery	Bangladesh					-	-	-	16		16					
Help the Old Ages of the Most Vulnerable Organisation (HOM)	Cambodia					-	-	-	3		3					
Inland Fisheries Research and Development Institute (IFReDI)	Cambodia					-	-	-	52		52					
Innovation	Bangladesh					-	-	-	-		-					
Innpact Sarl	Grand Duchy of Luxembourg					-	-	-	6		6					
International Centre for Research in Agroforestry (ICRAF)	Nairobi, Kenya					-	-	-	140		140					
IWMI (CG Center)	Colombo, Sri Lanka					-	-	-	-		-					
Jagorani	Bangladesh					-	-	-	8		8					
Jessore Fish Hatch	Bangladesh					-	-	-	3		3					
Kopotakho Fish Hatch	Bangladesh					-	-	-	1		1					
Leibniz University Hannover	Germany					-	-	-	1		1					
Makeree						-	-	-	67		67					
Matri Fish Hatch	Bangladesh					-	-	-	1		1					
NDFFA	Bangladesh					-	-	-	1		1					
NFRDI	Philippines					-	-	-	15		15					
Nha Trang University (NTU)	Vietnam					-	-	-	5		5					
Niribilil palli Hatch	Bangladesh					-	-	-	1		1					
Oxfam America	US					-	9	-	-		9					

Institute	Country	Annual Budget					Actual Expenses – This Year					Unspent Budget				
		Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total
WorldFish																
PARRFI (The Philippine Agriculture and Resources Research Foundation)	Philippines					-	100	-	-		100					
Peoples Participation Services (PPS)	Africa					-	26	-	-		26					
Prottasha	Bangladesh					-	-	-	0		0					
PSU Center for Strategic Policy and Governance, Inc (PSU-CSPGI)	Palawan					-	-	-	4		4					
PSUS	Bangladesh					-	-	-	0		0					
RCMFSE-AMFRD	Indonesia					-	-	-	10		10					
RCMFSE-MMAF	Indonesia					-	-	-	5		5					
Rita Matshai Hatch	Bangladesh					-	-	-	1		1					
RSSS	Bangladesh					-	-	-	3		3					
Rupali Fishi Hatch	Bangladesh					-	-	-	0		0					
SAVE	Bangladesh					-	-	-	62		62					
SDC	Bangladesh					-	-	-	6		6					
SEAFDEC	Philippines					-	-	-	1		1					
SEARCA	Philippines					-	-	-	70		70					
Secretariat for the Pacific Community	New Caledonia					-	-	-	4		4					
Sonali Fishi Hatch	Bangladesh					-	-	-	0		0					
SpeedTrust	Bangladesh					-	-	24	124		148					
SSS	Bangladesh					-	-	-	11		11					
Subrato	Bangladesh					-	-	-	7		7					
Suvro Matsha Hatch	Bangladesh					-	-	-	1		1					
The Royal University of Phnom Penh (RUPP)	Cambodia					-	-	-	13		13					
The Ubon Ratchathani University (UBU)	Thailand					-	-	-	13		13					
The University of Dar es Salaam	Tanzania					-	-	-	32		32					
TMSS	Bangladesh					-	-	-	11		11					
Traiblazer Cambodian Organisation (TCO)	Cambodia					-	-	-	25		25					
University of Batangas (UB)	Philippines					-	-	-	5		5					
University of Cape Coast	Ghana					-	-	-	4		4					
University of Manitoba	Canada					-	-	-	23		23					
University of Zambia	Zambia					-	-	-	2		2					
University of Zimbabwe	Zimbabwe					-	-	-	10		10					
UPMSI	Philippines					-	-	-	50		50					
UTTARAN	Bangladesh					-	-	-	2		2					
Village Support Group (VSG)	Cambodia					-	-	-	22		22					

Institute	Country	Annual Budget					Actual Expenses – This Year					Unspent Budget				
		Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total	Windows 1 and 2	Window 3	Bilateral finding	Center Funds	Total
Western Province Agricultural Coordination Office (PACO)	Africa					-	31	-	-		31					
	Sub-total for center*	484	161	1,764	-	2,409	370	170	1,551	-	2,090	114	(9)	213	-	319
IWMI																
University of Hohenheim	Germany			-		-	-	-	13	-	13	-	-	-	-	-
Soils and Fertilizers Research Institute	Vietnam			-		-	-	-	9	-	9	-	-	-	-	-
	Sub-total for center	-	-	22	-	22	-	-	22	-	22	-	-	(0)	-	(0)
IWMI		-	-	22	-	22	-	-	22	-	22	-	-	(0)	-	(0)
WorldFish		484	161	1,764	-	2,409	370	170	1,551	-	2,090	114	(9)	213	-	319
	Totals for CRP*	484	161	1,786	-	2,431	370	170	1,573	-	2,112	114	(9)	213	-	319

Notes

Amounts reported are for actual expenditure, so unliquidated advances not included.

*At the time of planning and budgeting, institution-wise break of the partnership funds was not estimated. The figures are presented as per the partners/centers.

Report L401 - CRP Funding Statement - Windows 1 and 2

Report Description **L401**
 Name of Report CRP Funding Statement, Windows 1 and 2
 Reporting Line Lead Center Report to Consortium Office
 Frequency/Period Every 3 months

PART 1 - REPORT OF LEAD CENTER (WorldFish)						
Opening Balance - 1 January			1,463			
W1 Receipts from Consortium Office (actual dates)						
	13-Feb-2012		1,410			
	3-May-2012		1,352			
	21-Jun-2012		165			
	13-Jul-2012		547			
	13-Jul-2012		398			
	31-Oct-2012		1,110			
	27-Nov-2012		1,579			
	Total Receipts		6,561			
W2 Receipts from Consortium Office (actual dates)						
	Total Receipts					
Transfers to CG Partners						
	Bioversity		(83)			
	IWMI		(187)			
	Total Disbursements		(270)			
Expenditure by Lead Center (WorldFish)			(7,126)			
Unliquidated Advances to WorldFish Partners			-			
Funds held - end of Period			628			
PART 2 - REPORT OF CGIAR CENTERS						
		Funds held Start of Period	Transfers from Lead Center	Expenditure	Unliquidated Advances Partners	Funds Held end of period
	Bioversity	(83)	83	(107)		(107)
	IWMI	(71)	72	(159)		(158)
	Totals	(154)	155	(266)	-	(265)



With communities, changing lives

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The CGIAR Research Program on Aquatic Agricultural Systems is a multi-year research initiative launched in July 2011. It is designed to pursue community-based approaches to agricultural research and development that target the poorest and most vulnerable rural households in aquatic agricultural systems. Led by WorldFish, a member of the CGIAR Consortium, the program is partnering with diverse organizations working at local, national and global levels to help achieve impacts at scale. For more information, visit aas.cgiar.org.

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RESEARCH
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