Climate Smart Agriculture:
Capturing the synergies between Adaptation, Mitigation and Food Security
GCP/INT/139/EC

Inception Workshop

Flower Garden - Hanoi
17th-18th December 2012

Final Report

Introduction

The Inception Workshop of the project "Climate Smart Agriculture: Capturing the synergies among Mitigation, Adaptation and Food Security" was held in Hanoi on 17-18 December 2012. This report provides an overview of the process, content and outcomes of the workshop, which was organized and implemented by the FAO project team in collaboration with staff from FAO Viet Nam and from the Northern Mountainous Agriculture and Forestry Science Institute (NOMAFSI) as implementing agency under Ministry of Agriculture and Rural Development (MARD).

1. Objectives of the Inception Workshop

The inception workshop was to represent an ideal platform to involve stakeholders in tailoring the project and its log-frame to the specificities of the country, as well as to establish and strengthen collaboration.. These are key elements needed both to attain the project outputs as well as to build country ownership of the project outputs from the beginning. Stakeholder knowledge and experience in the design of project activities and identification of their roles therein are cornerstones of projects outcomes. For the country of Viet Nam the focus has a regional focus in the Northern Mountainous Region, therefore outcomes and objectives are tailored towards the regional focus.

Expected outcomes of the inception workshop included:

1. Identify the most suitable CSA practices for the Northern Mountainous Region of Viet Nam;

2. Identify barriers and constraints to the adoption of CSA as opposed to the enabling factors;

3. Discuss and identify the most appropriate tools, policies and approaches to overcome the barriers and strengthen the enabling factors.

4. Agree on project logical framework (theory of change) and workplan including identifying key partners, roles and interactions.

To this end, the Inception Workshop has discussed the following topics:

- The most appropriate **Agricultural practices** contributing to increased productivity and incomes for food security and agriculture development as well as increased adaptive capacity and, where possible, mitigation;
- Identification of **barriers to the adoption** of CSA and **policies** needed to overcome them;
- The most appropriate **participatory processes** for policy/strategic framework/roadmap development;
- **Enabling mechanisms** (institutional, financing) and tools (baseline, models, and methodologies) to the adoption of identified CSA practices.

2. Participants of the Workshop

57 were the workshop participants which included representatives from FAO Hanoi, Survey DATA agencies (i.e., ILSSA), NGO/International agencies working in the Northern mountainous region (ACIAR, CIRAD, ICRAF, VNFU, EU Delegation, AFD, etc.), ministries (MONRE, MARD), MARD's Departments (DCP, ICD), agricultural research institutes (VAAS and its memberships such as CASRAD, and NOMAFSI, NIAPP, IPSARD), university (HAU) and potential local partners such as Department of Agriculture and Rural Development (DARD) in Yen Bai, Son La and Dien Bien provinces.

3. Workshop Proceedings

The workshop was held at the Meeting Room of Flower Garden hotel, No. 46 Nguyen Truong To Street in Hanoi. The workshop agenda is attached in the Annex 1.

The workshop was opened by Dr. Le Quoc Doanh, DG of the DCP/MARD who welcomed the project in Viet Nam and workshops' participants. Dr Le Quoc provided a very good overview of project's objectives and of its rationale. Dr Le Quoc was followed by Mr. Ken Shimizu who, on behalf of FAO Viet Nam, provided welcome remarks and strengthened the relevance of a project on Climate Smart Agriculture in a country in which climate change is estimated to have significant negative impacts and where agriculture still plays a crucial role. The final opening speech was provided by Dr. Andrea Cattaneo, the project team leader, who thank Viet Nam, MARD, FAOVN and NOMAFSI to have welcomed the project and helped in implementing the project launch and in organizing the inception workshop. He also gave some general insights into the proceeding of the workshop and of its objectives.

Next, Dr. Sen' described, in her presentation, how the project fits within Vietnam policy context, Dr. Andrea Cattaneo and Dr. Romina Cavatassi followed with a presentation that provided an overview of the CSA project, including the project objectives and expected outcomes to be achieved through project activities and outputs. The presentations was followed by a plenary discussion on the project context (adaptation, mitigation and food security), geographical coverage, analysis of existing agricultural practices, the importance of identifying actual or potential barriers to the adoption of CSA practices as opposed to enabling factors that require strengthening.

In the afternoon of the first day, the workshop participants were enabled to discuss in four groups selected relevant topics concerning (i) most appropriate and suitable CSA practices particularly for the NMR of Viet Nam, (ii) barriers and constraints to the adoption of CSA and potential policies to overcome them, (iii) capacity building required for the adoption of CSA practices, and (iv) enabling mechanisms to facilitate CSA adoption. Later in the afternoon, results from each group discussion were presented to the plenary section for comments/inputs and then summarized by the project team in the morning of the second day of the workshop. A summary of the key points discussed is described in next section, whereas detailed group discussion is reported in Annex 3.

During the second day the workshop focused on narrowing down selected CSA practices as well as next steps required to get project activities moving. In the afternoon the workplan was discussed in detail with particular focus on planning for data collection, scenario building, calls for research/study proposals, institutional mapping and implementation arrangements.

Given the regional focus of the workshop in the NMR specific issues relevant for the NMR drove the entire workshop discussion and there was a general consensus to identify a focal point in each of the three project provinces of Son La, Dien Bien and Yen Bai who would serve as a coordinator for providing information relevant for the project as well as for providing help in coordinating project activities to be undertaken at the provincial level

At the end of the workshop, general agreement was reached on the work plan and activities to be undertaken together with recommendations for next steps.

4. Summary of the Working group Discussion

Group 1: CSA Practices

Group	Project Output related question	Summary observations and recommendations
1. CSA Practices	-) What are the agricultural practices contributing to increased productivity for food security and, where possible, mitigation? -) What are the major opportunities for promoting CSA likely in the Northern Mountainous region of Vietnam?	• A good strategy/potential would be **diversifying crop production** by using seasonality: summer maize, winter soya bean for example • There's a need to take into consideration a) soil protection, b) breed varieties that adapts to CC amd c) implement water resource management • In Terms of good practices: sometimes they depend on the crop. For maize: **mulching, mini-terace, intercropping** (with peanuts or soya) • There are 187 000 HA of unused agriculture land in lowland in the provinces in the spring because they are only used for one crop (rice), using one season. With a good planning approach, lowland could be better used: crop rotation and in some cases for Yen Bai and Son La also fishery (aquaculture) • Maize is successful if you have combination of intercropping, mulching and mini-teraccing with proper fertilizers. • Terracing is a good farming system which needs to be diffused further. There are some good examples in Dien Bien. Some of the most suitable CSA practices varies at provincial level and have been identified as follows: • A good potential solution in Son La is represented by intercropping system in the sloping land using mini terracing: maize and cassava, with peanut or soya bean • Tea is good in all 3 provinces but YB and DB have a comparative advantage, particularly advantageous is shan tea because it grows also at high altitude • Coffee not suitable in YB but ok in the 2 other provinces • Livestock: in DB good example of water buffalo • In Son La maize is nr 1 crop but could be better intercropped in winter season

Group 2: Barriers and enabling factors

Group	Project Output related question	Barriers	Enabling mechanisms/factor
2. Barriers and enabling factors	-) What are the major barriers to the adoption of CSA practices in the NMR? -) What are the policies and tools that could help overcome them?	Sometimes there is a failure to disseminate the model to the farmers (culture, training, capacity).	Diffusion through farmers' examples: good examples travel well and diffuse.
		Cultural resistance/ Tradition	Need to combine sociological, and anthropological study to understand why farmers resist to adopt certain tecniques. For instance the non-use of land in spring.
			In some cases the crop they grow is very linked to their tradition: need to find a way of integrating new crops with old crops by using seasonality or intercropping
		Land tenure	Not really an issue as land allocation has been assigned since 1993 and only in one province (DB) the process is still on going but almost finalized. Farmers are responsible for land allocated to them for 50 years and the title is renewable.
		Up Front costs	Need financial support
		Lack of knowledge	Capacity building, raise awareness, diffuse information
		Remoteness and difficult topography	In some cases very difficult to apply SLM. In these cases CSA would mostly be new crops rather than SLM: use agroforestry by growing bamboo, coffee, rubber, or indigenous crops (H'Mong Apple)
		Unclear, conflicting and overlapping policies, disconnect between policy and financial instruments	Improve decentralization, have central government talk to local authorities and delegate them the power to tailor policies

			to specific provincial needs. Integrate at local level taking into account projects and various stakeholders.
		Difficult market accessibility both for inputs and for outputs	Need policy support to: 1) undertake research for most appropriate varieties and facilitate accessibility, 2) capacity building and technical assistance to achieve market quality for outputs, 3) diffuse information on prices through radio, cell phones or tv; 4) encourage farmers' organizations to cut transaction and transport costs
		Lack of land	Promote off-farm activities, eco-tourisms (already exists in SL), art crafts, increase crop cultivation by crop rotation and seasonality
		Lack of infrastructure especially for transport	Cut costs by pooling produce of different farmers, farmers had subsidies for transport but they stopped when processing firms were privatized.
		Risk management (for price volatility but also for yields instability)	Insurance, safety nets

Group 3: Capacity Building

Target Group	Capacity Building Need	Proposed Activities, Methods	Proposed Supplyers
1/The primary beneficiaries are farmers	- Basic knowledge of climate change, adaptation and mitigation; - Capacity building for problem identification, planning, participation and decision-making; - Capacity building to access new markets for agricultural products; - Technical training (CSA)	- Training, discussion; - Field Conference; -Study tours, cross-visit tours;	-Agricultural Extension staff; -Researchers; -NGOs/networks
2/ Local extension workers, grassroots levels: - Province, district and commune levels + person who work and participate in agricultural expansion as farmers' associations, etc. (Depending on the locale)	+ General knowledge of climate change, adaptation and mitigation; - Improve cognitive ability, problem identification, planning, decision-making, actively seek assistance, support: + Analysis and tradeoff, additional climate change activities (within 5 years, must have a long-term vision); + Forecasting capacity of local policy makers to development, vulnerability	- TOT training, field conferences - Information transfer skills to work with farmers; - Possible through provincial meetings, inclusion of climate change in the province's plan; - Synthesis and report writing skills; - Enhancing Awareness through mass-media; - Print communications and training materials (brochures, manuals, video, typical story); - Prediction of different scenarios; - Documentary broadcast on TV	- Technical officers, experts / teachers according to their professional areas; - Climate change and sustainable development: NGOs, networks and other sources.
3**/**Researcher: NOMAFSI (play a role as a linkage and consultancy providers) and other relevant organizations functioning in specific areas at selected areas.	- Depth training and postgraduate qualifications; - Short courses of general knowledge about climate change; tools applied; Training skills for Trainers (TOT)	- Short-and long-term training with domestic and international certification; - Join consultation workshops, dialogue; -Cross-visit tours; - Print communications and	**-**Collaborate with VAAS (Vietnam Academy of Agricultural Sciences); -Invite experts, lecturers; - Coordinate/ associate with other projects / models

		training materials (brochures, manuals, video, typical story); - Prediction of different scenarios; - Documentary broadcast on TV	
4/ The local policy makers (Provincial, commune) + Department of Planning and Investment; + Department of Agriculture and Rural Development; + Department of environment and Natural resources	- General knowledge of climate change, adaptation and mitigation; - capacity in needs assessment and planning; - New perspective of FAO: "Save and growth" - Mainstreaming climate change in provincial SEDP, production development plan - Institutional capacity (management skills, decision-making capacity, monitoring and evaluation and so on..) - Institutional capacity building policies and regulations / rules and policy implementation at the local level	- Training / Workshop; - Consultation Workshop (regular or 1 time / year) to present results from the pilot studies/models - Dialogue; study tours to share experiences; - or through regular meetings; - Print communications and training materials (brochures, manuals, video, typical story); - Prediction of different scenarios; - Documentary broadcast on TV	
5/Governmental level:	- Enhance commitment; - commit to support and assist - Create feasible conditions and equal opportunities		- Attended the forum, dialogue at regional, national, international levels

For each targeted group identified, the breakout group discussed training needs and proposed activities. Implementation steps suggested for implementing training activities include:

1) First assess the capacity building needs of the target groups that were identified;
2) Develop plans for capacity building and needs assessment depending on specific groups.
3) Identify training/consultancy providers (experts, teachers, and organizations)
4) Implementation of Capacity building activities
5) Monitoring and Evaluation
6) Learning and sharing

Group 4: CSA enabling mechanisms

Group	Project Output related question	Summary observations and recommendations
4. CSA enabling mechanisms	What are the enabling mechanisms (policy, institutional, financing) required to facilitate adoption of CSA?	• It is suggested to find the most appropriate financing channel by dialoguing with existing banks (i.e., social policy bank), DARD and social groups (Farmers' Union, Women Union, etc.) • Have DARD as the focal point at the provincial level to work on CSA but involving and interacting with other interested departments such as DST, DONRE, DPI, and other stakeholders. • Form a Coordination Unit for CSA at national level with the objective of consolidating policy issues/concerns coming from provinces and making them coherent by consulting MARD's agencies, other involved partners and CSA project team. • Make sure TA and advocacy mechanisms are in place for national authorities on CSA issues thorugh involved research partners. • Mobilize additional budget and/or co-funding by looking at existing and possible alternative financial resources (REDD+, CA, etc.) and alternative financial mechanisms: a) credit with low interest rate, b) safety nets/PES (i.e. compensate CSA adopters in the initial stage), c) subsidy/grant; d)flexible combination of various mechanisms; • Choose the most appropriate financial instrument by broad participatory approach, involving actors from both public and private sectors. • Government to mobilize funds from donors and international financial institutions to up-scale CSA (as a "new agricultural revolution")

During the plenary discussion, some general suggestions included:

- Need for Soil assessment / Land evaluation;
- Define suitability of CSA to specific contexts;
- SL and DB are very poor areas where market does not work well, and where first is important to ensure production of staple crop, whereas cash crop might be important only if market is improved and starts functioning;
- Importance of distinguishing between short and long term vision
- Need more dialogue among policy makers and between policy makers and beneficiaries at different levels
- Capacity building is strongly needed at different levels: government, Local authorities, extension, farmers
- More specific and ad hoc research is strongly needed
- Support output market development and investments for processing firms

5. Follow-up actions/next steps

The workshop concluded with next steps driven by main project outcomes as per logical chain:

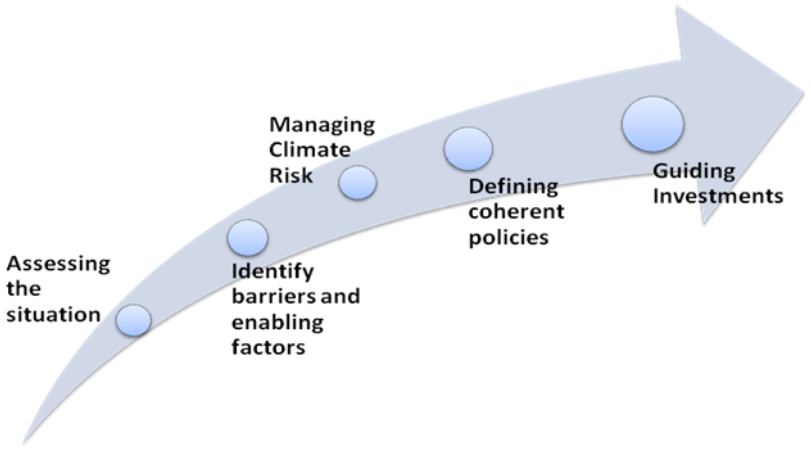

Figure 1- Building blocks of the CSA logical chain

A. Assessing the situation: EVIDENCE BASE

- The project has started looking at data available and, on the basis of data availability, it has been emphasized and agreed the need to look more in detail at what additional data could be obtained and elaborate a data collection strategy accordingly;
- Each province needs to be assessed separately.
- Overall data need include:
    - Household and production data available from:
        - Agricultural Census (to be obtained)
        - Vietnam Access to Resources Household Survey
    - GIS data: Shape files available in FORMIS portal of the Centre for Information and Statistics/MARD (to be obtained)

- Institutional mapping and data: FAO team will elaborate specific Terms of Reference and need to find in-country consultant to carry them out
- Need to decide on whether to collect more primary data in provinces on sustainable upland maize, agro-forestry, CA, value chains (for coffee and tea)
- Need to obtain input and output prices (from GSO)
- Historical weather data: precipitation and temperature
- Downscaled climate simulation data (to be obtained: Met office?)
- Gather information on ongoing projects or completed projects in provinces

B. Participatory scenario building

- The need for participatory scenario building comes from the necessity of creating a strong link between research, policy, and investment:
  - Develop a storyline for scenarios
  - Identify key outcomes of interest
  - Quantify scenarios
- Combine narrative scenarios with policy simulations to provide insight

Suggestion for policy simulations where the endogenous variables under policymakers' control are:

- incentives for SLM,
- incentives for diversification into perennials & forest products, and
- the provision of safety nets/PES for extreme climatic events.

So the definition of ***"endogenous" policy simulations*** can be placed in the context of the exogenous scenarios. The CSA project will convene a small workshop with key stakeholders, once all data are available, to develop the participatory scenarios for the provinces.

C. Institutional network mapping

Need to make the connection between different institutions and their impact on farmer decision-making. The CSA project is already undertaking a similar effort in the country of Malawi and will prepare Terms of Reference for a consultancy work to be carried out in Viet Nam on institutional network mapping. A consultant may needs to be identified to work with Dr. Linh and Mr. Nghia.

D. Call for student proposals

Funding is available for 4 Masters' students and the research of one PhD student. The funding is open to all Vietnamese nationals enrolled in a graduate program. It has been agreed that the call for proposal and funding will be administered by VAAS through a letter of agreement (to be prepared).
Once topics are identified the call for proposals is prepared according to what can be done by Masters' students and by a PhD student. For the PhD student there is an opportunity to co-fund the project with the Italian University of la Tuscia, opportunity which will be explored further. In terms of timeline the most appropriate to attract students is agreed to be as soon as possible for the PhD student and two intakes of the year in March and August/September 2013 for Master students.

6 . Concluding remarks: Moving into Logical Framework

The final part of the workshop was dedicated to the review of the log frame and work plan by the project key partner institutions (MARD, DARD, NOMAFSI, FAO) based on the workshop input as well as suggestions and recommendations obtained throughout the workshop.
It was agreed to form a Coordination Unit for CSA at national level to consolidate policy issues/concerns from provinces and make them coherent through consultation with MARD, CSA project team and other project partners. In addition it was agreed to have focal points at provincial level who will be in charge of coordinating activities in collaboration with NOMAFSI and the project team as well as for providing relevant information at provincial level and for acting as a nodal point between local communities, project partners and key stakeholders. They will also be responsible for identifying capacity building needs.

The work plan in annex IV shows the revised activities, sources, responsible FAO backstopping expert(s) and the national implementing partners for each of the respective activities.

It was reached agreement on the list of specific activities to follow up to ***urgently*** after the inception workshop and these include:

1. Prepare a list of intended activities to be implemented in the short run in each province;
2. Prepare TORs for NOMAFSI to undertake some urgent activities after the workshop;
3. Contact with IPSARD to seek supports for policy and institutional analysis;
4. Prepare the call for proposals of post graduate candidates;
5. Undertake secondary data collection – Agriculture census, GIS shape files, Climate projection data, check Living Standards HH data;
6. Collect information at provincial level for conducting rapid rural appraisal (PRA), desk review of relevant projects and activities, CC action plan at provincial level;
7. Identify focal points and define their responsibilities in detail (at provincial level).

Further activities to be undertaken: Next "next steps" include:

a) Conduct analysis of barriers and enabling factors to adoption and synergies & tradeoffs between various practices;
b) Cost & Benefit analyses of identified practices;
c) Risk management analyses;
d) Capacity needs assessment;
e) Coordination between climate change and agricultural policy (e.g. CCP, MARD participation in UNFCCC)
f) Investment Proposals

Annex I. Logical Framework for Climate Smart Agriculture Project: Capturing the Synergies between Mitigation, Adaptation and Food Security: Timeframe: 2012- 2014

Design Summary	Indicators/Targets (by end of Project unless otherwise stated)	Data Sources	Assumptions
Impact More effective agricultural policies resulting in increased food security and effective climate change mitigation and adaptation	Increase in the inclusion of evidence-based CSA policies and projects to support the development of the smallholder agricultural sector integrating effectively climate change adaptation and mitigation and successfully linking to new sources of climate finance	MARD, Ministry of finance, Min of Environment	Starting point: Disaggregated policies and instruments among various policy makers. Assumption: the will to adopt CSA practices will be developed and increased through provision of informed and coherent evidence and guidance.
	(after end of project)	Project finance documents; Project annual reports and web site	
		revised and/or new legislative documents	
Outcomes Increased capacity to promote and access CSA financing	1. CSA viable solutions identified or viable CSA projects implemented.	MARD, Ministry of Finance, Provincial People's Committee, Department of Agriculture and Rural Development (DARD)	Dialogue and support with relevant ministries and decision makers
	2. Climate finance proposal submitted for funding and/or appropriate adoption mechanisms and tools developed	Project finance documents; Project annual reports and web site	Continued demand/financing for carbon sequestration Projects
	3. In-country capacity to implement a CSA strategy built	Project roadmap prepared for actions to undertake	Effective transformation of agricultural production systems, as shown by outputs produced, could help face FS and CC challenges
	4. increase in policy documents linking climate change and agriculture with respect to before-project situation	Relevant line ministry documents revised and/or new legislative documents	
Outputs			**By understanding: 1) most suitable CSA practices; 2) barriers to adoption; 3) enabling factors = it is possible to develop means and instruments to formulate effective CSA policies and strategies.**
1. An evidence base for developing and implementing policies and investments for CSA is built	1.1 Meta-database of household datasets & soil sequestration data per each province; household- & institutional-level datasets constructed; climate/weather data and GIS data	1.1-1.3 Primary (household and institutional surveys) and secondary data (household survey data, updated soil sequestration databases, FAOSTAT agro-ecological data),	Relevant information can be collected, through both primary and secondary sources

	1.2 evaluation of household, economic & institutional constraints as well as enabling factors to securing CSA; analyses of potential policies to address those constraints and of strengthening the enabling factors	VAHRS, Ag. Census, input/output prices, VHSS, etc	
	1.3 Evaluations of existing programmes, policies & institutional frameworks for CSA		
2. Country-owned strategic framework for climate-smart agricultural activities is formulated	2.1 One strategic plan or "roadmap" , identifying how CSA will be achieved in the Northern Mountainous Region, developed with relevant stakeholders and with inputs from participatory stakeholder dialogues.	2.1 Workshop reports; policy document repository, and with country permission, posted on web site; Project annual M& E report	Members of relevant government agencies and regional bodies remain interested in seeking synergies between food security and climate change in the agricultural sector
3. Climate smart agriculture investment proposal is formulated and possible financing is identified	3.1 Investment proposals prioritizing implementation of the most promising CSA options is formulated based on research findings, costs and benefits.	3.1-3.2 Project data as listed in 1, Project annual M& E report, Investment plans roadmap formulated	Feasible investment options exist; cost effective mechanisms for accessing climate finance are possible
	3.2 Appropriate institutional interface with climate change mechanisms identified.		
	3.3 An appropriate business model for accessing and allocating climate finance to fund climate smart agriculture		
4. Capacity for evidence-based planning, implementing and financing climate smart agriculture is built among relevant stakeholders	4.1 Linkages established or strengthened between climate change and agricultural policy processes	4.1 Project M&E system where the linkages between each elements of the logical chain are clarified	National and local partners and stakeholders willing and able to actively engage in capacity building
	4.2 Participatory M&E strategy designed and agreed		
	4.3 Key indicators identified and agreed		
	4.4 Information from M&E systems incorporated into planning and decision-making		
Indicative Activities: 1.1 Meta-database of existing household level datasets with information relevant for adaptation and mitigation documented and available for analysis	1.1 One meta-database of existing household-level datasets with information relevant for adaptation and mitigation documented and available for analysis.	1.1 Documentation and meta-database of household-level dataset documented and available: hard copy and electronically (source LSMS, ag census, ad hoc data)	Project members, partners and stakeholders work together to produce evidence base

1.2 New institutional dataset needed for CSA evidence base constructed	1.2 One new institutional-level datasets per country	1.2 Dataset from new institutional-level surveys documented and available: hard copy and electronically (primary data collection	Country partners actively contribute to policy simulation model development
1.3 Meta-database of soil sequestration potential by farming practices linked to household and institutional datasets	1.3 One meta-database of soil sequestration potential and farming practices linked to household dataset	1.3 Documentation and meta-database of emissions and soil sequestration potential, formatted to link with household datasets, available in hard copy and electronically	Materials generated are useable inputs into policy processes
1.4 Conceptual framework for identifying CSA strategies developed	1.4 Working paper and journal article on conceptual framework	1.4-1.6 Project document repository and web site, journals, number recipients of hard or e-copies; web-based knowledge sharing platform	Policymakers and stakeholders remain engaged and interested in Project outputs
1.5 Statistical analyses of policy factors that increase agricultural production and adaptive capacity, and capture synergies with mitigation objectives	1.5 One country report documenting results of statistical analyses and one policy brief summarizing the results		
1.6 Development of a policy simulation model (in tandem with the development of country-owned strategic frameworks)	1.6 Policy Simulation Model documentation		
2.1 Evaluation of existing programmes, policies and institutional frameworks affecting the development, financing and implementation of CSA conducted	2.1 Country-level reports, working papers and policy briefs detailing results from institutional mapping and evaluation of existing policies related to agricultural sector development, food security and climate change	2.1 Project document repository, and with country permission, web site	Country partners actively engaged in working towards policy coherence across relevant agencies; actively engaged in development of roadmaps
2.2 Review of consistencies and contradictions between major agricultural and climate change policy documents including PRSPS, plans, NAPAs and NAMAs	2.2 One comprehensive review of PRSPs, NAPAs, NAMAs and other relevant policy papers	2.2 Report by policy dialogue facilitators; Records of attendance at dialogue meeting; workshop evaluation	
2.3 Identification and costing of priority CSA options, based on outputs from Result 1.1 and input from in-country stakeholders	2.3 Country reports detailing priority CSA options and costs of investments; number of in-country stakeholders involved in identifying CSA priority options	2.3-2.5 Project document repository, and where relevant and with country permission, web site	Sufficient data available to construct cost estimates
2. 4 Facilitated policy dialogue to prepare CSA strategic framework document	2.4 Documentation of Facilitated policy dialogue between food security, agricultural and climate change policy-makers; number of policymakers, by ministry, attending facilitated policy dialogue		

2.5 CSA strategic framework document finalized, building on Result 1.2, 1.3 and outputs 2.1a-c, and input from in-country stakeholders	2.5 Final CSA Strategic Framework Document		
3.1 Development of CSA investment proposal	3.1 Business model documentation	3.1 Project document repository, and where relevant and with country permission, web site	Sufficient demand for carbon sequestration Projects in the carbon markets
3.2 Business model for linking climate finance to smallholder agriculture developed	3.2 Final investment Project proposal, with detailed information on financing mechanisms and application of business model for including smallholders	3.2 Government documents stating endorsement and approval of investment proposal; project documents submitted to financing sources	Feasible financing mechanisms and instruments exist
3.3 Development of M&E and project impact assessment mechanisms	3.3 Document of investment Project protocols for M&E, and Project impact assessment	3.3 Project document repository, and where relevant and with country permission, web site	
4.1. Construction of web-based knowledge sharing platform to facilitate iterative learning across stakeholders	4.1 Documents detailing iterative information sharing process and online learning facility Interactive web site; of "hits" to web site disaggregated by materials accessed	4.1 Project web site; URL; Webmaster	National partners and stakeholders willing and able to actively engage in capacity building
4.2 Support to country national PhD and Masters students on Project-related work	4.2 Number of students supported; amount of funding provided; number of Master's theses and PhD dissertations produced	4.2 Research partner institutions	
4.3 Training of agricultural and climate change policy-makers on issues of climate smart agriculture	4.3 Number of agricultural policy-makers attending training courses; training course evaluations	4.3 Training course evaluations/reports; Project Annual reports	
4.4 Support for agricultural policy-makers in attending national and international climate change policy processes	4.4 Number of agricultural policy-makers attending international and national climate change policy negotiations;	4.4Policy makers attendance to CC negotiation processes.	
4.5 Preparation and dissemination of policy briefs on climate smart agriculture	4.5 Three info briefs prepared for policy-makers	4.5 Project outputs	

Annex II. Workplan

Activities	Sources	Indicators	Year 1				Year 2				Year 3			
			Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
1.1 Meta-database of existing household level datasets with information relevant for adaptation and mitigation documented and available for analysis	VHLSM; ag- census; ad hoc secondary data identified, GIS, INPUT/OUTPUT PRICES from GSO, Climate historical data, data from agro-forestry model, data from yields from sloping lands, statistics coming from provincial level, soil data, data at provincial level of crops grown and under which type of land use (i.e. terrace, agro-forestry) if available	1.1.1.Constructed and documented databases of existing household-level datasets with information relevant for adaptation and mitigation available for analysis.												
	Rapid rural appraisal of the 3 provinces and review of the projects and activities undertaken, on-going or upcoming in the 3 provinces and their results; Desk studies; literature review; key informants	1.1.2. Stocktaking of CSA related projects carried out, on-going or planned in the country and other relevant qualitative information compiled in a systematic way useful for further work and for report												
1.2 New institutional dataset needed for CSA evidence base constructed	Need data on institutions involved on CSA and or governing agricultural settings in the 3 provinces	1.2.1. new institutional-level datasets constructed												
	Narrative of policies and related documents at provincial level, institutional settings and mapping of decision making process from central government to farmers: contradictions, coherence, overlapping etc.	1.2.2. Map of CSA decision makers' networks and linkages												
1.3 Meta-database of soil sequestration potential by farming practices linked to household and institutional datasets	Source to be identified	1.3 data base for soil carbon sequestration created and linked to HH data sets												

1.4 Conceptual framework for identifying CSA strategies developed	Stocktaking and results from analysis from 1.1 above	1.4.1 Working paper and 1.4.2 journal article on conceptual framework													
1.5 Statistical analyses of policy factors that increase agricultural production and adaptive capacity, and capture synergies with mitigation objectives	Outputs from 1.1 and 1.2 above	1.5.1. Country report documenting results of statistical analyses and 1.5.2 policy brief summarizing the results													
1.6 Development of a policy simulation model (in tandem with the development of country-owned strategic frameworks)	All outputs from above, participatory scenario building to be organized	1.6 Policy simulation model developed, carried out and documented													
2.1 Evaluation of existing programmes, policies and institutional frameworks affecting the development, financing and implementation of CSA conducted	Results from 1.1; 1.2;1.3;1.5; 1.6 Plus documents at provincial level (DARD/NOMAFSI):	2.1 Country-level reports, working papers and policy briefs detailing results from country-level institutional mapping and evaluation of existing policies related to agricultural sector development, food security and climate change. Number of evidence based results used in development of final CSA Strategic document.													
2.2 Review of consistencies and contradictions between major agricultural and climate change policy documents including PRSPS, plans, NAPAs and NAMAs	1.2 above and documents mentioned in 2.2	2.2 One comprehensive review of PRSPs, NAPAs, NAMAs and other relevant policy papers													
2.3 Identification and costing of priority CSA options, based on outputs from Result 1.1 and input from in-country stakeholders	Results from 1.1; 1.5; and survey to be undertaken on a sample of farmers for ad hoc data collection to be decided	2.3 Country reports detailing priority CSA options and costs of investments; number of in-country stakeholders involved in identifying CSA priority options													

2. 4 Facilitated policy dialogue to prepare CSA strategic framework document	Participation to conferences, national and int.al negotiations etc;	2.4. Documentation of Facilitated policy dialogue between food security, agricultural and climate change policy-makers; number of policymakers, by ministry, attending facilitated policy dialogue. Number of technical staff and policymakers contributing to CSA Strategic document													
2.5 CSA strategic framework document finalized, building on Result 1.2, 1.3 and outputs 2.1a-c, and input from in-country stakeholders	outputs 1.1, 1.2, 1.3, 1.5. 2.1-2.3	2.5 Final CSA Strategic Framework Document													
3.1 Development of CSA investment proposal	Evidence provided by outputs 1 and 2 above	3.1 Business model documentation for each partner country													
3.2 Business model for linking climate finance to smallholder agriculture developed	Note formulated	3.2 Final investment Project proposal, with detailed information on financing mechanisms and application of business model for including smallholders													
3.3 Development of M&E and project impact assessment mechanisms	M&E framework and workplan	3.3 Document of investment Project protocols for M&E, and Project impact assessment													
4.1. Construction of web-based knowledge sharing platform to facilitate iterative learning across stakeholders	Project documentation	4.1 Documents detailing iterative information sharing process and online learning facility Interactive web site; of "hits" to web site disaggregated by materials accessed													
4.2 Support to country national PhD and Masters students on Project-related work	call for proposal, selection of students based on interesting and potential CSA practices coming from inception workshop, Field visit and lit review	4.2 Number of students supported; amount of funding provided; number of Master's theses and PhD dissertations produced													
4.3 Training of agricultural and climate change policy-makers on issues of climate smart agriculture	Need assessment at provincial level	4.3 Number of agricultural policy-makers attending training courses; training course evaluations													

4.4 Support for agricultural policy-makers in attending national and international climate change policy processes	Important national and international conferences, negotiations etc.	4.4 Number of agricultural policy-makers attending international and national climate change policy negotiations;											
4.5 Preparation and dissemination of policy briefs on climate smart agriculture	All project outputs	4.5 Three info briefs prepared for policy-makers											

Annex III: BREAKOUT GROUPS

Break out group 1
What are the major opportunities for promoting CSA likely in the Northern Mountainous region of Vietnam? What are the **agricultural practices** contributing to increased productivity/incomes for food security/ag development as well as increased adaptive capacity and, where possible, mitigation?

1. In light of recent climatic shocks please discuss the **most suitable agricultural practices/crops** to adapt to CC ensuring Food Security.

2. Would any of these contribute to **mitigation**?

3. CC adds an additional **layer of risk** to farmers' decision making, would any of the practices have implications (positive or negative) for risk management?

Break out group 2
Some CSA practices may imply changes in land use as well as changes in farming practices for a given activity.

1. What are the main **barriers to changes in land-use** in Northern mountain region of Vietnam? (For example shifting from annual crop to perennial).

2. What are the main **barriers to changes in farming practices** for a given land-use? (for example adopting Sustainable land management practices to reduce soil erosion such as minimum tillage or stone bunds).

3. Do you have any suggestions for **policies** that could help overcome them?

Break out group 3
What are the priority needs for **capacity building** to achieve CSA implementation for policy-makers, researchers, extension?

One of the obstacle often cited towards the adoption of CSA practices is lack of knowledge, lack of information.

1. What do think are the **capacity needs** to encourage adoption of CSA?

2. What institutions do you see as being important potential **drivers** for capacity building? (e.g farmers' union, people's committee, others)

3. By what **means and delivery mechanisms** are these needs better fulfilled? (e.g radio, e-learning, policy briefs, conferences, etc)

Break out group 4

What are the **enabling mechanisms** (policy, institutional, financing) required to facilitate adoption of CSA? Obstacles to adoption of CSA practices can range from limited access to information, to up-front financing costs, to tenure security, and risk perceptions.

1. What **changes in policy** do you believe are needed to encourage adoption of CSA?

2. What change in **institutional arrangements** do you see as being important potential **drivers** for adoption of CSA? (e.g. zoning, cross-institutional coordination, coherent messages from different layers of institutions)

3. What **financing mechanisms and instruments** could better help addressing up-front costs and overcome other financial barriers to the adoption of CSA? Are there any existing **instruments** that could be used for financing CSA practices?