

---

## Annex XII: Strategic Objectives Action Plans

---

This Annex provides the Strategic Objectives Action Plans as indicated in the main Medium Term Plan 2014-17 and Programme of Work and Budget 2014-15 document.

---

### *Strategic Objective 1: Contribute to the eradication of hunger, food insecurity and malnutrition*

#### **Context and rationale**

1. There is sufficient capacity in the world to produce enough food to feed everyone adequately; nevertheless, in spite of progress made over the last two decades, 870 million people still suffer from chronic hunger. Among children, it is estimated that 171 million under five years of age are chronically malnourished (stunted), almost 104 million are underweight, and about 55 million are acutely malnourished (wasted). Micronutrient deficiencies, or “hidden hunger”, affect over two billion people worldwide, impeding human and socio-economic development and contributing to the vicious cycle of malnutrition and underdevelopment. At the same time, an estimated 1.4 billion people are overweight and 500 million are obese. Beyond the ethical dimensions of this complex problem, the human, social and economic costs to society at large are enormous in terms of lost productivity, health, well-being, decreased learning ability and reduced fulfilment of human potential.

2. The persistence of hunger and malnutrition is all the more hard to accept in the face of major strides made in areas such as economic growth, science and technology, and food availability. What is needed is much stronger commitment, more purposeful and coherent action across sectors and various stakeholder groups, and greater accountability. This also implies that food security and nutrition objectives, and the required actions, are fully factored into development strategies, properly implemented and adequately funded.

3. This endeavour needs to involve a multitude of stakeholders, while taking account of new, and not yet fully understood challenges: e.g. the impact of globalization, rapid urbanization and transformation of food and agricultural systems, and widespread lifestyle changes; climate change and other threats to the environment; technological and scientific advances that change the nature of communication, production and distribution of food and agricultural commodities; and the volatility of food and energy prices.

4. Basic premises for such a framework for action include a common understanding of problems and solutions, the availability of reliable data and information, adequate capacity in the analysis, planning and implementation of policies and programmes, and effective accountability systems with systematic progress monitoring and impact evaluation. It also requires that inclusive, transparent and rights-based institutional mechanisms and governance systems are in place and are sustainable.

#### **Main factors underpinning the design of SO1**

5. Food insecurity and malnutrition are primarily caused by a lack of physical and economic access to the resources needed to secure enough food, and consume a nutritionally adequate diet, both, in terms of quantity (energy) and quality (variety, diversity, nutrient content, and food safety). This includes insufficient income or lack of access to productive assets and other resources that would otherwise allow the poor, vulnerable and marginalized to purchase food or produce it.

6. Economic and other crises further exacerbate hunger, food insecurity and malnutrition. Man-made and natural disasters jeopardize not only economic, but also physical access to food, and weaken overall resilience to future threats and crises. Women in particular, face challenges in accessing assets and earning sufficient income. Even when economic access to food is not a constraint, individuals can suffer from malnutrition, due to diets that are poor in quantity and quality. This is often the result of a poor understanding or lack of knowledge of the potentially serious health implications of consuming a poor quality diet.

7. Addressing the root causes of hunger, food insecurity and malnutrition requires that a number of elements be in place namely: political commitment; common understanding of problems and

solutions; appropriate governance mechanisms and proper coordination; alignment of policies, programmes and investments; leveraging food and agricultural systems for better nutrition; addressing the gender gap. Those elements constitute the pillars of Strategic Objective 1.

#### *Political commitment*

8. Over the past two decades, leaders and decision-makers have made pledges at various high-level events to reduce hunger, food insecurity and malnutrition, while food security has been put on top of the agenda of regional, subregional and global institutions and country groupings (such as the G20 and the G8). The creation of the UN High-Level Task Force (HLTF) on the Global Food Security Crisis and the reform of the Committee on World Food Security (CFS) are two key initiatives which underline the importance of food security in the global and regional development agendas and within the UN System. However, the reality on the ground is complex, while commitment, action and resource allocation for food security and nutrition by the relevant stakeholders and partners is insufficient or too erratic. In this light, the UN Secretary-General called upon leaders gathered at the Rio+20 Summit to take up the “Zero Hunger Challenge”, a call that was endorsed by the UN Rome-based agencies, UNICEF and the World Bank. SO1 should address in the first instance how to generate stronger political commitment and capacity to mobilize resources at all levels, but also effective partnerships within and among countries, and with international organizations, civil society and the private sector.

9. Commitments should include more explicit food security and nutrition objectives, policies and programmes and monitoring and accountability mechanisms in the national development strategies. Firm commitments must also be made to improving diets and raising levels of nutrition, while improving the status of women, children, and poor and vulnerable population groups.

#### *Common understanding of problems and solutions*

10. The economy overall, and the agriculture, forestry, fisheries, social and other sectors can contribute in multiple ways to food security and nutrition. These interactions must be better understood by leaders, decision-makers and other stakeholders. Hunger reduction and food security are often seen as depending almost exclusively on agriculture, particularly food production while food security is frequently understood as food self-sufficiency. Access to food and nutrition aspects are not receiving appropriate attention. There is often isolated, fragmented or non-existent information regarding food security and nutrition situations, the actions taken in different sectors by a multiplicity of stakeholders, and their impact. SO1 should contribute to generating and disseminating essential data, statistics and information and promoting a solid common understanding of problems and solutions.

11. An integral part of eradicating hunger, food insecurity and malnutrition in a sustained manner is the exchange of knowledge and experiences between countries and among stakeholders at all levels. Lessons learned from successes in fighting hunger and malnutrition could be used by countries where hunger and extreme poverty are still menacing realities. Significant potential exists to further bridge technological and policy gaps, including *via* South-South cooperation and other forms of knowledge exchange.

#### *Governance mechanisms and coordination*

12. Food security is a multifaceted concept and includes dimensions of food availability, access, stability and utilization. Similarly, good nutrition depends on effective actions across sectors, including improving access to a diverse diet, appropriate care and feeding practices, and adequate health and sanitation. Hence, progress in this broad field depends on effective governance systems which promote multidisciplinary and the involvement of many stakeholders, with participation, transparency, equity and accountability as key principles. Such governance systems will lead to inclusive, transparent, accountable and evidence-based policy processes, supported by appropriate legislation and well-functioning institutions.

13. Current major challenges related to high and volatile food prices, natural resource degradation, globalization, urbanization and climate change are just a few examples of where strengthened governance mechanisms and effective coordination can make a difference. Clear-cut examples of

improving food security and nutrition governance at various levels are: initiatives by the G20 and the G8 groups of countries, the HLTF, the UN Standing Committee on Nutrition (UNSCN), most importantly, the Committee on World Food Security (CFS), while there are also important regional initiatives such as Comprehensive Africa Agriculture Development Programme (CAADP).

*Alignment of policies, programmes and investments*

14. From the point of view of food security and nutrition, a number of gaps, inconsistencies, fragmentation, and contradictions in the existing portfolio of macroeconomic, sector and cross-sector policies and programmes, as well as underinvestment in key food security and nutrition areas, must be addressed. Development and poverty reduction policies at the global, regional and national levels, but also subnational strategies and programmes need to be designed and coordinated using a food security and nutrition lens to ensure relevance and purposeful action towards desired food security outcomes. Policies and investments should be backed by information systems and adequate mechanisms for monitoring progress and evaluating impact.

15. Policy decisions need to be followed-up by concrete implementation actions, backed up by resource allocation with appropriate incentives for targeted investments. Policy, programme and investment frameworks that apply a ‘twin-track approach’ to the eradication of hunger, food insecurity and malnutrition must be adopted, paying due attention to the role of social protection measures to address consumption shortfalls in tandem with actions that make the poor and vulnerable more resilient, self-reliant, food secure and well-nourished in the short- and long-term.

16. A coherent and comprehensive approach to policy development for food security and nutrition must take into account the contribution of the natural resource base of food and agricultural systems, including land, water, fish and forests and their sustainable management. Due to lack of knowledge and weak sector coordination (in particular between food and agriculture sectors and forestry, fisheries and aquaculture) the essential roles of these natural resources are not sufficiently considered in policy decisions related to food security and nutrition. Also, policies and institutions for the management of natural resources should be aligned in a way that they contribute to improving food security and nutrition.

17. It is often not understood that forests and trees on farms are both a direct and indirect source of food for close to a billion of the world’s poorest people, providing both staple foods and supplemental, nutrient-rich foods such as fruits, edible leaves and nuts. Similarly, fisheries and aquaculture provide the primary source of animal protein for 17 percent of the world’s population and for nearly a quarter in low-income, food-deficit countries and small island developing states (SIDS).

18. Policy alignment for food security and nutrition must also take into account the contribution of traditional agricultural systems which still provide food for some two billion people and contribute to agricultural biodiversity.

*The contribution of food and agricultural systems to nutrition*

19. Nutrition-specific challenges are worth highlighting, in particular in the context of the new strategy and vision for FAO’s work in nutrition. To ensure good nutrition, access to an adequate quantity and quality of food, especially by young children, must be combined with good care and feeding practices (including nutritious food choices for adults), along with access to health services and a healthy environment. Moreover, the negative effects on mental capacities, physical stature, and labour productivity of chronic malnutrition and micronutrient deficiencies are often hidden in the first few years of life and may become fully apparent only years later. Hence, this may reduce political urgency to take action.

20. Governments, the private sector and development agencies may see nutritional status as an indicator, rather than as a major design factor and key outcome of social and economic development policies. Decision-makers may also view malnutrition primarily as a health-related issue, rather than a challenge that must also be addressed through access to food and balanced diets. This could lead to overemphasis on short-term interventions at the expense of longer-term objectives. Eradicating malnutrition thus requires strengthening political commitment and improving knowledge, policy and programme coordination, and stakeholders’ capacity to address the basic causes of poor nutrition. In

this context, policies and programmes to strengthen the contribution of food and agriculture systems to improving nutritional outcomes should be considered.

21. Also, the particular benefits of certain foods, such as fish, which is rich in essential amino acids, Omega-3 oils and micronutrients are vital to human health and brain development, especially for children and pregnant women.

22. It is important to bring the full potential of food and agricultural systems to bear on the problem of malnutrition, taking opportunities that exist so systems increase their capacity to produce good nutritional outcomes, joining the contributions of food and agriculture to those made in the areas of health and care. Policies, programmes and investments can ensure action is taken across the entire system, from production to marketing, storage, processing and consumption, and improve the links with other sectors, governance processes, and the policy environment, to shape more effective nutrition-sensitive food and agricultural systems. At the same time, policies and programmes to combat overnutrition which leads to health problems should also be supported.

*The “gender gap” and its implications on food security and nutrition*

23. Women play multiple roles in agricultural households – productive, reproductive and social – and their full involvement is absolutely necessary to effectively translate agricultural development into food security and nutrition at individual and household level. Women, however, continue to face a disproportional disadvantage by virtue of their limited representation in decision-making processes. Those disadvantages are particularly in terms of access to, and control over productive resources, services employment opportunities and income. This “gender gap” imposes high costs on the agriculture sector, and gender-based inequalities all along the food production chain “from farm to plate” impede the achievement of food security and nutrition objectives. A huge body of evidence shows that it is necessary to involve women in policy and planning to enhance their role as agricultural producers, as well as primary care-takers of their families. Appropriate policy actions, based on accurate information and analysis, should therefore be developed to help close the “gender gap” and address the implications of gender inequality on all the dimensions of food security.

*Urban food security and nutrition*

24. Given rapid urbanization around the world, food insecurity and malnutrition concerns in urban areas need to be addressed as much as in rural areas. Policies and investment programmes need to fully address these needs, while also strengthening urban-rural linkages and ensuring a sustainable use of natural resources for both urban and rural populations.

**Action Plan**

25. Three Organizational Outcomes have been formulated to implement SO1:

- a) member countries and their development partners make explicit political commitments and allocate resources to eradicate hunger, food insecurity and malnutrition;
- b) member countries and their development partners adopt and implement evidence-based and inclusive governance mechanisms for eradicating hunger, food insecurity and malnutrition; and
- c) member countries and their development partners formulate, implement, monitor and evaluate policies, programmes, investments and legislation to eradicate food insecurity and malnutrition.

26. These outcomes are predicated on FAO’s unique capacity to interact and work with countries and development partners, especially as an independent, intergovernmental entity, but also as a multistakeholder forum for debate and negotiation of all issues related to food, nutrition and agriculture. This includes FAO’s role in support of the multipartner CFS, as well as in convening and supporting technical and policy setting bodies (e.g. COAG, COFI and COFO) and standard-setting programmes. Advocacy and catalytic action for strengthening food security and nutrition is also well served by FAO’s presence in countries and regions, as well as by its global public goods, *inter alia*

FAOSTAT and the flagship publications (such as the “State of ...” documents), backed by strong communication campaigns.

27. As the UN specialized agency mandated to collect, analyse, interpret and disseminate information and knowledge related to food and agriculture, FAO should also provide the necessary evidence-based analysis leading to political commitments, and advocacy.

28. FAO’s capacity to work as an ‘honest broker’ within a number of technical sectors relevant to food security and nutrition concerns, should facilitate policy harmonization across these sectors, and guide transparent and accountable governance mechanisms (e.g. via the elaboration and negotiation of the Voluntary Guidelines to Support the Progressive Realization of the Right to Food, and on Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security).

29. FAO’s multidisciplinary expertise areas related to food security and nutrition, including in agriculture, forestry, fisheries, sustainable rural development, combined with its reputation as a trusted partner of governments and other development partners, is a most important asset in respect of the third Organizational Outcome. Its established capacity to disseminate and share expertise as a global knowledge Organization is a major comparative advantage in developing institutional and individual-level capacities at national, regional and global levels.

30. The Organizational Outcomes and their constituent Outputs are elaborated further below.

Organizational Outcome 1: Member countries and their development partners make explicit political commitments and allocate resources to eradicate hunger, food insecurity and malnutrition.

31. Political commitment is a prerequisite to appropriate policies being put in place, and investments made to enable people to realize their right to adequate food, both in the short-term, through various social protection instruments, and in the medium- and long-term, through measures that empower poor and vulnerable people to be self-reliant, resilient, food secure and well-nourished. Political commitment not only refers to the responsibility of government, but also of civil society, the private sector and the wider development community.

32. Building political commitment clearly requires policy dialogue, as well as vigorous awareness-raising and advocacy work by a range of stakeholders, promoting a solid and common understanding of issues, and offering policy options for addressing underlying and immediate causes of hunger, food insecurity and malnutrition. Advocacy should be based on solid evidence which requires information, statistics and analysis presented in a way that is understandable, compelling and actionable on how different sectors can make a positive contribution.

Output 1.1: Increased awareness among decision-makers, development partners and society at large of the urgent need to take decisive action to eradicate hunger, food insecurity and malnutrition and of the role agriculture, fisheries and forestry play to this end.

33. This will be achieved largely as a result of evidence-based advocacy and communication initiatives, including the organization of, and support to high-level global and regional conferences and alliances, where firm commitments on goals, targets and actions can be made. This work will include:

- a) advocacy and communication on the prevalence and economic and social impacts of hunger, food insecurity and malnutrition and on their underlying causes. Such information should be presented and discussed at various fora, including at the Committee on World Food Security, and communicated through various media outlets and knowledge sharing platforms. Particular emphasis should be placed on the importance of gender and the contributions that the food, agriculture, livestock, fisheries, forestry, natural resources, as well as other sectors can make to food security and nutrition;
- b) solid partnerships with food security and nutrition-related multilateral and multistakeholder initiatives at global, regional and national levels, in order to promote and advocate actions to implement recommendations related to food security and nutrition of various summits and high-level meetings, including follow-up to the Rio+20 Summit, the International Conference

on Nutrition (ICN-2) and the International Conference on Forests for Food Security and Nutrition;

- i. at the international level, such partnerships will be fostered through, for example, the UNSCN, the Scaling Up Nutrition (SUN) initiative, the Renewed Efforts Against Child Hunger (REACH) initiative, the HLTF, the post-2015 development agenda, the G8 New Alliance for Food Security and Nutrition, the UN Zero Hunger Challenge, the Alliance Against Hunger and Malnutrition, and relevant organizations of civil society, the private sector, and international agencies relevant to food security and nutrition;
- ii. at regional level, collaborative work will be pursued *inter alia* with Regional Economic Integration Organizations and other entities, i.e. African Union, New Partnership for Africa's Development (NEPAD), Association of Southeast Asian Nations (ASEAN), Central American Integration System (SICA), the Council for Trade and Economic Development of the Caribbean Community (CARICOM), Union of South American Nations (UNASUR), other regional organizations of the civil society and the private sector; and
- iii. at national level, promotion and support to Alliances Against Hunger and Malnutrition will be pursued on the basis of the CFS principles of multistakeholder participation.

Output 1.2: Member countries and other stakeholders have a common understanding of the multiple dimensions and causes of hunger, food insecurity and malnutrition and on strategic options for resolving underlying problems.

34. This will be achieved by generating, sharing and enhancing access to solid data, information and knowledge products to understand the magnitude, causes, impacts of hunger, food insecurity and malnutrition and the implications of proposed solutions at varying levels and in different contexts. In particular, the Organization will support the development of systems and capacities so that decision-makers at all levels have access to, and make greater use of food security and nutrition relevant data, information and knowledge. This includes, among others, FAO-supported actions in the context of:

- a) the Global Strategy to Improve Agricultural and Rural Statistics, including CountrySTAT, the Corporate and Joint FAO/WFP Strategy on Information Systems for Food and Nutrition Security (ISFNS), the Integrated Food Security Phase Classification (IPC) and the Mapping Food Security and Nutrition Actions at Country Level in the context of the CFS;
- b) the development of national and regional systems and capacities to generate, enhance access to and use of data, information and knowledge regarding the causes of hunger, food insecurity and malnutrition and the contribution of forests, trees, fisheries, aquaculture and other sectors to the eradication of related problems. Such systems should also cover progress in terms of the adoption of healthy diets, improved dietary behaviours, and resulting improved nutrition outcomes. Sex disaggregation when possible will be important for understanding gender-related dynamics regarding food security and nutrition, thus enhancing the efficiency of interventions;
- c) reviews and analyses of current and emerging issues – as well as long-term trends – that impact on food security and nutrition and to reflect such analytical work in the global development agenda (global perspective studies, situation and outlook reports, FAO flagship publications);
- d) methodologies for food security and nutrition situation assessments and analysis in both humanitarian and development contexts, including through the work of Global Information and Early Warning System (GIEWS), Emergency Prevention System (EMPRES) and the Joint FAO/WFP ISFNS;
- e) strengthening of data generation and collation initiatives through partnerships with government and other stakeholders across different sectors (e.g. Global Soil Partnership, Land Portal, World Agricultural Watch, Collaborative Partnership on Forests); and

- f) support the work of the High Level Panel of Experts (HLPE) on food security and nutrition.

Output 1.3: Stakeholders at all levels from the agriculture, fisheries, forestry and other relevant sectors contribute to formulation and negotiation of frameworks, policies and programmes aimed at accelerating the reduction of hunger, food insecurity and malnutrition.

35. This Output in particular embodies FAO's role as a neutral forum to facilitate dialogue and negotiation on common frameworks, policies and programmes, including voluntary guidelines, standards, and codes of conduct that support action on hunger, food insecurity and malnutrition. This work will also ensure that the frameworks, policies and programmes that are relevant to other SOs contribute positively to the achievement of food security and nutrition, and will involve:

- a) policy dialogue through support to the CFS in updating and promoting the implementation of the Global Strategic Framework for Food Security and Nutrition, the implementation of the Voluntary Guidelines to Support the Progressive Realisation of the Right to Food, and on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security and the Principles for Responsible Agricultural Investment in the context of food security and nutrition;
- b) the development of common accountability frameworks within the UN (e.g. support to development of Sustainable Development Goals, and the post-2015 MDG framework, score cards and other monitoring instruments);
- c) support to the implementation of codes of conduct and standards in different sectors of relevance to food security and nutrition (agriculture, fisheries, forestry) including the formulation, negotiation and implementation of a social agenda for livestock sector development and activities related to GIAHS;
- d) incorporation of nutrition considerations into policies, programmes and investments in the food, agriculture, fisheries and forestry sectors, including the implementation and monitoring of political outcomes of the ICN+21 together with countries and partners.

Organizational Outcome 2: Member countries and their development partners adopt and implement evidence-based and inclusive governance mechanisms for eradicating hunger, food insecurity and malnutrition.

36. Enacting policies towards the eradication of hunger, food insecurity and malnutrition requires that the interests of the poor, the most vulnerable and the marginalized are adequately represented in the policy process so as to ensure that their needs and concerns are addressed, that progress is monitored, policies are updated on the basis of lessons learned and that decision-makers and other stakeholders are held accountable for the achievement of the objectives and targets agreed upon.

37. Global, regional, national and local governance mechanisms in relation to the agriculture, forestry, fisheries and other relevant sectors should provide adequate space for meaningful and active participation of civil society, private sector, as well as producer and consumer organizations, especially making sure that the interests of the poor and voiceless are heard. Due links are to be ensured with the governance mechanisms pertinent to other SOs and in particular SO5 aimed at building resilience to crises and ensuring linkages between relief, rehabilitation and development programmes.

Output 2.1: Member countries and development partners strengthen the enabling environment for evidence-based and inclusive governance of food security and nutrition respectful of human rights principles.

38. This output will be achieved through the following priority services:

- a) advocate for, and promote the development of governance systems which include effective participation of all relevant stakeholders at all levels with a view to supporting implementation of national, regional and international instruments, policies and agreements relevant to hunger, food insecurity and malnutrition. International instruments and agreements include, but are not limited to: (i) the Voluntary Guidelines to Support the Progressive Realisation of the Right to

Food and on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security; and (ii) Responsible Agricultural Investment, as well as the Agenda for Action for Food Security in Countries in Protracted Crises;

- b) promote and technically support various global, regional and country-level partnerships and alliances against hunger and malnutrition, based on principles of participation and engagement similar to the ones applied to the renewed CFS. This encompasses, among others, participation in REACH, UN Joint Programming, the G8 New Alliance for Food Security and Nutrition and other initiatives;
- c) promote stakeholder dialogue and support the development of the institutional and legal frameworks that provide a sustainable basis for evidence-based and inclusive governance of food security and nutrition at all levels, and in line with human rights principles. Such dialogue should bring together different sectors (e.g. agriculture, livestock, forestry, fisheries, nutrition, education, social welfare, health, etc.) and take place at various stakeholders (public and private sectors, civil society, development agencies), and different levels (global, regional, national and local).

Output 2.2: The systems and the organizational and human resource capacities of member countries and development partners are strengthened in support of evidence-based and inclusive food security and nutrition governance.

39. The scope is to ensure that, besides having the required institutional and legal frameworks in place, the systems, organizational and human resource capacities are in place so that food security and nutrition governance mechanisms are functional and sustainable. This output will be achieved through the following priority services and activities:

- a) promote dialogue on, and provide a neutral forum for sharing lessons learned and good practices related to food security and nutrition governance in different social, cultural and institutional contexts, including through various FAO-led or supported conferences and committees, South-South cooperation and other knowledge sharing mechanisms;
- b) a systematic review, and regular monitoring of countries' capacities in terms of existing systems, organizational and human resources should serve to identify and fill capacity gaps by way of the systems' inclusiveness, the extent to which decision-making is evidence-based, firmly rooted in food security and nutrition objectives, and human rights principles are respected. Such a review and the resulting capacity development efforts will cover all aspects of governance, including: high-level political governance, intersectoral and stakeholder technical coordination, as well as grassroots governance through systems that provide local people with voice, space for participation, and tools to monitor and hold government and development partners accountable for their decisions and actions towards hunger eradication.

Organizational Outcome 3: Member countries and their development partners formulate, implement, monitor and evaluate policies, programmes, investments and legislation to eradicate food insecurity and malnutrition.

40. In addition to raising levels of political commitment and strengthening governance mechanisms, stakeholders at all levels need to ensure that their policies, programmes, investments and legislation contribute in a more purposeful and concrete manner to the eradication of hunger, food insecurity and malnutrition. In practice this means that decision-makers need to review the portfolio of relevant sector and cross-sector policies, programmes, investments and legislation from a food security and nutrition perspective. This will allow coherence, comprehensiveness and relevance of the portfolio of actions. Hence, policies, programmes, investments and legislation in the agriculture, natural resources, fisheries and forestry sectors, and the food system as a whole, will be designed in such a way as to reinforce and complement actions in the social, education, health and other relevant sectors. Ultimately, this will lead to improved availability, access and consumption of safer, more adequate and healthy diets. Such a coordinated and comprehensive approach is essential for addressing the multiple causes and manifestations of malnutrition, i.e. undernutrition, obesity, and micronutrient deficiencies.



41. This Organizational Outcome involves a strong dimension of capacity building, for mainly national and regional stakeholders and use of gender-disaggregated data, information and knowledge for the development, implementation, monitoring and evaluation of a comprehensive, coherent and results-oriented set of sector and cross-sector policies, programmes and investments aimed at eradicating hunger, food insecurity and malnutrition.

Output 3.1: Member countries and development partners have the capacity to develop and implement a coherent, comprehensive and results-based portfolio of sector and cross-sector policies, programmes, investments and legislation to eradicate hunger, food insecurity and malnutrition.

42. FAO will render the following priority services:

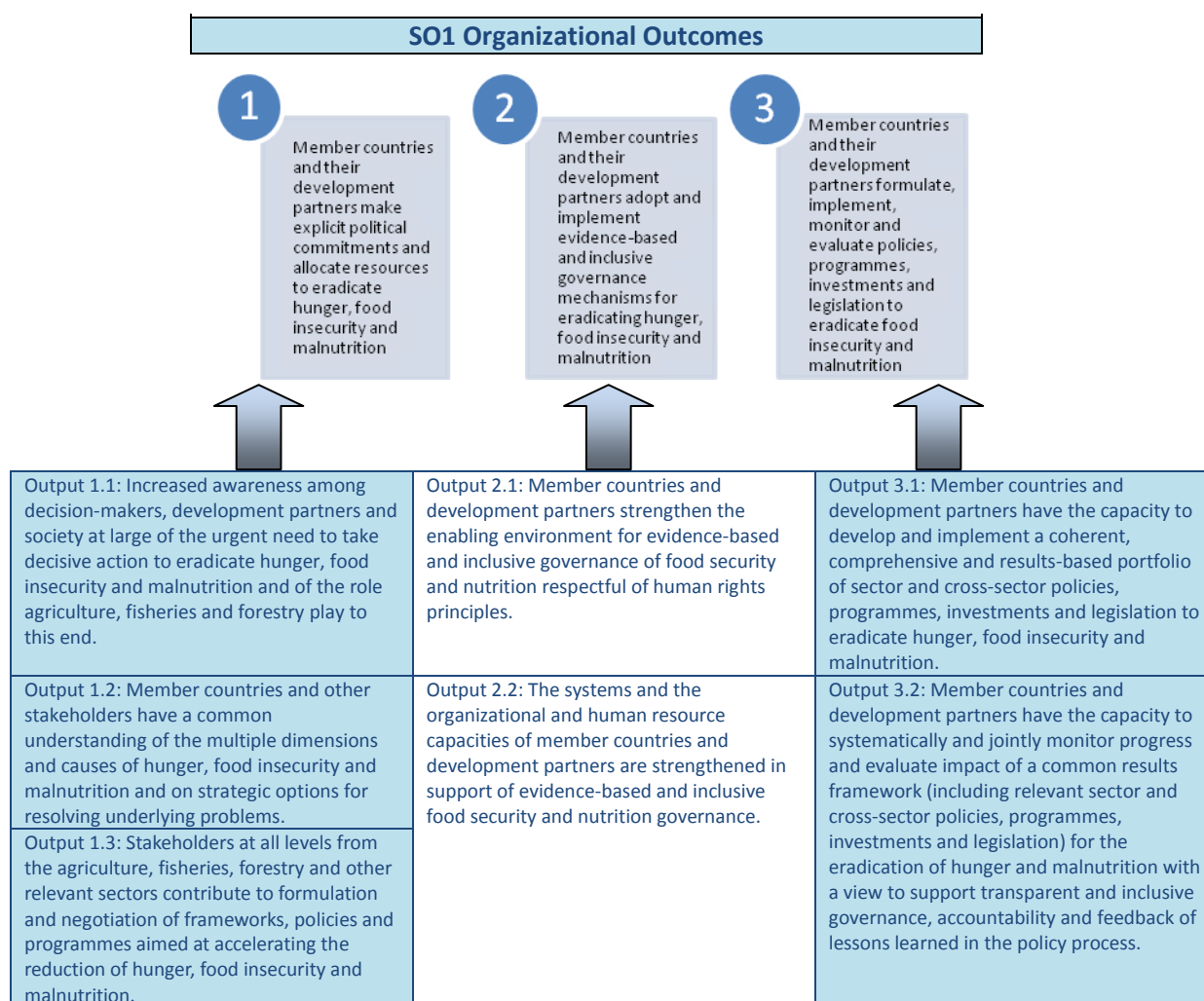
- a) use evidence, sound analysis and advocacy to communicate and actively promote commitment to a set of policies and actions among all relevant stakeholders in government, civil society, private sector and development partners;
- b) actively support, and contribute to the assessment of institutional, organizational and human capacities needed in order to put in place and implement policies and programmes to eradicate hunger, food insecurity and malnutrition;
- c) develop capacity among stakeholders for carrying out analyses of the existing portfolio of policies, legislation, programmes and investments; and putting in place a results and accountability framework owned by government and development partners which will promote alignment of decisions and actions to country priorities and goals, monitoring progress and assessing the progressive realization of anticipated impact on food security and nutrition;
- d) develop capacity among government entities, civil society and development partners for the implementation of a common results framework for the eradication of hunger and malnutrition. Capacity development will focus on filling gaps in human resource, organizational and institutional capacities at regional and country levels, making strategic use of South-South cooperation and other forms of collaboration between countries, UN agencies, International Financing Institutions and other development partners; and
- e) promote dialogue and provide a neutral platform for sharing of lessons learned and good practices through evaluations of relevant policies, programmes, investments and legislation; this should benefit all stakeholders within and across countries and regions, e.g. in the context of FAO-led and supported Committees and Conferences, South-South cooperation programmes and knowledge sharing fora (like the Global Forum on Food Security and Nutrition) and thematic networks.

Output 3.2: Member countries and development partners have the capacity to systematically and jointly monitor progress and evaluate impact of a common results framework (including relevant sector and cross-sector policies, programmes, investments and legislation) for the eradication of hunger and malnutrition with a view to support transparent and inclusive governance, accountability and feedback of lessons learned in the policy process.

43. FAO will render the following priority services:

- a) develop government and stakeholder capacity for undertaking consensus-based assessments and regular monitoring of commitments to eradicate hunger, food insecurity and malnutrition; essential elements to be assessed include:
  - i. gender-sensitive sector and cross-sectoral policies, programmes and legal frameworks;
  - ii. allocation of human and financial resources commensurate with needs;
  - iii. inclusive governance and coordination mechanisms;
  - iv. systems that support evidence-based decision-making and learning;

- b) support institutional frameworks and organizational and human resource capacities among stakeholders at all levels to:
- i. systematically assess the food security and nutrition situation and its determinants;
  - ii. track and map actions, actors and resource flows in support of food security and nutrition;
  - iii. monitor and evaluate the impact of policies, programmes, investments and legislation on food security and nutrition;
  - iv. facilitate open access among stakeholders to data, information and knowledge generated through the above assessment, mapping and evaluation activities;
  - v. promote shared understanding of data, information and knowledge generated to ensure wide use in relevant decision-making processes; and
- c) promote harmonization of: improved systems, methods, tools and standards for assessing country and stakeholder commitment and capacity; tracking and mapping of actions, actors and resource flows; monitoring progress and evaluating impact of sector and cross-sector policies, programmes, investments and legislation.



### Indicators and targets

44. Consistent with SO1's aim and strategy, the purpose of the SO1 monitoring framework is to assess how the food security and nutrition situation of people and households has changed as a result of increased commitment and improved capacities of government and development partners to eradicate hunger, food insecurity and malnutrition.

45. The contribution that FAO will make together with its partners to raise levels of commitment and improve capacities will be assessed through a set of 16 key indicators. The indicators will be aggregated into four main indexes designed in such a manner so as to succinctly capture: (i) the adequacy of the existing policy, programme and legal framework for food security and nutrition; (ii) the extent to which allocation of resources is commensurate with needs; (iii) the adequacy of food security and nutrition governance, including through inclusive stakeholder coordination mechanisms and partnerships; and (iv) the degree to which decision-making is evidence based. Gender and governance specific indicators and criteria have been mainstreamed into each of the four indexes.

46. Data for the selected indicators will be obtained from existing secondary data sources and through country surveys, whereby the baseline will be established in 2013. Targets will be set at the level of the indexes and will refer to desired changes in a sample of countries which are high priority in terms of the depth and extent of the existing problems and the role that FAO is expected to play together with its partners in view of its specific comparative advantages and core functions. The baselines and targets included at this point in time only cover countries in the Africa Region. In the next few months work on setting baselines and target for Asia and America Latina regions will continue.

<b>Strategic Objective 1: Contribute to the eradication of hunger, food insecurity and malnutrition</b>				
<b>SO level indicators (and source)</b>				
1.1. Prevalence of stunting ( <i>WHO</i> )				
1.2. Prevalence of under-nourishment ( <i>SOFI 2012</i> )				
1.3. Experience of food insecurity score ( <i>Voice of the Hunger survey</i> )				
<b>OO1: Member countries and their development partners make explicit political commitments and allocate resources to eradicate hunger, food insecurity and malnutrition</b>				
<b>OO</b>	<b>Indicator</b>	<b>Baseline (Average Score of all sample countries in the Africa target group)</b>	<b>Target (end 2015) (preliminary)</b>	<b>Target (end 2017) (preliminary)</b>
<b>1.1</b>	% of target countries with medium-high/high stunting prevalence (16 in Africa) that have improved their commitment in the form of sound policies, programmes and legislation	0 (on a scale of 1 to 4, on average countries in the selected sample score 3.1 equivalent to a medium high level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
<b>1.2</b>	% of target countries with low/medium-low stunting prevalence (5 in Africa) that have improved their commitment in the form of sound policies, programmes and legislation	0 (on a scale of 1 to 4, on average countries in the selected sample score 3.0 equivalent to a medium high level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
<b>1.3</b>	% of target with medium high/high stunting prevalence (16 in Africa) countries that have improved their commitment in the form of resource allocation towards food security and nutrition	0 (on a scale of 1 to 4, on average countries in the selected sample score 1.9 equivalent to a low level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level

1.4	% of target with low/medium-low stunting prevalence (5 in Africa) countries that have improved their commitment in the form of resource allocation towards food security and nutrition	0 (on a scale of 1 to 4, on average countries in the selected sample score 2.5 equivalent to a medium-low level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
<b>OO2: Member countries and their development partners adopt and implement evidence-based and inclusive governance mechanisms for eradicating hunger, food insecurity and malnutrition</b>				
<b>OO</b>	<b>Indicator</b>	<b>Baseline</b>	<b>Target (end 2015)</b>	<b>Target (end 2017)</b>
2.1	% of target countries with medium-high/high stunting prevalence (16 in Africa) that have improved their governance mechanisms for eradicating hunger, food insecurity and malnutrition	0 (on a scale of 1 to 4, on average countries in the selected sample score 2.7 equivalent to a medium-low level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
2.2	% of target countries with low/medium-low stunting prevalence (5 in Africa) that have improved their governance mechanisms for eradicating hunger, food insecurity and malnutrition	0 (on a scale of 1 to 4, on average countries in the selected sample score 3.2 equivalent to a medium high level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
<b>OO3: Member countries and their development partners formulate, implement, monitor and evaluate policies, programmes, investments and legislation to eradicate food insecurity and malnutrition</b>				
<b>OO</b>	<b>Indicator</b>	<b>Baseline</b>	<b>Target (end 2015)</b>	<b>Target (end 2017)</b>
3.1	% of target countries with medium-high/high stunting prevalence (16 in Africa) that have improved their evidence-based processes to formulate, implement, monitor and evaluate policies and programmes	0 (on a scale of 1 to 4, on average countries in the selected sample score 1.8 equivalent to a low level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
3.2	% of target countries with medium-low/low stunting prevalence (5 in Africa) that have improved their evidence-based processes to formulate, implement, monitor and evaluate policies and programmes	0 (on a scale of 1 to 4, on average countries in the selected sample score 1.6 equivalent to a low level)	50% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level	100% of countries at a level lower than 4 (the maximum score on a scale of 1 to 4) have improved by 1 level
Stunting and undernourishment prevalence levels: more than 40% = high; between 30 and 40% = medium-high; between 30 and 20% = medium-low; below 20% = low				

### *Regional Initiative (SOI)*

#### **The 2025 Hunger Free Latin America and the Caribbean Initiative**

47. Under this initiative, the common goal of the countries in the region was reaffirmed at the FAO Regional Conference (2012), i.e. to eradicate hunger by 2025. The Regional Office for Latin America and the Caribbean (RLC) provides the technical secretariat to the initiative. The Regional Outcomes and Outputs are:

- a) member countries reaffirm their political commitment to eradicate hunger, food insecurity and malnutrition through: Parliamentary Fronts Against Hunger formed, strengthened and articulated with governments and civil society to develop legal frameworks in favour of food security and nutrition, and the Parliamentary Front Against Hunger of Latin America and the Caribbean consolidated within the framework of supranational parliamentary structures like PARLATINO (Latin American Parliament);
- b) governments in the region, parliamentarians and civil society have strengthened dialogue and technical capacities to develop governance and coordination mechanisms on issues related to

food security and nutrition through food security and nutrition initiatives from regional integration bodies (SICA, CARICOM, UNASUR, CAN) coordinated under the Community of Latin American and Caribbean States (CELAC), and Latin American and Caribbean participation reinforced in the Committee on World Food Security; and

- c) member countries in the region have institutions, strategies and programmes that are better prepared to address the intersectoral nature of food security and nutrition through: alliances and partnerships in priority countries strengthened around focalized actions in existing national policy frameworks; and a regional information platform on public policies for food security and nutrition for the use of countries in the region to facilitate South-South cooperation and to improve technical assistance.

*Strategic Objective 2: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner*

**Context and rationale**

48. The world's population is predicted to increase to 9 billion by 2050, with Africa alone reaching 2 billion by that date. Enormous social, economic and environmental forces will influence this more populous future, with many unknowns. However, a world free of hunger requires substantially increased production to meet rising demand and a transition to more sustainable agricultural sectors<sup>1</sup> in all their forms. The needed growth and improvement in the agricultural sectors implies innovative approaches which benefit people and conserve the natural resource base. Growth in the agricultural sectors is also the most effective means of reducing poverty and achieving food security in most countries. It requires the effective participation of smallholders, women, men, indigenous peoples and disadvantaged or marginalized groups.

49. FAO and its Member Nations face an unprecedented challenge: achieving much needed improvements in the agricultural sectors and in the management of natural resources upon which they depend; feeding a growing population; and providing a springboard for reducing poverty and food insecurity. In the past, strategies for agricultural development have tended to focus on maximizing production, with insufficient regard to post-harvest losses, to damage caused to the natural resource base, to other ecosystem goods and services or to sustainable consumption. These ecosystem services contribute to efficiency and resilience across crop, livestock forest and fishery systems, as well as delivering significant environmental, livelihood and social benefits.

**Main factors underpinning the design of SO2**

50. The design of SO2 is innovative because of its emphasis on: (i) the integration of FAO's work relating to the three "pillars" of sustainable development (environmental, economic and social); and (ii) ways to generate the needed wide-scale transition to more sustainable practices. This scope also reflects the outcome of the RIO+20 conference, and the contribution of the agricultural sectors to the concept of sustainable production and consumption. Other key factors taken into account are summarized below.

*Scarcity and degradation of the natural resource base*

51. Some of the highest population growth is predicted in areas which are highly dependent on the agriculture sectors and already have high rates of food insecurity. At the same time, competition over natural resources is expected to grow, driven by expanding and intensifying agricultural sectors, but also by growing urban and industrial demand for natural resources. Scarcity issues will be further accentuated by climate change, particularly in already disadvantaged areas. In many places this is leading to exclusion of traditional users from access to resources and to markets.

*The importance of ecosystem services and biodiversity*

52. Understanding and applying the concepts of sustainability in the agricultural sectors is critical for increased provision of goods and services. The first FAO report on the State of the World's Land and Water Resources for Food and Agriculture<sup>2</sup> identified major agricultural production systems at risk and advocated for a paradigm shift towards sustainable agriculture. More research needs to be done to better understand the role ecosystem services can play in improving agricultural sector production systems, or where possible "tipping points" of ecosystem functions may occur. In addition, means to assess and capture the value of ecosystem services (e.g. from forests) in agricultural sector production systems, for a range of other livelihood benefits and for long-term environmental sustainability need to be further developed.

---

<sup>1</sup> The term "agricultural sectors" in the document covers crops, livestock, forestry, capture fisheries and aquaculture.

<sup>2</sup> SOLAW FAO 2011

*Impacts of climate change and migration*

53. The agricultural sectors are a major contributor to climate change, but are also enormously impacted by it. They directly produce greenhouse gases and use significant amounts of energy derived from fossil fuels. Climate change is likely to affect the resilience of production systems and their dependent communities; it is also a factor in natural resource degradation. Temperature increase, modified precipitation regimes and increased frequencies of extreme events are expected to become more severe in future decades. At the same time, the agricultural sectors, offer significant potential to address climate change challenges.

54. Migration is a further complicating factor. Fundamental social and demographic changes in rural areas are already having an impact on the labour available for production in many countries. Movement of people can be triggered by poverty, food insecurity, inequality, lack of wage-earning opportunities, climate and increased competition for scarce land and water resources.

*New threats*

55. Besides the consequences of environmental change including climate change, increasing movement of people and goods, and changes in underlying production practices, give rise to new threats from pathogens (such as highly pathogenic avian influenza) or from invasive species (such as tephritid fruit flies). These have an impact on food safety, human health and the productivity of systems, which may be compounded by inadequate policies and technical capacities, putting whole food chains at risk.

*Weaknesses in governance and policy-making*

56. While international agreements and instruments have the potential to significantly improve natural resource management, experience to date proves that they are rarely implemented fully. The policy agenda and governance instruments for production on the one side, and for resource conservation on the other, are often disjointed. This is compounded by the fact that the limits of ecosystems and/or landscapes rarely coincide with administrative boundaries.

*Need to deal with a broad variety of local situations*

57. The nature and extent of the above challenges vary according to the particular production systems, which in turn are conditioned by local agro-ecological and socio-economic conditions. This calls for adaptation of effective solutions (there is no “one-size-fits-all” approach). In this connection, it may be useful to recognize three types of systems:

- a) intensive systems and landscapes for the production of goods (small- to large-scale irrigated and rain-fed systems, aquaculture, forest plantations and semi-natural forests, etc.) in both developed and developing countries. Here, the key challenges are natural resource depletion and degradation and associated cost increases, as well as high levels of related pollution:
- b) extensive (lower external input) production systems and landscapes, often the home to producers achieving low and unstable returns to production, disadvantaged by lack of access to resources for improving production and reducing resource degradation; and
- c) wild systems (such as fisheries) and areas with a focus on the provision of other ecosystem services (not related to food) including amongst others, ecosystems such as natural forests, grasslands, wetlands, some ocean and other aquatic areas and tundras. Competing uses pose a major challenge to these areas.

*Need for a dynamic process of innovation*

58. Sustainability must be treated as a process of continuous improvement, rather than a singularly defined end point to be achieved. This in turn, requires the development of technical, policy, governance and financing frameworks that support producers across the agricultural sectors and resource managers engaged in a dynamic process of adaptive management, innovation and continuous improvement.

### *Four guiding principles*

59. Four key principles for guiding new approaches to improving agricultural sector production systems may be derived from the above contextual analysis:

- a) increasing resource use efficiency, i.e. in order to achieve higher productivity with reduced levels of inputs, while minimizing negative externalities;
- b) management of ecological, social and economic risks associated with agricultural sector production systems, including pests, diseases and climate change;
- c) identifying and enhancing the role of ecosystem services, particularly in terms of their effects on resource use efficiency and response to risks, as well as their contribution to environmental sustainability; and
- d) facilitating access to needed information, including on technologies.

### **Action Plan**

60. Broadly speaking, achieving intended outcomes under this Strategic Objective will require work primarily in four areas:

- a) supporting the development, sharing and adaptation of locally-relevant technologies and approaches with a range of partners, concentrating on addressing economics, institutional and financing barriers to the adoption at larger scale;
- b) enabling frameworks for economically-, socially- and environmentally-sound production systems that embody resource use efficiency, diversification, climate change adaptation and mitigation, ecosystem services and accessibility;
- c) strengthening international and national governance mechanisms and instruments relevant to sustainable resource use, with particular emphasis on their feasibility and the capacity of developing countries to participate in them; and
- d) capacity building to access and use evidence to support policy and planning decisions.

61. In this respect, four Organizational Outcomes have been formulated:

- a) producers and natural resource managers adopt practices that increase and improve the provision of goods and services in agricultural sector production systems in a sustainable manner;
- b) stakeholders in member countries strengthen governance – the policies, laws, management frameworks and institutions that are needed to support producers and resource managers - in the process towards greater sustainability of agricultural sector production systems;
- c) stakeholders develop, adopt and implement international governance mechanisms and related instruments (standards, guidelines, recommendations etc.) needed to improve and increase provision of goods and services in agricultural sector production systems in a sustainable manner; and
- d) stakeholders make evidence-based decisions in the planning and management of the agricultural sectors and natural resources to support the transition to sustainable agricultural sector production systems through monitoring, statistics, assessment and analyses.

62. These outcomes – though ambitious - will benefit from FAO's privileged access to relevant policy-makers across the agricultural sectors from local to global level. FAO needs to build the capacity to facilitate the necessary large-scale transition to more sustainable approaches with its widespread expertise – across disciplines, and between countries and regions – and to inform the strategic decisions of key policy-makers. FAO also has extensive experience in integrating natural resources management considerations into overall strategies for food security and nutrition, poverty reduction and rural development.



**Box 1: Developing a shared vision of what “more sustainable” looks like**

A prerequisite for success under SO2 is that FAO and its partners must be clear on what is meant by sustainability in the agricultural sectors and how widely agreed strategies for continuous improvement in sustainability can be developed and implemented at different scales. The focus will need to be on accelerated innovation in practices and policies, and creating incentives for increasing investments in sustainability.

Developing and implementing sustainability strategies relies on an inclusive governance process that involves policy-makers, researchers, producers, civil society and development partners. In particular, this shared understanding should address conflicting objectives and trade-offs in the agricultural sectors

For instance, maximizing production, reducing emissions, improving water quality or restoring ecosystem services at different scales (production unit, watershed, landscape, national, regional, global) need to be reconciled. So a shared definition of sustainability needs to incorporate economic and social dimensions, as well as environmental considerations. This conceptual work must also identify and assess the possible pathways towards a more sustainable future.

Overall, what is needed is a thorough assessment of practices (including technologies and policies) for the three dimensions of sustainability in order, jointly with partners, to develop a vision of sustainability in agricultural sector production systems. This vision will need to be periodically updated and refined as more data and experiences become available.

This will result in the development of methodologies by which decision-makers can define their production and natural resource use priorities, and make multidisciplinary assessments of the sustainability of the various options available to them. The development of these products will be one of the key focus areas of work under SO2 in the 2014-15 biennium, for implementation during 2016-17.

63. The Organizational Outcomes and their constituent Outputs are elaborated below.

**Organizational Outcome 1:** Producers and natural resource managers adopt practices that increase and improve the provision of goods and services in agricultural sector production systems in a sustainable manner.

64. Attaining this outcome will require adequate national and local capacity to support innovation and investment for enhancing resource use efficiency and management of risks associated with agricultural sector production systems, including the value of ecosystem services. This may be done through improved practices, structural changes at the producer side, or by reducing waste and losses in the production and supply chain. Agriculture sector production systems and food chains face threats from a range of sources (including as a consequence of management decisions).<sup>3</sup> They can be protected through improved design focussing on resource use efficiency, through surveillance, and by measures to improve risk management of systems exposed to climatic, and resource and market variability.

65. Technology, research and development have an essential role to play in providing more sustainable practices for agricultural sector production systems. Local knowledge about the constraints and opportunities on the ground can guide priority setting and enhance technologies, recognising that gender may be a determining factor in whether technologies are adopted. Improving sustainability at the system level and restoring degraded resources will depend on the aggregation of small improvements from a large number of producers and resource managers. This will require robust partnerships between technical and investment-oriented organizations to make this transition happen. Improved monitoring - both directly (through biophysical indicators) and indirectly (through extent of adoption of practices) – is important in order to establish and track the link between outcomes and specific practices.

<sup>3</sup> SO2 covers principally those risks that result from production or resource management decisions at the national level, whereas SO5 is focused on disaster risk management of transboundary threats which are driven by other factors.

**Output 1.1:** Multidisciplinary approaches for developing and implementing strategies made available to decision-makers.

66. Linked to building a widely shared vision of sustainability in the agricultural sectors, there is a need to facilitate the development and implementation of sustainability strategies at different levels, from local to global. Building such strategies requires the effective involvement and action on the part of all relevant stakeholders. Comprehensive analysis of sustainability issues, underlying drivers, conflicting objectives and trade-offs will help identify opportunities for innovation and investment.

67. Such strategies also need tools that allow decision-makers to make multidisciplinary comparisons of the sustainability of the different approaches they face. This output involves the documenting and testing of methodologies, and their use to assist with production planning. The aim is to reconcile environmental, economic and social objectives and to examine the “trade-offs” which exist between different patterns of natural resource use.<sup>4</sup>

**Output 1.2:** Innovative production systems and management practices which restore, improve and increase sustainable provision of goods and services, are identified, developed, tested, and widely shared.

68. This will involve partnering with national and international institutions to stimulate the development and piloting of more sustainable management practices. Institutional reforms and targeted policies may be needed to stimulate the use of more efficient practices, suited to local contexts. Traditionally, partners for this work have included the global research community, national research institutions, and the centres of the CGIAR. New partners could include rural advisory services, farmers’/fishers’/foresters organizations, the private sector and civil society. Beyond adaptive research, work will also include the analysis of long-standing systems, such as globally important agricultural heritage systems, as a source of lessons for sustainability.

**Output 1.3:** Programmes and policies enable producers and natural resource managers to better identify and adopt practices that support improved and increased sustainable production of goods and services, and address climate change.

69. To adopt new practices, producers and resource managers need to know what to do differently, and have the means to do so:

- a) “having the know-how” requires the delivery of effective extension services, mobilizing producers and resource managers to change their management approaches. Participatory approaches (such as farmers’ field schools or co-management of resources) have been the most successful means of introduction, and scaling up, of new technologies and approaches;
- b) “having the means” implies the existence of a dynamic input sector which can provide everything from seeds and other inputs, to investment and financial services in support of new and more sustainable practices.

70. FAO would concentrate on supporting good programme design and management, including risk management, rather than on large scale programme delivery. However, some field level pilot work will be needed to evaluate and validate the advice being given on implementation of practices and approaches.

**Output 1.4:** Support for strengthened systemic, institutional and individual capacity to promote innovation for continuous improvement in the production of goods and services in agriculture sector production systems.

71. For change to be sustained, there is a need to develop the capacity of key institutions to provide support. Pluralistic extension services will increasingly draw on a wide range of service providers and partners. Investment is needed in developing capacity in producer organizations and cooperatives, and in supporting input sectors (including equipment and financial services). FAO would

---

<sup>4</sup> Here, sustainable use of resources and sustainable diets provide an intersection with the work on nutrition under SO1.

develop tools to assist capacity development at each level, in line with the multidisciplinary approaches defined above (1.1).

Organizational Outcome 2: Stakeholders in member countries strengthen governance – the policies, laws, management frameworks and institutions that are needed to support producers and resource managers - in the transition to sustainable agricultural sector production systems.

72. Governance is defined as the formal and informal rules and processes through which public and private stakeholders articulate their interests, and decisions are made, implemented and sustained in different jurisdictions and at different levels. The scope of governance-related work under SO2 is primarily to focus on areas where governance arrangements have a direct bearing on the implementation of more sustainable production and national resource management practices at scale.

73. Governance (policies, laws, management frameworks and institutions) is needed that values the contribution of natural resources in the agricultural sectors in a coherent manner. There are a range of policy options which can support this, from providing incentives for the adoption of sustainable practices, to the imposition of regulations and financial penalties for actions that deplete or degrade natural resources. In some cases, the context is set by an international agreement.

74. For policies to be accompanied by concrete implementation on the ground improved governance “performance” - in terms of efficient and effective delivery of services, participation, accountability, equity and transparency – is required. This in turn requires legal and institutional reforms to ensure compliance with policies and commitments and enforcement. Support is to be provided to countries to assess their performance and monitor progress. This can be done using a governance measurement/tracking tool, based on factors which have a bearing on sustainable natural resource use and increased production of goods and services from agriculture, fisheries and forestry.

Output 2.1: Countries performance in governance assessed and/or monitored.

75. FAO would help countries to assess and/or monitor their own performance in governance where it relates to the adoption of more sustainable approaches to production and natural resource management. The purpose would be to help design activities to improve in targeted areas. These assessments and/or monitoring activities may include different aspects of policies and legislation and/or their implementation, as well as factors such as effectiveness, efficiency and accountability of institutions, transparency and participation, which are regarded as elements that contribute to the adoption of new approaches at scale by producers and resource managers. The lack of guaranteed continued and equitable access to resources (a key element within governance) is often correlated with unsustainable use of those resources.<sup>5</sup> Governance measurement methods and tools such as tracking tools, scorecards, legal and policy databases, as well as analytical tools and mechanisms may be developed, maintained and used to facilitate assessments and monitoring and/or strengthen related systems.

Output 2.2: National policies and laws are adapted which support transition to more sustainable production systems.

76. Based on review of ongoing work with Member States, FAO would provide policy and legal support for the transition to more sustainable production. In addition, FAO would provide more general guidance materials based on the practical conclusions of assistance activities in this area.

Output 2.3: National institutions are strengthened to improve governance in support of the transition to more sustainable production systems.

77. FAO would also work to strengthen institutions with a role to play in governance in support of more sustainable production systems. This involves promoting stronger intersectoral coordination mechanisms for better coherence of both production and protection objectives, and enhancing the effectiveness of multisectoral management approaches and institutions.

---

<sup>5</sup> This is an area common to SO2 and SO3. For SO2 the focus is specifically on how (e.g. lack of land tenure may have an impact on sustainability). SO3 focuses on access to resources more generally.

Organizational Outcome 3: Stakeholders develop, adopt and implement international governance mechanisms and related instruments (standards, guidelines, recommendations, etc.) which are needed to improve and increase provision of goods and services in agricultural sector production systems in a sustainable manner.

78. FAO would support international governance mechanisms related to: (i) sustainability objectives in agricultural sector production systems; and (ii) the equitable sharing of benefits from natural resources (land, water, generic resources and biodiversity).<sup>6</sup> It will provide critical information, data and analysis to intergovernmental and multistakeholder processes which target sustainability, and in a number of cases provide secretariat services. As to international instruments championed by other agencies, FAO will continue to ensure that agricultural knowledge and concerns are duly reflected, and support countries' efforts to participate in the associated processes.

79. This outcome builds upon the combined role of FAO as neutral forum and centre of excellence in promoting and facilitating dialogue on treaties, codes and guidelines in support of sustainable growth. Examples of binding instruments include:

- the International Treaty on Plant Genetic Resources for Food and Agriculture
- the Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing
- the International Plant Protection Convention (IPPC)

80. This work also includes the formulation, agreement and implementation of non-binding instruments such as codes, global reference points, guidelines and principles, including:

- Codex Alimentarius
- International Code of Conduct on the Distribution and Use of Pesticides
- Global Agenda of Action in support of Sustainable Livestock Sector Development
- Global Plans of Action (GPA) for animal and plant genetic resources
- Code of Conduct for Responsible Fisheries
- Voluntary Guidelines on the Responsible management of planted forests
- Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security
- Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan

81. In addition to the instruments listed above, FAO provides for a for discussion through the Committee on Fisheries (COFI), the Committee on Forestry (COFO), the Commission on Genetic Resources for Food and Agriculture (CGRFA) and the International Poplar Commission (IPC).

82. As regards international instruments championed by other agencies, FAO will continue to ensure that agricultural knowledge and concerns are duly reflected, and provide technical support to countries on participating in the relevant processes of the Convention on Biological Diversity, the UN Framework Convention on Climate Change, and the Convention on Combating Desertification.

83. At national level, there will be a need to strengthen countries' capacity to become better involved in international governance mechanisms and instruments, to ensure that they are better informed and that their concerns and circumstances are addressed, thereby easing the implementation of resulting agreements. Although this work is primarily at national level, there are cases where implementation and capacity development has a regional dimension.

---

<sup>6</sup> There is a point of intersection with SO 4; some of the binding agreements listed facilitate global arrangements for trade, etc. However, interest under SO 2 is principally in so far as these agreements have a bearing on sustainability of the use of natural resources

84. FAO would also actively support and monitor the translation of agreed binding and non-binding instruments into national policy and legal frameworks, and the subsequent implementation of these at national level.

Output 3.1: Support to ensure the provisions of international instruments (both binding and non-binding) are translated into national policy and legal frameworks.

85. FAO would provide technical assistance in the translation of international instruments into national and regional policy and legal frameworks, and to develop generic guidance documents based on practical experience associated with this technical assistance.

Output 3.2: Support to the implementation of national and regional policy and legal frameworks relating to international commitments.

86. FAO would provide guidance on the effective implementation of binding and non-binding instruments, and the monitoring of their impact on the ground. This involves helping countries to develop system-wide, institutional and individual capacity to 'operationalize' commitments and to implement regulations effectively.

Output 3.3: International agreements, instruments and partnerships in support of sustainable growth in agricultural sector production systems are actively supported by Members.

87. This output aims at strengthening the level of commitment by member countries to FAO bodies and processes. Commitment can translate in various ways, including by effective attendance at meetings by as wide a range of parties as possible. Possible criteria for measuring commitment could be captured in a scorecard. FAO has actively supported effective participation of member countries in these processes and supports delegates to make sure that national concerns are heard and incorporated in discussions. This requires adequate preparation and planning, and must build on the technical capacity of key individuals on the subjects covered by the agreement. Under this output, FAO will support initiatives to build and monitor enhanced participation, while noting that the meaning of the term "enhanced" will differ according to the agreement concerned. In addition, it includes the large number of international partnerships that have been established by FAO or in which FAO participates.

Organizational Outcome 4: Stakeholders make evidence-based decisions in the planning and management of the agricultural sectors and natural resources to support the transition to sustainable agricultural sector production systems through monitoring, statistics, assessment and analyses.

88. Achieving this outcome will draw on FAO's work to: create a solid conceptual and analytical framework for assessing the process of transition to more sustainable practices; generate evidence (data, information, analysis) to support key indicators of resource use efficiency and resilience; and identify (potential) resource use competition. This outcome depends on adequate measurement, in particular addressing the challenges relating to stocks and utilization rates of natural resources at the right level, reflecting ecosystem boundaries.

89. Data and statistics, geospatial information and maps, and qualitative information are needed to underpin this analysis, including on: the extent, quality, use and productive capacity of land, water, genetic resources and biodiversity, forests, oceans and inland waters; and the impacts of agricultural sector production systems on these resources. FAO will facilitate and participate in processes for data collection, using agreed definitions and metrics for the various dimensions of sustainability, and help develop analyses of global and regional trends.

90. However, the availability of information is a necessary, but not sufficient condition for better evidence-based decisions. FAO will build capacity for the actual use of the various information tools and products produced and disseminated, and monitor the satisfaction of key user communities with the data and tools provided.

Output 4.1: Information for understanding the status, trends and perspectives for further development of agricultural sector production systems and of resources (land, water, genetic resources and biodiversity), including threats from climate change is produced and disseminated.

91. The scope is to ensure wide availability of comparable data and information. This includes setting standards for information, as well as advocacy, tool/method development, data collection activities and database development to support global data sets.

Output 4.2: Conceptual and analytical tools are available for assessing, planning and managing the sustainable use of natural resources in agricultural sector production systems, including through the conservation or rehabilitation of land, water, genetic resources and biodiversity.

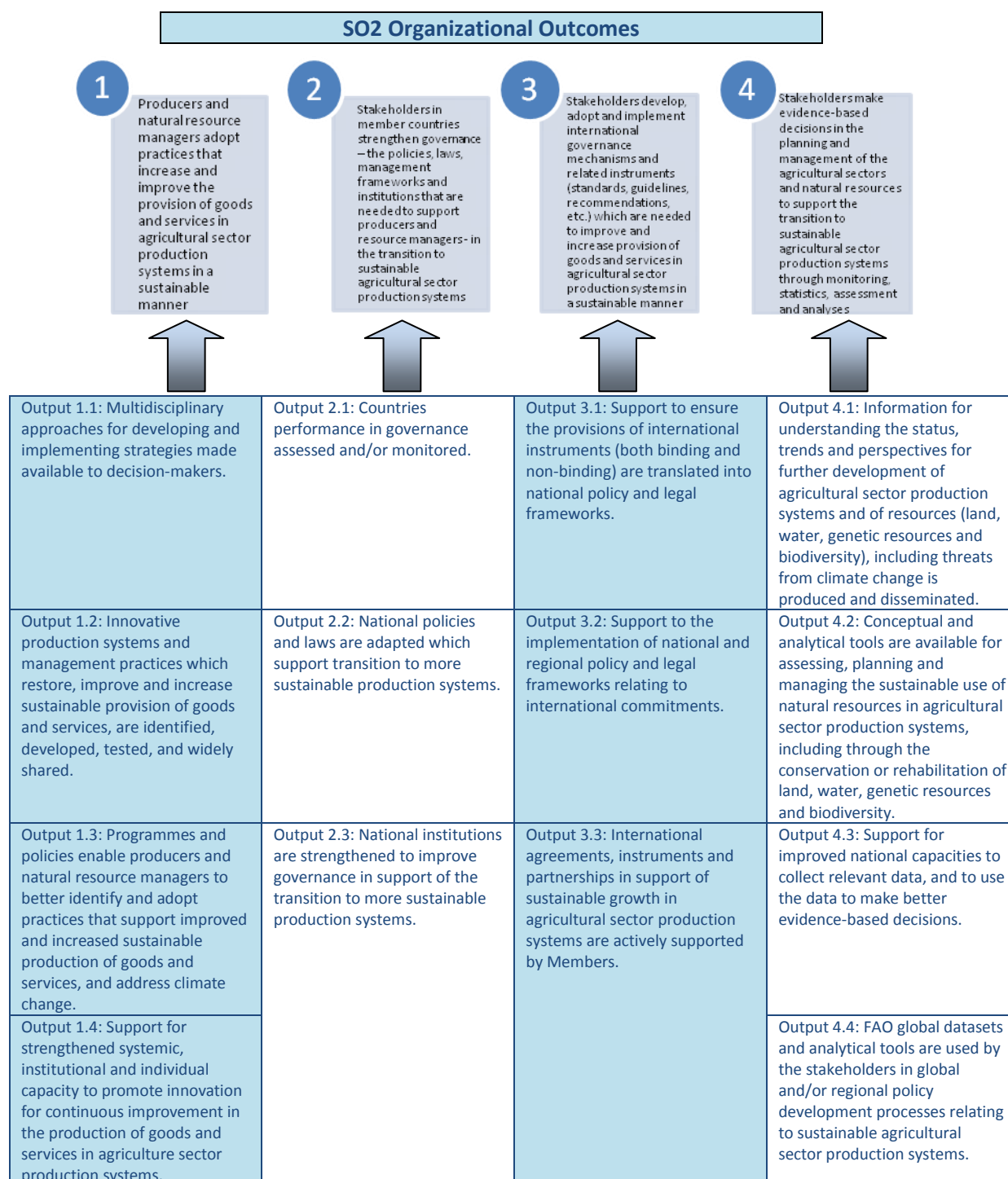
92. New decision support tools are needed to help policy-makers and planners base their projections on the kind of integrated (social, economic and environmental) concerns covered under this Strategic Objective. Tools will also need to help users track pathways and constraints to transition to more sustainable approaches.

Output 4.3: Support for improved national capacities to collect relevant data, and to use the data to make better evidence-based decisions.

93. At the heart of implementation of SO2 is the need to develop country capacity to make decisions relating to sustainable production and natural resource management based on evidence. Countries need to be able to obtain relevant data on production and resource management, to analyse and to assess policy options. Key users need to understand what is possible and be trained in the use of some of the tools produced by FAO and other partners. Recommendations may be formulated in a policy or strategic document based on such analyses, while a measure of the impact of these approaches can be gauged from interaction with key users.

Output 4.4: FAO global datasets and analytical tools are used by the stakeholders in global and/or regional policy development processes relating to sustainable agricultural sector production systems.

94. In many areas FAO data and analysis contributes significantly to global debate on sustainability of agricultural sector production systems. International Finance Institutions, UN agencies and other development partners use FAO data and tools to help prioritise interventions at a range of different scales, within and between subsectors. A specific activity is needed to monitor take-up and use of these FAO information products, and liaise with user panels on any improvements which might boost their utility.



### Indicators and targets

95. The purpose of the monitoring framework for SO2 is to assess progress in the transition towards the sustainable intensification of production through increased productivity and the sustainable provision of goods and services across all agriculture sectors. Consequently, it will measure the development and successful adoption of approaches and tools to assist decision-makers and producers in countries to: (i) define their priorities regarding the sustainable intensification of production; (ii) implement necessary policies and laws; and (iii) use their natural resources within and across their agriculture sector production systems more efficiently.

96. A key challenge in developing the framework is the need to address multiple sectors while bringing together productivity and sustainability in a multidisciplinary manner. The framework, which builds on several areas of work of the Organization, is still very much a work in progress. Its further development and finalization will require the adoption of a dynamic concept of sustainability, valid across the different agriculture sectors, that takes into account social, economic and environmental considerations.

97. The finalization of the framework will involve further elaboration and validation of the Organizational Outcome indicators and their underlying elements. Baselines, sampling and targets will be further developed in the context of the overall approach for monitoring in 2013. Most of this work will be undertaken in 2013 and a final results framework should be available by the end of the year.

<b>Strategic Objective 2: Increase and improve provision of goods and services from agriculture, forestry and fisheries in a sustainable manner</b>				
<b>SO level indicators (and source)</b>				
To be determined				
<b>OO1: Producers and natural resource managers adopt practices that increase and improve the provision of goods and services in agricultural sector production systems in a sustainable manner</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
<b>1.1</b>	Percent of target countries that establish or improve an integrated national strategy for more sustainable production systems and management of natural resources	To be determined	To be determined	To be determined
<b>1.2</b>	Percent of target countries <sup>7</sup> which have implemented or scaled-up systems or approaches (including global important agricultural heritage systems) to foster adoption of sustainable practices; including, watershed management, reduction of emissions, forest and farming management, sustainable production systems, sustainable land and water management, climate change adaptation and mitigation, sustainable livestock management, sustainable focus to agricultural investments.	To be determined	To be determined	To be determined
<b>1.3</b>	Percent of target countries <sup>7</sup> that have strategies to prevent and manage biological risks associated with production and natural resources management systems, including those in support of: animal and public health risk management; pollution prevention from agricultural practices (e.g. over-use of pesticides and fertilizers, pollution from livestock, irrigation, aquaculture, etc.); adoption of phytosanitary standards including forest sanitary measures; pathogen risks – crop and livestock; food safety risks; adoption of biosecurity schemes (aquaculture)	To be determined	To be determined	To be determined
<b>OO2: Stakeholders in member countries strengthen governance – the policies, laws, management frameworks and institutions that are needed to support producers and resource managers - in the transition to sustainable agricultural sector production systems</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
<b>2.1</b>	Percent of target countries that have established or improved national policies, laws and/or institutions that undertake the transition towards improved sustainable production and natural resources management systems	To be determined	To be determined	To be determined
<b>OO3: Stakeholders develop, adopt and implement international governance mechanisms and related instruments (standards, guidelines, recommendations, etc.) which are needed to improve and increase provision of goods and services in agricultural sector production systems in a sustainable manner</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
<b>3.1</b>	Percent of target countries that have integrated the key elements of international binding and non-binding agreements related to improved and increased provision of goods and services into national policy and legal frameworks, including: <ul style="list-style-type: none"> <li>• Voluntary Guidelines on the Responsible Governance on Tenure of Land, Fisheries and Forestry</li> <li>• Global Agenda of Action in support of Sustainable Livestock Sector Development</li> <li>• Code of conduct on pesticides</li> <li>• Animal genetic resources (GPA)</li> <li>• Plant genetic resources (GPA)</li> <li>• Codex (MRLs)</li> <li>• Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing</li> <li>• Code of Conduct for Responsible Fisheries</li> <li>• IPPC</li> <li>• IT - PGRFA</li> </ul>	To be determined	To be determined	To be determined



	<ul style="list-style-type: none"> <li>• Voluntary Guidelines on responsible management of planted forests (VGPF)</li> <li>• IPC (Poplar Commission)</li> <li>• Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan</li> </ul>			
3.2	<p>Percent of countries that have improved implementation of international binding and non binding agreements relating to increased provision of goods and services, including effective participation in international governance processes, including:</p> <ul style="list-style-type: none"> <li>• Committee on Fisheries (COFI)</li> <li>• Committee on Forestry (COFO),</li> <li>• Codex Alimentarius Commission,</li> <li>• Commission on Genetic Resources for Food and Agriculture</li> <li>• International Poplar Commission</li> <li>• IPPC</li> <li>• IT-PGRFA</li> <li>• Forest Law Enforcement, Governance and Trade (FLEGT) Action Plan</li> </ul>	To be determined	To be determined	To be determined
<b>OO4: Stakeholders make evidence-based decisions in the planning and management of the agricultural sectors and natural resources to support the transition to sustainable agricultural sector production systems through monitoring, statistics, assessment and analyses</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
4.1	Percent of countries that have national monitoring systems and/or statistics services providing data and information on natural resources including forest monitoring, fish stock monitoring, agro-environmental statistics, sustainable land management monitoring, genetic resources monitoring, animal disease monitoring, etc.	To be determined	To be determined	To be determined

### *Programmatic Regional Initiative (SO2)*

#### **Rice-based production system in Asia**

98. Small farmers in rice-based farming systems will be the target group in this initiative, bearing in mind that they are responsible for over 80 percent of total production in the region. The initiative will bring attention to the full scope of the goods and services produced by rice agro-ecosystems. It will, in selected countries, contribute to raise awareness among pilot farmer communities and policy-makers of the contribution of ecosystem services to production and sustainability of rice systems. The project will also develop elements to build assessment capacity and to assist policy-makers to assess different feasible production practices, trade-offs and synergies and select the best options within a long-term strategy. Finally, decision-makers in the pilot countries will be empowered to take informed decisions about rice market policy that account for the potential impacts of climate change and the social and cultural value of regional rice systems.

99. The initiative comprises four components: water and rice/fish systems; biodiversity, landscape, and ecosystem services; management practices; and social, economic and policy cross-cutting issues. They will contribute to SO2 Organizational Outcomes 1, 2, and 4 and to the preparation of the Rice Strategy for Asia being developed by FAO in response to the recommendation of the 31<sup>st</sup> session of the FAO Regional Conference for Asia and the Pacific (APRC). A regional workshop will be held in Bangkok in November 2013 to present the initial outcomes of this initiative and incorporate them into the regional priority framework for Asia.

#### **Water scarcity in the Near East**

100. The Near East region has a long history of initiatives that have sought to improve water resources and cropland management practices. Lessons have been learned and can be shared, while there is a critical need to inject fresh thinking into the process of finding sustainable solutions to water scarcity problems. Innovative approaches to water governance will be key, facilitating access to proven and effective water use and management practices.

101. Through a regional collaborative strategy and regional partnerships, the initiative will bring attention to the scope of policies, investments, approaches and practices that are commensurate with sustainable agriculture production under water scarcity conditions, contributing to Organizational

Outcome 1 (Outputs 1.1, 1.2, 1.3, 1.4), 2 (Output 2.1) and 4 (Outputs 4.1, 4.2, 4.3). It will build on the experiences and knowledge of member countries, FAO and other partners active in the field of agriculture water in the region, to identify and highlight priority areas for action by countries which are likely to yield substantial improvements in agriculture water productivity and environmental sustainability. It will also develop a framework for collaboration between member countries and partners in the field of agriculture water management and identify specific gaps where support by these partners is mostly needed.

### *Strategic Objective 3: Reduce rural poverty*

#### **Context and rationale**

102. While there has been a broad decline in poverty worldwide, extreme poverty tends to be concentrated in rural areas and the situation varies greatly between regions and within countries. In 2010, approximately 35 percent of the total rural population of developing countries was classified as extremely poor, down from around 54 percent in 1988. This welcome overall decline is mainly due to a massive reduction in rural poverty in East Asia (where 5 percent of the rural population remains extremely poor). The rural poverty incidence is highest in sub-Saharan Africa (60 percent) followed by South Asia (45 percent). Within each region, some countries have seen more poverty reduction than others. Global trends in terms of climate change, increasing pressure on natural resources (including soils, water, fisheries and forests), demography and migration, are also affecting the distribution of poverty across regions and in both rural and urban areas.

103. Rural poverty is mostly concentrated among households of small-scale subsistence producers and family farmers, fisherfolk, pastoralists, forest-dependent people, the landless poor employed in agriculture and in non-agricultural rural enterprises, and other rural people who are unable to access productive opportunities of any kind (e.g. people with disabilities, seniors). A disproportionately large share of children live in these families. Women are often amongst the most marginalised and need strengthened rights to the natural resources on which they depend.

104. Although the boundaries between them are not clear cut, three broad categories of extreme rural poor can be distinguished:

- a) small producer households and family farmers (including small-scale crop producers, fisherfolk, livestock keepers, forest-dependent people) who have access to some natural resource based activities, but suffer from other constraints affecting their productivity and limiting their incomes;
- b) rural working poor, including wage earners in agriculture, fisheries or forestry and self-employed and wage earners in off-farm activities, who endure precarious employment conditions and low remuneration levels; and
- c) segments of the population who have difficulty accessing both farm and non-farm employment opportunities.

105. Poverty reduction strategies need to recognize the different constraints these categories of workers face in making a decent living.

106. A significant development in recent years is that the share of non-farm income in total rural household income has been increasing in all regions. Most rural households obtain incomes from both farm and off-farm occupations and, depending on the context, also from social transfers and remittances. Beyond having low incomes, the extremely poor in rural areas typically share other disadvantaged characteristics including: social and political marginalization, exclusion and discrimination, low levels of health and education, lack of access to productive assets, and cultural and linguistic barriers, though causes may vary across populations and regions. These inequalities need to be tackled through more inclusive rural development processes promoted through policies that address the income and employment constraints faced by each of the three categories, ensure increased access to infrastructure, energy and basic social services and strengthened social protection mechanisms. Rural poor, and in particular women, need knowledge and skills that enable them to innovate, identify and exploit new economic opportunities and manage risk.

#### **Main factors underpinning the design of SO3**

##### *Inappropriately targeted policies*

107. The significant reductions in rural poverty in recent periods have taken place in contexts of rapid economic growth, but overall economic growth did not translate into reduced poverty for all. In many contexts, inequalities among social groups and geographic disparities are increasing. Some segments of the population, in particular producers and workers in small-scale farm and non-farm

enterprises, women, youth and indigenous peoples, remain vulnerable to exclusion from productive resources, services, political and social representation, employment, and public support programmes. This is further exacerbated by the widening distance between core economic areas and the periphery (generally rural areas), which is also reflected in the destination of investments. Policies which reduce public spending, excessively tax rural enterprise, favour food aid over investments, fail to secure sound management of natural resources and ecosystems and do not prioritise equality and participation may worsen the problem. Moreover, even policies and programmes intended to improve livelihoods of poor small producers (e.g. input subsidies) may benefit larger-scale producers more than their intended beneficiaries. They may also be counterproductive if management of common resources is not addressed. Hence, explicit policy interventions to address exclusion and inequalities are necessary.

108. Another problem is that national information and indicator systems often pay insufficient attention in bringing out main inequalities, be it by age, gender, ethnicity, type of occupation or locality, thereby hindering understanding of the scale and nature of rural poverty. Capacities to set targets and monitor progress related to rural poverty are also weak, and in practice governments often prioritize the interests of nearby urban constituents over remote and poor rural populations. As a result, policies often suffer from an urban bias.

*Lack of, or inequitable access to productive assets and resources*

109. The rural poor rely heavily on “natural capital” for their livelihoods, including common property resources such as fisheries, pastures, forests and water. Lack of secure access to these resources limits the productivity of small producers and family farmers, a problem that is worsened by demands from other sectors and increasing overall resource scarcity. Weak or absent governance for tenure of land, fisheries, forests and other natural resource results in overfishing, deforestation and forest degradation, depletion of aquifers and loss of soil quality. Poorly designed or inappropriate tenure systems perpetuate inequalities in access, reduce tenure security or exacerbate conflict, further affecting the availability and accessibility of food. Inequitable access and unsustainable management of resources therefore limit participation in a range of socio-economic activities, as well as related decision-making processes.

110. Women, youth and indigenous peoples are more likely to face limited access to productive resources, sometimes forcing them to move out of agriculture or migrate to other regions in search of better opportunities. For example, women continue to make up only 10-20% of all landholders and the land that they do hold tends to be in smallholdings of poorer quality and with more tenuous rights. Access of indigenous peoples<sup>7</sup> to their traditional lands, fisheries, forests and territories, and to other common property resources, are often insecure, absent, or under threat.

*Access to services*

111. In many areas, the existing rural service systems for agriculture, forestry, fisheries and domestic consumption and care are subject to the “triple challenge” of market, state and community failure. At best, they are ill adapted to the needs of the rural poor, and at worst may bypass them entirely, undermining not just the delivery of basic social services, but also the capacity and capability of communities to engage in productive activities. Critical inputs include financial, legal, marketing, technological, research, extension, agricultural education, information, energy, food and seed banks services, as well as other services that facilitate engagement in productive activities (e.g. child care).

112. In addition, the rural poor tend to live in areas with poorer basic infrastructure (roads, telecommunications, irrigation, storage capacity, schools, health centres, etc.) and with limited or no access to modern energy, which is further hampering agricultural productivity growth and the development of off-farm economic activities and related employment generation. Furthermore, it is holding back social development through inadequate access to education, health care and water

<sup>7</sup> According to the World Bank, there are an estimated 370 million indigenous individuals in more than 70 countries. Although they constitute only about 5% of the world’s total population, indigenous peoples comprise more than 15% of the world’s poor and their income levels and human development indicators (health, education, etc.) consistently lag behind those of non-indigenous groups.

supplies. Women in particular, need to spend more time on finding energy sources and water for the household or travelling to distant social services, further jeopardizing their income opportunities.

113. These factors are characteristic of the demand<sup>8</sup> and supply<sup>9</sup> side constraints to the provision of services to the food and agriculture sector and rural areas more in general. While the private sector contributes significantly to service delivery, commercial interests typically are less interested to cater for rural poor clientele, because of low profits and high risks. The development of technologies most relevant to poor men, women, youth and indigenous peoples in rural areas is also not receiving adequate attention. NGOs and community service providers, on the other hand, are often unable to serve the poor effectively because of limited organizational capacities, potential favouritism and limited resources. State institutions, which are often the main providers of services targeted to the rural poor in developing countries, but effective delivery is often hampered by cumbersome bureaucratic procedures and lack of organizational capacity and funding.

*Weak or absent organizations (social capital)*

114. Many poor and small-scale producers and fisherfolk suffer from isolation and remoteness of dwellings and production sites. They typically also lack adequate access to markets, limiting their opportunities for income generation. Although many forms of traditional social organizations are widespread, they often lack voice and opportunities to influence or participate in political and economic decision-making. Indigenous communities in particular usually live in remote rural areas characterized by challenging environmental conditions and difficult access to centres of political power or economic activity. Membership-based organizations in rural areas are growing and providing increasing relevant services to their members. However, the improvement of members' knowledge and understanding of their rights and duties is indispensable to minimize control by local elites and allow a more active participation of women, youth and indigenous peoples in decision-making.

*Low employment opportunities and lack of decent working conditions*

115. Many of the "working poor" (those who earn less than USD 1.25/day), are landless labourers, family workers on farms, as well as workers in off-farm rural activities. Most face precarious job conditions, for example, for workers in remote forested areas, forestry is typically their only source of income and employment, but their livelihoods are under continuous threat by deforestation and forest degradation. Globally, nearly eight out of ten of the working poor live in rural areas and spend a high proportion of their disposable income on food. Decent employment is essential to achieving food security. Yet unemployment, underemployment, poor remuneration, poor working conditions, and exposure to occupational hazards continue to prevail in many rural areas. Evidence also shows that there are limited opportunities for productive and decent employment for young people and indigenous peoples in the agricultural sector and in non-farm rural activities. As a result, many youth abandon agriculture and rural areas to migrate to urban centres, nationally or abroad. Worldwide, 60 percent of child labour is found in the agricultural sector with many children doing hazardous and risky work that can compromise their health, development and education.

*Insufficient social protection*

116. Many rural households face vulnerable income situations because they reside in areas with incomplete or missing markets and/or are dependent on unpredictable rainfall-fed agriculture for their livelihoods. Consequently, their jobs, incomes and own production are at continuous risks because of uncertainty and unpredictability stemming from market volatility and vulnerability to covariate and idiosyncratic shocks, which may push them closer to poverty, deprivation, starvation and even premature death. To prevent this from happening, governments seek to provide social protection programmes with combined hunger and poverty reduction objectives, operating on different sources of entitlement: production (e.g. input subsidies), labour (public works programmes), trade (food price

<sup>8</sup> Demand-side constraints include: distance, transaction costs, literacy requirements, low quality, reliability and responsiveness of services on offer, and small producers' lack of knowledge about available services and inability to send market signals about their needs.

<sup>9</sup> Supply-side constraints include: the difficulty in delivering cost effective, profitable and sustainable services to dispersed populations with limited purchasing power, and providers' poor knowledge of the nature and concentration of demands.

subsidies, grain reserve management), and social transfers (school feeding, supplementary feeding, cash transfers).

117. However, the potential contribution of social protection measures to poverty reduction currently is not being fully exploited in rural areas, mostly due to unmet needs and inadequate social protection response. A major hindrance to the full adoption and implementation of social protection is the lack of financial resources amidst competing policy priorities. Furthermore, social protection alone would be insufficient for achieving sustainable and long-term economic development. Hence social protection needs to be complemented, coordinated and/or integrated with agricultural and broader rural development interventions in order to maximize synergies and avoid potential conflicts. Other challenges to adequate and effective social protection response relate to design and implementation issues like targeting, benefit size, implementation modalities, graduation, scalability and accountability.

#### *The ingredients of success*

118. In seeking to capture an extremely complex field in a few words, enabling environments to reduce rural poverty would need to combine critical elements as follows:

- a) a coherent policy approach to rural poverty reduction embedded in a broader strategy for sustainable rural development;<sup>10</sup>
- b) strengthened rural institutions, producer and local community organizations to ensure more equitable and secure access to productive resources, improve the functioning of labour and product markets, and facilitate knowledge and technology transfer and ensure more effective delivery of basic services, including through strengthened policy and legal frameworks for co-management of natural resources, improved governance of tenure of land, fisheries and forests, innovative approaches to ensure availability of appropriate technologies, facilitate establishment of inclusive producers' organizations, etc.;
- c) ensuring that economic growth translates into increased decent farm and non-farm rural employment opportunities for men, women and youth; and
- d) maximized synergies between social protection and rural development policies ensuring an effective mix of instruments and ultimately leading to positive impacts on rural poverty reduction, food security and sustainable management of natural resources.

119. At the same time, several cross-cutting themes and principles would merit close attention: (i) strengthened gender equality and gender sensitive approaches; (ii) supporting groups with the highest vulnerability risk; (iii) recognizing diversity, in terms of agro-ecological, socio-cultural, economic, political and institutional environments; (iv) recognizing sector differences between agriculture, fisheries, forestry and off-farm activities and their role in reducing rural poverty; (v) building a strong evidence-based store of information, including lessons learned and impact analysis of past policies; (vi) ensuring nutrition security via nutrition-sensitive policies, programmes and investments across sectors; and (vii) improved governance systems at all levels so that poverty reduction efforts can be sustainable and effective.

---

<sup>10</sup>The approach would be tailored to specific contexts considering the relative importance and conditions faced by the three broad categories of rural poor. It would seek improving rural livelihoods by targeting interventions aiming to dynamize and diversify the rural economy at large. Accordingly, support to small farmholders and efforts to raise agricultural productivity in sustainable ways would be strengthened as part of broader economic and social development of defined rural territories, including through improving rural infrastructure (including roads, telecommunications, energy provisioning, irrigation and water management, storage capacity, etc) and support services (education, financial, insurance, trade, social, technological, environmental) and which in turn would provide new opportunities for decent work. Furthermore, the approach would identify options to stimulate the creation of income and employment opportunities further down the agricultural value chain and other farm and off-farm activities. Strengthening economic linkages across activities will be critical to ensure sustained rural poverty reduction. Social protection programmes and other means to enhance income and food security and provide a safety net will also be critical in ensuring a balanced process of rural development, provide ultimate protection to those with no labour market opportunities, encourage investments in human capital, and smooth distress-push diversification.

## Action Plan

120. While FAO is clearly one of many actors working to reduce poverty, its comparative advantages lie in: its support to the development and implementation of internationally-agreed codes, norms, standards and good practices;<sup>11</sup> its extensive experience in supporting evidence-based policy formulation and identifying lessons learned including with a wealth of partners; in promoting research and knowledge sharing, in cooperating with national authorities to develop capacities; in developing and testing models and options for intervention; and in monitoring and evaluation.

121. The three identified Organizational Outcomes and component outputs are elaborated below.

Organizational Outcome 1: The enabling environment<sup>12</sup> is created or improved so that the rural poor have voice and equitable access to resources, services, institutions and policy processes to move out of poverty.

122. A complementary and coherent set of gender-equitable policies, laws and strategies is needed that guarantees secure access to resource base, contributes to sustainability of natural resources systems, provides incentives for better service delivery and better access to technologies, and supports smallholder participation in dynamic markets, including through effective and equitable producers' organizations and cooperatives. Credible and functioning participatory mechanisms enabling regular consultation and collaboration between different stakeholders (government agencies, producers' organizations and cooperatives, NGOs, market actors, research institutions and other actors) and transparent goals and targets set in the context of a coherent rural development strategy can provide the basis for the legitimacy of the state action, improve its responsiveness and minimise possible contradictions and tradeoffs. Using traditional and innovative communication means can open up and stimulate dialogue and social transformational change at the community and at local and/or national government level. Local level institutions need to be endowed with appropriate levels of rights and responsibilities, as well as with sufficient human and financial resources to ensure effective connection between national authorities and rural communities.

Output 1.1: Governments and their development partners are aware of options available - including public private partnerships - to reduce poverty among male and female small producers, family farmers and small entrepreneurs in rural areas and develop policies, partnerships and actions to establish and catalyze them.

123. FAO is to:

- a) provide technical advice to governments and their development partners regarding a range of options for developing gender equitable and sustainable rural development strategies to reduce rural poverty, including what has worked and what not in different contexts and keeping them abreast of lessons learned, and advising on policy coherence for integrated approaches and interdisciplinary collaboration between sectors;
- b) develop capacity to set targets, monitor national and subnational level progress and ensure increased budget allocations on reducing rural poverty, improving food security and the livelihoods of men and women small producers, family farmers and small entrepreneurs in rural areas across sectors (including crop production, livestock, fisheries and forestry);
- c) encourage fundamental national and subnational policy and institutional reforms to deal with small-scale producers in a dedicated way, including advice on fiscal and other policies to overcome specific constraints (e.g. tax breaks/tax revenue distribution, public service/benefit schemes, payments for environmental services, infrastructures investments, etc.);

---

<sup>11</sup> For example, the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

<sup>12</sup> The enabling environment is defined in broad terms as including: political commitment and vision; policy, legal and economic frameworks; budget allocations and processes; governance and power structures, as well as incentives and social norms.

- d) promote and facilitate interaction, networking and dialogue between the actors (public and private sectors), interest structures and institutions (formal and informal) across different levels; and
- e) enhance its own data collection mechanisms (within statistics and M&E programmes) to facilitate effective monitoring of progress in rural poverty reduction in all its facets (including by age and gender), as well as the progress in the implementation of policies, programmes and budgets and whether these are effectively oriented at improving the livelihoods of the target population.

Output 1.2: Pro-poor policies and programmes that enhance access to, and sustainable management of natural and other productive resources are implemented.

124. FAO is to:

- a) provide strategic and technical advice for governments to develop policies and programmes that promote equitable access to, control and sustainable management of land, water, forests and other natural resources, including promoting the implementation of the Voluntary Guidelines for the Responsible Governance of Tenure of Land, Fisheries and Forests, and Right to Food Guidelines, good forest management practices, Code of Conduct for Responsible Fisheries, in particular the international guidelines on securing sustainable small-scale fisheries; International Code of Conduct on Pesticides Management;
- b) provide policy guidance to streamline the administration and legal services related to land and other natural resources at central and decentralized levels (e.g. private and communal land registration/administration, varieties registration/patenting, water rights registration, pesticides registration and management, forest and fisheries use rights, curbing of illegal fisheries and forest activities, legal aid, payment for environmental services);
- c) help prioritize, support, advocate and develop appropriate technologies and practices for sustainable intensification and risk reduction and support efforts for their testing, dissemination and adaptation by the rural poor; and
- d) influence research agendas to increase focus on feasible comprehensive rural development strategies for rural poverty reduction.

Output 1.3: Governments and their development partners are aware of options available for more efficient rural service models and develop policies, partnerships and actions to establish and catalyze them.

125. FAO is to:

- a) provide policy guidance and support to reorient/streamline existing service systems to create/improve accountability and guarantee affordable, efficient, high-quality services to small-scale producers normally excluded from existing systems, paying special attention to female and young producers;
- b) build knowledge of alternative institutional models, good practices and territorial approaches for appropriate food and agricultural support services which are affordable/profitable for service providers and contribute to sustainable management of natural resources;
- c) develop with partners human and institutional capacities to implement stronger gender-sensitive, client-driven rural service systems for financial services (including insurance schemes for rural producers, where appropriate), input retailing, output marketing, post-harvest management and certification of food, agriculture, fisheries, forestry and livestock production and enhance intersectoral coordination;
- d) support the capacities of national agricultural institutions (research, extension services, others) to provide analytical services (e.g. soil and water, fisheries, forests, pests/disease, livestock feed, veterinary diagnostics) and to specifically develop the capacities of women and youth small and marginal producers and entrepreneurs through farmers' field schools and other participatory models including for community-based management systems;



- e) contribute to the development and implementation of norms and standards and support gender-sensitive/youth sensitive monitoring, evaluation and assessment of food and agricultural service systems to enhance accountability and feedback; and
- f) stimulate, orient and increase the quality and accountability of public and private service systems, resource access, institutions based on inclusive membership and decent employment so that rural women, youth and other small producers can increase their productivity sustainably.

Output 1.4: Governments and their development partners recognize the potential of producers' organizations, cooperatives and collective action to reduce poverty in rural areas and they promote enabling environments and develop policies, partnerships and actions to establish and support formal and informal producers' organizations and cooperatives.

126. FAO is to:

- a) identify and advise on enabling environments (legal and policy frameworks) and national programmes for inclusive and equitable producers' organizations to be strengthened and to become more effective in addressing members' needs and interests, represent them in policy-making processes and provide services;
- b) advise on gender equitable organizational change within public institutions, as well as within rural institutions, formal and informal producers' organizations and cooperatives (focus on management, leadership, and organizational behaviour, culture and mission and accountability mechanisms);
- c) support governments in the promotion of participation of membership organizations in programme and policy formulation, implementation/evaluation activities;
- d) assist with national efforts to ensure that producers' organizations and cooperatives, have information about their rights *vis-à-vis* governments and to be able to hold officials and service providers accountable for their actions;
- e) facilitate dialogue between producer and other membership-based organizations and national and local governments; promote the strengthening of institutional mechanisms for dialogue and collaboration between the government and relevant stakeholders, producers' organizations and cooperatives; and
- f) support governments in strengthening the capacities of producers' organizations and cooperatives to provide services and advice to their members to reduce poverty, including on sustainable intensification of production, storage, marketing, access to credit, finance, inputs and other services.

Organizational Outcome 2: The enabling environment in member countries is created or improved to increase access by the rural poor to decent farm and non-farm employment.

127. Employment enhancing growth is a necessary condition for achieving poverty reduction. This requires promoting the creation of decent rural employment opportunities for rural men, women and youth in the rural farm and non-farm economy through support measures focusing on dynamizing and diversifying the rural economy. It is not only about more, but also better employment opportunities in agriculture and rural areas. This involves, addressing poor working conditions and extending the outreach of International Labour Standards (ILS) to rural areas, including eliminating discrimination, strengthening the employability of the rural workforce, preventing child labour in agriculture, promoting social protection and occupational safety and health, and guaranteeing freedom of association.

128. Improving the enabling environment for increased decent farm and non-farm rural employment opportunities requires vigorous awareness raising and advocacy with governments and development partners. FAO will support governance mechanisms and provide strategic and technical advice, as well as capacity building to better integrate decent rural employment concerns in policies and programmes. In order to be effective, advocacy and policy advice should be based on solid

evidence and therefore gender- and age-differentiated statistics and analysis of rural labour markets need to be improved.

Output 2.1: Governments and their development partners are enabled to extend the outreach of International Labour Standards (ILS) to rural areas, particularly in informal sectors, including eliminating discrimination, strengthening the employability of the rural workforce, preventing child labour in agriculture, promoting social protection and occupational safety and health, and guaranteeing freedom of association.

129. Components of work will include:

- a) in partnership with ILO, advice to governments and the rural development community and capacity building to establish, implement and enhance workers' awareness about policy, legal and regulatory frameworks which support the adoption of ILS in rural areas, including for small-scale producers/family farmers, informal wage workers and rural entrepreneurs;
- b) technical advice to agricultural stakeholders to promote socially-sustainable production, including through the adoption of labour-saving and labour-smart technologies and practices and occupational safety and health (OSH) measures for rural workers, such as through the implementation of the updated International Code of Conduct on the Distribution and Use of Pesticides;
- c) strategic and technical advice and capacity building at global and country levels to prevent use of child labour in the agriculture, livestock, fisheries, and forestry sectors, in partnership with relevant partners such as the ILO; and
- d) facilitation of dialogue and collaboration among agricultural and labour stakeholders (public and private sectors) on the outreach of ILS to rural areas.

Output 2.2: Governments and their development partners are enabled to promote employment-intensive, socially-equitable and sustainable rural development paths, fostering the rejuvenation of the rural areas and rural women economic empowerment, within the context of a broader rural development strategy.

130. FAO will seek to:

- a) provide advice and use innovative learning methodologies and networks to strengthen policy coherence through a rural development strategy and, within that framework, formulate and implement targeted policies and programmes (e.g. rural investment programmes, value chain development programmes, social policy reforms, etc.) that increase decent rural employment opportunities in the agriculture, livestock, fisheries, forestry, agro-industry and rural services sectors, ensuring that this is embedded and monitored within corporate FAO country-level policy assistance;
- b) provide policy advice to countries and promote partnerships (including with the private sector) in order to foster policy coherence between employment, social protection, natural resources and ecosystem management, nutrition and rural development actions;
- c) promote better understanding of, and build knowledge on which policies, strategies and programmes have and have not worked in different contexts and labour market structures, including through sharing of good practices, lessons learned and impact evaluations (e.g. by using portals and regional workshops, developing networks, etc.);
- d) support youth-smart programming in the agriculture, fisheries and forest sector and related occupations; and
- e) provide strategic and technical advice to countries to integrate decent rural employment in disaster and crisis risk management so as to increase the resilience of livelihoods systems and provide a foundation for long-term development (linking up to work under SO5).

Output 2.3: Gender- and age-differentiated analysis of rural labour markets and of the employment implications of alternative rural development policies and programmes is improved.

131. FAO is to:

- a) support and disseminate (e.g. through networks, events, portals, publications, etc.) analysis of the employment dimensions of rural poverty, especially with regards to women, youth, informal wage workers, migrants, as well as micro and small entrepreneurs;
- b) enhance its own data collection and analysis capacity to enable a better account of the gender and age-based differentiated access to decent rural employment opportunities;
- c) consistent with the broader effort indicated under Output 1.1 e), strengthen national capacities to collect data and information and monitoring progress on closing the gender and age gap in decent rural employment towards more informed decision making (e.g. by developing guides and training on employment-relevant M&E of agricultural and rural development programmes); and
- d) strengthen national institutions related to rural development (e.g. ministries, research institutes, etc.) to provide analytical services on decent rural employment, including to conduct employment-relevant social analysis of rural investment and value chain development programmes.

Organizational Outcome 3: The enabling environment is created or improved for effective social protection to enhance food security and nutrition, and sustainable management of natural resources for the rural poor.

132. FAO will work towards facilitating an enabling environment in which governments and their development partners can formulate and implement policies and programmes that maximize the positive impacts of social protection programmes on rural poverty reduction, food security and sustainable management of natural resources. The resulting social protection programmes will be context and evidence-based, and responsive to the needs of poor and vulnerable rural households. Reaching these objectives requires evidence-based policy advice and support, dissemination of information and best practices, data collection and analysis linked to developing alternative policy options, and capacity building.

Output 3.1: Governments at all levels have the capacity to design, implement and manage short- and long-term social protection programmes as integral part of a broader rural development and poverty reduction strategy.

133. FAO will seek to:

- a) advise governments on how to articulate social protection programmes within a strategy of rural development in order to maximize the impact on rural poverty and food insecurity;
- b) foster policy integration and coherence at national and local levels to achieve synergies between social protection, agriculture and employment (e.g. NSPS, Agricultural Policy, CAADP, PRSP, DWCP)<sup>13</sup> in a systems approach;
- c) support governments in the review, strengthening and/or developing legal and institutional frameworks that underpin social protection programmes to support rural livelihoods directly and indirectly;
- d) assist with improved governance of social protection programmes, for efficient and gender equitable delivery of adequate benefits; and
- e) developing functional capacities of policy-makers, analysts and officers in charge of implementing social protection programmes and rural development policies (at national and

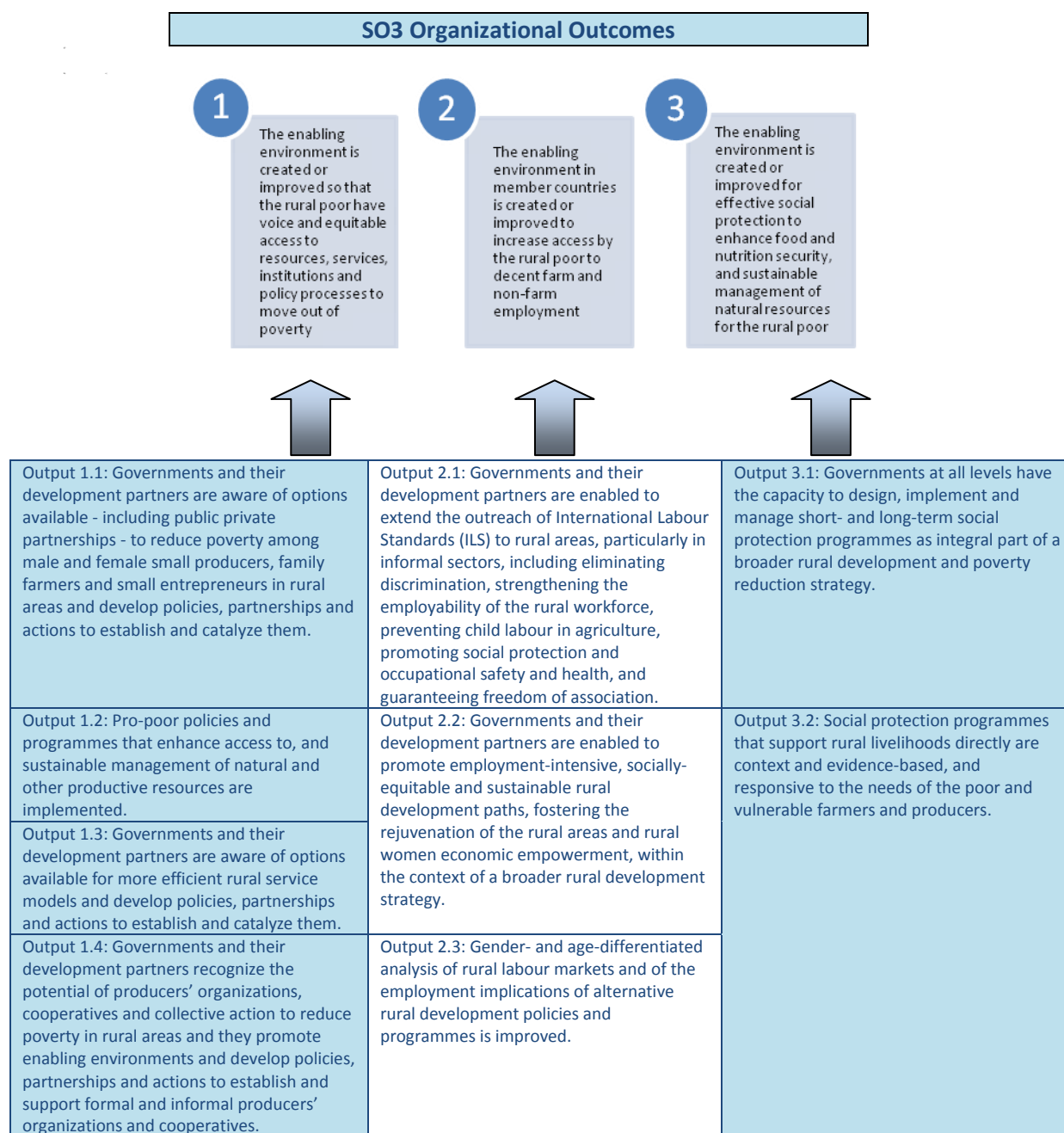
<sup>13</sup> National Social Protection Strategy (NSPS); Comprehensive Africa Agriculture Development Programme (CAADP); Poverty Reduction Strategy Papers (PRSP); Decent Work Country Programme (DWCP).

local levels), in terms of maximizing synergies between social protection, agriculture and food security.

**Output 3.2:** Social protection programmes that support rural livelihoods directly are context and evidence-based, and responsive to the needs of the poor and vulnerable farmers and producers.

134. Components of work will include:

- a) dissemination of information and data relevant to policy and programme design and implementation, and on institutional issues needed for strengthening synergies between social protection and rural development policies;
- b) analysis and information on the dimensions of poverty and vulnerability, as well as on constraints to agricultural productivity especially with regard to women, youth and indigenous groups;
- c) promotion of better understanding and build knowledge on what has and has not worked in different countries and regions at different stages of development (i.e. with different levels of economic activity, employment-intensity of growth, infrastructure and market development), including through sharing of good practices, lessons learned and impact evaluations;
- d) support to governments and engagement of partners to develop capacities of poor rural men and women, and youth, to access information about their entitlements, and to be able to demand fair treatment and hold officials and service providers accountable for their actions;
- e) consistent with the broader effort indicated under Output 1.1 e), development of methodologies, data collection and *ex-ante* and *ex-post* analysis on links between social protection, livelihoods, agriculture and food insecurity, including gender equality and management of fisheries, forests and other natural resources implications; and
- f) support to gender-sensitive monitoring, evaluation and assessment of relevant programmes to enhance accountability and feedback.



### *Indicators and targets*

135. Monitoring and Evaluation Framework under SO3 is adopting the country profile approach. As part of this process, the team is identifying various critical success factors (i.e. dimensions) that determine the achievement of each organizational outcome. It is for these identified dimensions that sub-indicators are being developed. This is still work in progress, for which a sub-set is presented.

136. Baseline, sampling and targeting methodology will be developed in the context of the overall approach for monitoring. Where adequate, indicators already available and routinely reported upon (e.g. IFAD rural sector performance assessment indicators) would be favoured for data collection and reporting. The use of a common reporting framework will be explored as one area of interagency partnership.

137. Similarly, the methodology for measuring improvements (sampling and scoring), as expressed in the baseline and targets below, will be developed in a harmonized manner in the context of the overall country-profiling approach for monitoring.

<b>Strategic Objective 3: Reduce rural poverty</b>			
<b>SO level provisional indicators (and source)</b>			
3.1 Incidence of poverty (headcount index) ( <i>World Bank</i> )			
<b>OO1: The enabling environment<sup>14</sup> is created or improved so that the rural poor<sup>15</sup> have voice and equitable access to resources, services, institutions and policy processes to move out of poverty</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
1.1	Percent of target countries with inclusion of explicit objective to foster equitable access of rural poor men and women to resources and services within food and agricultural policies	To be determined	To be determined
1.2	Percent of target countries that have rural poverty reduction strategies with defined policies to reduce gender inequalities	To be determined	To be determined
1.3	Percent of target countries in which effective policies exist to enhance the rural poor's <sup>16</sup> access to: <ul style="list-style-type: none"> <li>• Financial services and markets;</li> <li>• Agricultural research and extensions services;</li> <li>• Agricultural input</li> </ul>	To be determined	To be determined
1.4	Percent of target countries in which effective policies exist to enhance access of the rural poor to productive natural resources <sup>17</sup>	To be determined	To be determined
1.5	Percent of target countries in which dialogue between government and rural organizations has improved	To be determined	To be determined
1.6	Percent of countries in which the representation of women in local policy-making bodies, local community decision-making bodies, and participation in rural organizations is improved	To be determined	To be determined
1.7	Percent of targeted countries where data collection mechanisms facilitate effective monitoring of progress in rural poverty reduction in all its facets, including by age and gender	To be determined	To be determined
<b>OO2: The enabling environment in member countries is created or improved to increase access by the rural poor to decent farm and non-farm employment</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
2.1	Percentage of target countries where effective and evidence-based policies (including norms and provisions), strategies, action plans and/or programmes are improved to adequately address decent rural employment at country level for both men and women	To be determined	To be determined
<b>OO3: The enabling environment is created or improved for effective social protection to enhance food security and nutrition, and sustainable management of natural resources for the rural poor</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
3.1	Percent of targeted countries with social protection systems aiming to reduce rural poverty	To be determined	To be determined

### *Regional initiative (SO3)*

#### **Rural poverty in Africa**

138. This programmatic regional initiative will address all three outcomes of SO3 in order to maximize the positive impacts of social protection programmes, decent rural employment, equitable access to, and management of natural resources and rural services and participation in producers'

<sup>14</sup> Definition of "enabling environment" adopted at SO level applies.

<sup>15</sup> Definition of "rural poor" adopted at SO level applies.

<sup>16</sup> The gender specificity of these indicators require further attention, for which work is in progress.

<sup>17</sup> The issues related to differentiated access due to gender issues has to mainstreamed into this work, for which work is in progress.

organizations and rural institutions. These elements will be embedded in a broader rural development strategy that is to provide policy coherence and ensure synergies. Opportunities for the disadvantaged, resource-poor, remote communities and population groups, with particular attention to youth and women, to participate in production and marketing chains, will be actively explored.

139. In 2013, this initiative will seek to establish the analytical foundation for an effective operational results framework in one or two pilot geographical areas, which will guide further collaborative work of FAO, governments and diverse stakeholders and partners to implement coherent, longer-term programmes of work. The value chain which will be given priority in 2013 will be selected from those already identified as priorities in the initial phase of the Africa Results-based Management Pilot Initiative (RBM): Cassava in Ghana or D.R. Congo, Maize in Angola or Uganda. Linkages with other value chains will also be explored (crop-livestock interaction).

140. Collaborative efforts will be driven by the following guiding principles and pertinent factors:

- a) focus on disadvantaged, resource-poor, remote communities and population groups, with attention to youth and women;
- b) building on existing value chain work in the pilot country(ies) and attention to critical gaps within these chains and intervention points where FAO can add value from a social equity perspective;
- c) identification of the critical needs in improving the enabling environment (including through infrastructure, services, and institution building) that would help dynamize rural development, employment creation and poverty reduction;
- d) support to interdisciplinary approaches across sectors, institutions and actors (both public and private);
- e) search for concrete outcomes achievable within a short-term horizon, with a view to using them as the basis for a longer-term programming to be funded by other sources; and
- f) establishment of a dynamic learning module to distil lessons on the collaborative processes fundamental for RBM implementation.

*Expected activities and outcomes*

- a) baselines, on which to measure outcomes and a set of indicators, are identified;
- b) knowledge and up-to-date evidence is available and accessible for value chain development efforts in the targeted country to integrate the needs of the poor and vulnerable farmers and producers, as well as wage workers and identification of social protection needs and opportunities throughout the chain;
- c) participatory country-level, gender-sensitive, diagnostic exercises are undertaken in the context of work planning (overall value chain assessment; natural resources management; producers' organizations performance and capacity; access to services and technologies; value addition and decent rural employment; youth; social protection, sustainability and rural development linkages; structural vulnerability analysis);
- d) governments in the pilot countries are enabled to design and implement policies and regulatory frameworks that maximize opportunities for poor and vulnerable farmers and producers and promote creation of decent work in off-farm activities and rural services;
- e) national authorities in the pilot countries have improved capacity in terms of governance and cross-sectoral policy coherence and coordination mechanisms to leverage the potential of the selected value chain/s for enhancing incomes of poor and vulnerable farmers and producers, as well as wage workers and reducing rural poverty;
- f) capacity strengthening and skill development is implemented in the following areas: participation in, and leveraging of policy and programmatic processes; functional capacities; participatory impact assessment for improved transparency and accountability (others to be determined); and

- g) key national, regional and development partners are involved in the process. The regional initiative will facilitate dialogue between stakeholders and partners, and promote joint action and sharing of lessons learned.



*Strategic Objective 4: Enable more inclusive and efficient agricultural and food systems at local, national and international levels*

**Context and rationale**

141. Agriculture and food systems (including fisheries and forestry) are going through revolutionary changes: the primary sector has become the element of increasingly integrated supply chains; the downstream sector, especially processing and retailing, becoming industrialized and more concentrated; very often primary sector enterprises being part of vertically integrated or controlled value chains. Also a more specialized primary sector implies that inputs (such as water, fertilizer, energy, seeds, feeds, machinery and equipment) require new supply and use models. Information technologies and the social media significantly modernize marketing channels, facilitating the involvement even of smallholders into the global markets. These trends dramatically change the lifestyle and employment opportunities in rural areas and may also lead, in some existing agrarian structures, to land tenure concentration.

142. Agriculture and food systems are also becoming more science- and capital-intensive requiring new skills and knowledge from producers, processors, managers and workers along the entire supply chain. This also requires large investment into research and development which in many cases creates competitive barriers for small and medium companies which cannot be compensated by public funds (especially in developing countries). Therefore, technological transfer and protection of intellectual property rights become key issues of agricultural and food industries development.

143. In addition, urbanization results in new food behaviour and consumption patterns for the majority of the world population, making the links between production and consumption more diverse and complex and calling for more sophisticated infrastructure. Global agricultural markets become more integrated and, with the expansion of futures trade, they also become more speculative and therefore risky. An inherent risk is non-compliance with market requirements and standards which results in less efficient markets. Public and private standard setters are important actors making a contribution on the national, regional and global scenes in addition to big private agribusiness corporations and forest industry companies currently active in innovation processes and setting standards on the national, regional and global scenes. It is also important that food and agricultural production, processing and consumption are undertaken in a safe and sustainable manner.

144. Food and agricultural systems must improve inclusiveness<sup>18</sup> by linking smallholder farmers, foresters and fisherfolk and their organizations with agribusiness enterprises and supply chains for their effective and sustainable participation in rapidly changing global, regional and national markets. Therefore, countries and decision-makers face new challenges and opportunities and FAO can provide much needed analytical information and evidence-based policy advice and support.

145. Within this context, governments and other stakeholders are required to make increasingly complex strategic choices in strengthening food and agricultural systems, governing changes in agrarian structures, improving production and post-production activities, institutional mechanisms, the delivery of services, market access, environment, as well as relevant technologies.

**Main factors underpinning the design of SO4**

*Weak enabling environments*

146. Outdated, inefficient and sometimes conflicting policies, laws and regulations, together with uncertain government perceptions of public and private sector roles and responsibilities, difficult access to financial services and weak infrastructure impede the investments necessary to sustainably improve inclusiveness and efficiency in global, regional and national markets.

147. There is also insufficient, dispersed or asymmetric access to: information, knowledge (including intellectual property rights), commercial relationships and infrastructure, frequently

<sup>18</sup> Inclusive food and agriculture systems under SO4 are those that enable commercial small- and medium-scale production and processing enterprises to sustainably participate in markets. It also involves developing country and stakeholder (including consumers) inclusion in standard setting and trade negotiations and improved rural-urban linkages.

reducing the capacity of small farmers<sup>19</sup> and small and medium agricultural enterprises to effectively participate in rapidly changing and globalizing markets. Similar constraints may hamper national efforts to ensure necessary regulatory services for plant and animal health, food safety and quality and the legal and sustainable supply of forest products. These constraints can also limit capacity of countries to participate in global markets and relevant international fora to address adequately national interests and concerns. This asymmetry in accessing information and knowledge is also relevant for consumers and their essential roles in shaping the food and agricultural system. Eventually, the food and agricultural products placed on the market need to better respond and reflect consumers' expectations and choices. But consumers often lack the access to relevant information to operate choices in their interest (e.g. an informed selection according to nutritional content).

148. A persistent serious problem is that roughly one-third of food produced for human consumption is lost or wasted globally, causing unnecessary pressure on natural resources to make up the gap. For decades, the main focus of efforts to reduce food losses and waste was to improve post-harvest operations. Only recently has it been recognized that reduction of food losses requires interventions to improve supply-utilization alignment and efficiency along the whole food supply chains. While modern, aligned supply chains generally do have much lower losses, there is still excessive food waste, particularly at the retail and consumption stages. Urbanization also leads to more complex and overextended and energy intensive distribution and packaging processes, changing food consumption habits and, for low-income families, particularly women, additional time and cost to access food supplies. Governments, working with other stakeholders, need to ensure more performing environments by managing and mitigating the risks and threats associated with the above issues and trends.

#### *Private sector capacity and engagement*

149. Public and private sectors have a shared responsibility to ensure inclusive and efficient food and agricultural systems, including by minimizing outbreaks of diseases and pests which can lead to reduced productivity and losses, and result in adverse effects on human, animal and plant health. The private sector is, increasingly, playing an important role in shaping policies, as well as trade and market structures through value chain development. Food and agricultural companies at all levels are being driven by changing competitive pressures to introduce business practices and technologies to align supply systems and drive down costs. Increasingly stringent procurement requirements and the associated proliferation of private and other voluntary standards, particularly in food safety and quality, animal health, ecolabelling and forest products markets, are helping to improve efficiency, but are also creating avoidable barriers to market entry. Despite growing recognition by agrifood and forestry companies that mainstreaming of responsible practices is becoming a competitiveness factor, few companies have yet succeeded in identifying and scaling inclusive and efficient business models.

150. Because the private sector poses both solutions and risks for enhancing the inclusiveness and efficiency of food and agricultural systems, government institutions need to engage directly with actors at all levels from the highly diverse private sector. Most public sector officials and agencies however, have limited capacity and instruments for results-oriented dialogue and collaboration with private sector actors. Consequently, strengthening public-private dialogue and collaboration is essential for enhancing the inclusiveness and efficiency of food and agricultural systems. Equally, FAO must engage more effectively with UN, G8/G20 and other global initiatives to strengthen dialogue and collaborative action with the private sector, particularly multinational corporations, on inclusive technology adoption and fair markets. Implementation of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forestry will play an important role in this regard.

151. Action is needed at global and regional levels to reinforce working relations with private sector organizations and companies that have impacts on inclusiveness, fairness and sustainability in many regions and countries. The governance systems for organizations and companies setting private and other voluntary standards must recognize and take into account the public interest. Global

---

<sup>19</sup> A small farmer under SO4 is defined as a commercial farmer, fisherfolk or forester or farmer, fisherfolk or forester family that participates in the day-to-day labour and management of production, and owns or leases his/her productive assets.

companies with global impacts must mainstream principles of corporate social responsibility practices and mechanisms to ensure accountability.

*Inclusive and efficient global market systems*

152. International agreements can facilitate an enabling environment for maintaining existing markets, developing new market opportunities and stimulating investment required to deliver inclusive and efficient trade, particularly for low-income countries. Differences in opportunity for, and actual involvement of countries in developing and implementing such agreements (due for example to asymmetries in their access to, and ability to use evidence in their assessment of the consequences of the agreements to which they are signatories) should be minimized.

153. Governments and other stakeholders need access to appropriate and timely information to enable informed decisions on phytosanitary and sanitary risks associated with trade to address both market access issues and the issues of food safety and plant and animal health. More generally, governments and producer organizations representing the interests of small, family and vulnerable food and agriculture systems participants must have increased awareness of, and capacity to analyse developments in international agricultural markets, trade policies and trade rules and related developments in supply, demand, prices and consumption.

154. At the international level, both importing and exporting countries need specific and different national strategies, policies and measures to benefit from international trade, improve livelihoods and pursue their own food security objectives, while taking account of food security needs elsewhere. The ability of a country to take advantage of regional markets is an important objective in most locations, but is often constrained by poor regional market linkages and the inability of a country and/or producers to comply with increasingly demanding international rules and standards, especially in relation to food safety and plant and animal health, governance and the environment. Environmental costs of production and processing are not yet reflected in trade agreements and could further raise compliance costs.

155. Competitive markets exist only when all goods and services are valued at their opportunity cost for society. This implies that competitiveness has to be assessed through analyses that take into account the full costs and benefits generated by production, trade and consumption activities including social, gender and environmental positive and negative externalities linked to food and agricultural outputs (e.g. increase or decrease in socio-economic disparities) and input use (e.g. fossil energy, carbon emissions, deforestation). Recognizing that most trade in agricultural commodities takes place under contractual arrangements rather than spot market transactions, action is also required to ensure that trading conditions facing relevant stakeholders are transparent and fair. Countries and regional and global organizations have to ensure actual competitiveness of markets and fair prices to both the producer and consumer.

156. Access to financial services by small and medium producers and food and forestry industries must also be improved. This can be achieved through: efficient and well governed producer organization/marketing association; implementation of risk management strategies such as insurance, savings, and guarantee mechanisms; the strengthening and modernization of the rural financial institutions and investment mechanisms; and, working through the Committee on World Food Security, the development of principles of responsible agricultural investment.<sup>20</sup> New approaches are needed, such as value chain finance, developing new products less reliant on traditional collateral and applying new technologies to reduce costs and risks. These responses must address the particular needs of women and youth.

157. Lack of or inadequate access to land is an important factor that constrains the opportunities that small farmers have to participate in modern food systems. Dualistic agrarian structures and extreme fragmentation of land holdings affect the capacity of agriprocessors, wholesalers and retailers to source food efficiently for the urban consumers. Rapid changes in food systems stimulate the restructuring of existing agrarian structures, often in the direction of greater concentration of access to, and ownership of land and in turn that can lead to social exclusion and unrest. The relationship

---

<sup>20</sup> The Advisory Committee on Paper and Wood Products can assume a similar role regarding the forest based sector.

between the transformation of food systems and agrarian structures is an important one and one that will continue to have the attention of FAO.

### **Action Plan**

158. While national authorities and institutions will necessarily need to lead the often arduous change process towards conditions in which efficient, inclusive and collaborative smaller- and medium-scale private agents can thrive, FAO is able to build on expanding UN private sector dialogue and other initiatives including the International Year of Cooperatives (2012) and International Year of Family Farming (2014) to support these efforts. The Organization will also continue to be a privileged partner of: International Financial Institutions in support of the provision of related public sector goods and services and creating favourable conditions for investment; UNCTAD and WTO on commodity markets and trade related issues; CGIAR centres on policy analysis and strategy development; WHO on food safety and Codex work, UNIDO on value chain development and financial services; UN Collaborative Partnership on Forests on sustainable forest management; and WFP on safe food distribution systems.

159. Three Organizational Outcomes have been identified under SO4, as elaborated below.

Organizational Outcome 1: Policies, regulatory frameworks and public goods enhance inclusiveness and efficiency of food, agriculture and forestry systems.

160. FAO will need to respond to extensive requirements in countries to develop national policies, regulatory frameworks and public goods and services that enhance the creation of inclusive and efficient food and agriculture systems, including in their relation with agrarian structures.

Output 1.1: Countries and other stakeholders have increased capacity to collect, analyse and access sex and age disaggregated data and information on food, agriculture and environmental markets.

161. FAO, as the leading source of reliable data on hunger, food and agriculture and of methodologies and standards for data collection and analysis, will collate and disseminate gender disaggregated food and agricultural statistics globally that cover food security, prices, production and trade and environmental impact. It will also continue to be the main global source of information and analysis on agrarian structures. Through training and technical assistance, countries should be enabled to adopt statistical standards and methodologies. Capacity development of national statistical offices and other relevant public institutions to assemble, generate and access relevant data, analyse trends in the development of supply systems and prepare appropriate policy responses should be actively supported.

Output 1.2: Public sector institutions have strengthened capacity for developing and implementing policies and providing public goods and services<sup>21</sup> that enhance the sustainable development of agriculture and food industries.

162. Building on a growing body of case studies, issue papers, methodological guidelines and learning products, national public sector institutions would be enabled to formulate, monitor and evaluate policies and strategies for improving the efficiency, competitiveness, and profitability of agricultural and food enterprises, as well as their social, environmental and economic sustainability. FAO will support countries in their efforts towards inclusion of consumers interests into the supply chain so that their expectations, preferences and choices are better addressed. To this purpose, consumer education policies and programmes are needed so that they can make conscious and informed choices.

Output 1.3: National public sectors have better policies and enhanced institutional capacity to implement regulatory frameworks and provide public services related to plant and animal health, and food safety and quality.

---

<sup>21</sup> A public good is a good that is both non-excludable and non-rivalous in that individuals cannot be effectively excluded from use and where use by one individual does not reduce availability to others. Besides several natural resources (e.g. clean air), within food and agriculture systems, public goods and services could include roads, utilities, market information, food control systems, SPS management, research and extension services, etc. International agreements could also be considered as a form of public good.

163. Drawing on its extensive knowledge on, and experience with how animal and plant health safeguards are effectively implemented and ensuring safety of food available on markets, combating and managing invasive species on forest product markets, FAO should pursue support to national public sectors to access and build the requisite policy frameworks and institutional capacities to implement programmes that are consistent with international standards, guidelines and recommendations. FAO will continue to provide guidance to countries in implementing phytosanitary standards in forestry and forest products and pay due regard to translation of standard-setting work into impact at country level.

Output 1.4: Member countries have enhanced capacity to design and implement policies and programmes that strengthen rural-urban linkages in food and agriculture supplies.

164. Policy and implementation measures to deal with feeding city dwellers involve concerns ranging from agricultural productivity through post-harvest technologies, transportation infrastructure, affordable household energy, sustainability of biofuels of wood and other biomass (especially charcoal), marketing and distribution, to food safety and the adequacy of consumer incomes that span regional, metropolitan, urban and local areas. FAO will promote improved rural-urban linkages through policies addressing these concerns, capacity development, and the promotion of public and private sector investment to improve urban household access to food and agriculture products provided through efficient, safe supplies. Urban consumers will be specifically targeted so that they have tools to make informed choices to support their nutritional status.

Output 1.5: Food losses and waste are reduced through programmes that improve alignment to help efficiency along food chains and raise public awareness at national regional and global levels.

165. FAO will assist countries in designing and implementing programmes to improve alignment and efficiency in food and agricultural supply chains; support capacity development; and undertake appraisals to help inform strategic private and public sector choices for investment in infrastructure, transportation and processing. It will also facilitate global and regional initiatives in support of reducing food and agricultural sector losses and waste through the provision of information, policy advice and by raising awareness amongst countries and the general public.

Output 1.6: Countries have strategies and programmes for enabling inclusive structures, including agrarian structures, by improving the commercial viability and resilience of small- and medium-scale agricultural, forestry and food enterprises.

166. FAO can provide valuable assistance to developing national strategies and programmes to improve the viability and resilience of small- and medium-scale enterprises. Particular attention is to be given to small- and medium-scale family farms (foresters and fisherfolk) and cooperatives in the light of the UN declarations establishing 2012 as the International Year of Cooperatives, and 2014 as the International Year of Family Farming. A core set of cross-cutting challenges impacting on these types of enterprises will be addressed: land and other resource consolidation and acquisition, financial and fiscal measures, representation of interests, and technical and managerial capacity development. FAO will also assist countries to address disadvantages faced by women farmers, female-headed households and women's cooperatives and to support specific target groups when the local context manifests particular dynamics of hardship.

Organizational Outcome 2: Enhanced public-private collaboration in addressing the challenges and risks faced by smaller and disadvantaged participants in food and agricultural systems.

167. FAO will need to meet requirements in many regions for analyses, tools and policy-measures to enhance public-private collaboration, particularly to overcome the problems faced by smaller and disadvantaged participants in food and agricultural systems.

Output 2.1: Countries and other stakeholders have improved understanding and programmes for collaborating with the private sector at all stages food and agriculture systems and can manage associated risks.

168. Stakeholders are often not aware of the vast diversity of the private sector and the different roles played by different actors, organizations and enterprises at all stages of food and agricultural

systems. FAO can appraise and provide information on this diversity. It can also assist member countries and other stakeholders to develop strategies for enhancing the contributions of the private sector to inclusive and efficient food and agricultural systems.

Output2.2: Governments have effective working relations with commodity, industry, producers' and other private sector organizations and mechanisms in carrying out consultations on food and agricultural systems strategies, policies and investments.

169. Commodity, industry, producer and other private sector organizations that represent small and medium enterprises are natural partners and intermediaries in policy formulation and implementation. FAO can assist countries to strengthen dialogue and consultation mechanisms with these representative organizations. The organizations themselves can be reinforced so that they have stronger commitment to promote and support the creation of economically-viable inclusive business models, defray costs for producers and small and medium enterprises and engage women and youth. They can also be important partners in the design of strategies and policies to govern and manage agrarian structures for equity and efficiency objectives. Private sector organizations that represent the interests of their individual members can be provided with various types of services, including information to improve understanding of trends in food and agricultural systems and how to help their members to respond better to changes.

Output2.3: Public sector programmes and projects engage private and non-profit organizations and alliances in the provision of appropriate technologies, business and financial services and technical support to producers, small and medium food and agricultural enterprises.

170. One of the main lessons emerging from nearly a decade of experience with value chain approaches is that, to improve prospects for sustainability, private sector enterprises and services providers need to be engaged from the start in the provision of services and technical support. FAO will provide guidance on opportunities, participatory methodologies and best practices for engaging food, agriculture and forestry companies in the provision of technical support and services to smaller and more vulnerable producers and enterprises. It can also assist with appraisals of national, regional and global value chains in order to formulate strategies and set priorities for inclusive value chain development.

Output 2.4: Public-private partnerships contribute to enhancing investments in the food and agricultural sector for increasing inclusiveness and efficiency.

171. Public-private partnership agreements have been used effectively to mobilize investment for public goods such as roads, energy, water supply and health services. More recently, there has been growing interest in the use of public-private partnership to increase investment in the food and agricultural sector, particularly for improving efficiency by developing markets and enhancing environmental sustainability. FAO will support countries and potential private sector partners in countries in the appraisal, negotiation, development and implementation of such public-private partnerships. It will also provide guidance on best practice and support institutional and organizational capacity development.

Output 2.5: Private sector and non-profit organizations and alliances have mechanisms for ensuring that the interests of the public sector and vulnerable stakeholders are addressed in the development and application of private standards.

172. FAO will assist countries by maintaining a watching brief and engaging in dialogue with organizations and alliances that are developing or benchmarking private standards so as to ensure that steps are being taken to protect the rights and interests of disadvantaged participants in food and agricultural systems (including consumers), and that other aspects of sustainability are included. National authorities also require help in assessing the impacts of private standards on efficiency, including fairness and sustainability. FAO will assist companies, organizations and alliances on mechanisms for better ensuring that public interests are fully considered in the development and application of private standards.

Output 2.6: Global and regional food and agricultural companies are engaged effectively in meeting the changing and growing demand for food and other agricultural products and services, while addressing possible risks related to conflict of interest.

173. Several influential global and regional food and agricultural companies have made commitments to business practices that support inclusive and sustainable food and agricultural systems development. FAO, working directly and in the broader UN context, can engage with large, influential multinational companies as partners in order to turn their commitments into reality on the ground. Effective consultative mechanisms will need to be in place with key opinion formers and joint initiatives launched for piloting business models that enhance inclusiveness and efficiency, while taking necessary steps to avoid conflicts of interest or market distorting preferences. In joint actions with other UN system programmes and agencies, FAO can take the lead in developing partnership initiatives with global and regional companies.

Organizational Outcome 3: International agreements and mechanisms promote inclusive and efficient markets.

174. FAO is expected to pursue the development of global and regional agreements and mechanisms that promote inclusive and efficient markets, finance and investment, and to assist with their effective implementation. These agreements also include issues of equitable access to technology and to land and other productive resources.

Output 3.1: Global and regional decisions, policies and strategies related to food, agricultural and forest product markets are guided by more timely and reliable data and information on market access and development.

175. FAO will continue to provide timely and comprehensive information, and actively facilitate its effective use, informing national, regional and global level processes of policy dialogue and evidence-based interventions aimed at improving the functionality of food and agricultural markets. This will include strengthened tools for the systematic monitoring, collection and assessment of international market<sup>22</sup> developments and indicators (prices, volumes, policy actions) and analyses of the drivers of future developments (medium- and longer-term projections). FAO will also identify and analyse current and emerging issues, bringing them to the attention of the international community and facilitating their discussion by countries and other stakeholders.

Output 3.2: Countries have greater awareness and ability to engage in formulating and implementing international and regional agreements, regulations and other frameworks which promote fair and safe trade and enhance global and regional market opportunities and participation.

176. To enable effective and balanced country participation, FAO will carry out capacity development activities and will address systemic shortcomings faced by countries in their access to knowledge and their ability to undertake effective analysis and assessment to develop and implement relevant frameworks. Particular attention will be placed, as necessary, on advocating special and differential treatments and the principle of equivalence to ensure mechanisms that facilitate trade and provide flexibilities to countries at different levels of development.

Output 3.3: New and revised international standards for food safety and quality and plant health are formulated and agreed by countries and serve as reference for international harmonization.

177. Enhanced participation of countries, especially developing countries, in standard-setting processes will ensure that new and revised international standards for plant health and food safety continue to address global priorities and meet the needs of all countries. FAO will support this through the elaboration of scientific advice on food safety and quality and plant health to inform the standard-setting process. It will ensure that the scientific advice is generated using updated methodologies and facilitating increased data inputs from developing countries.

---

<sup>22</sup> Including related energy markets.

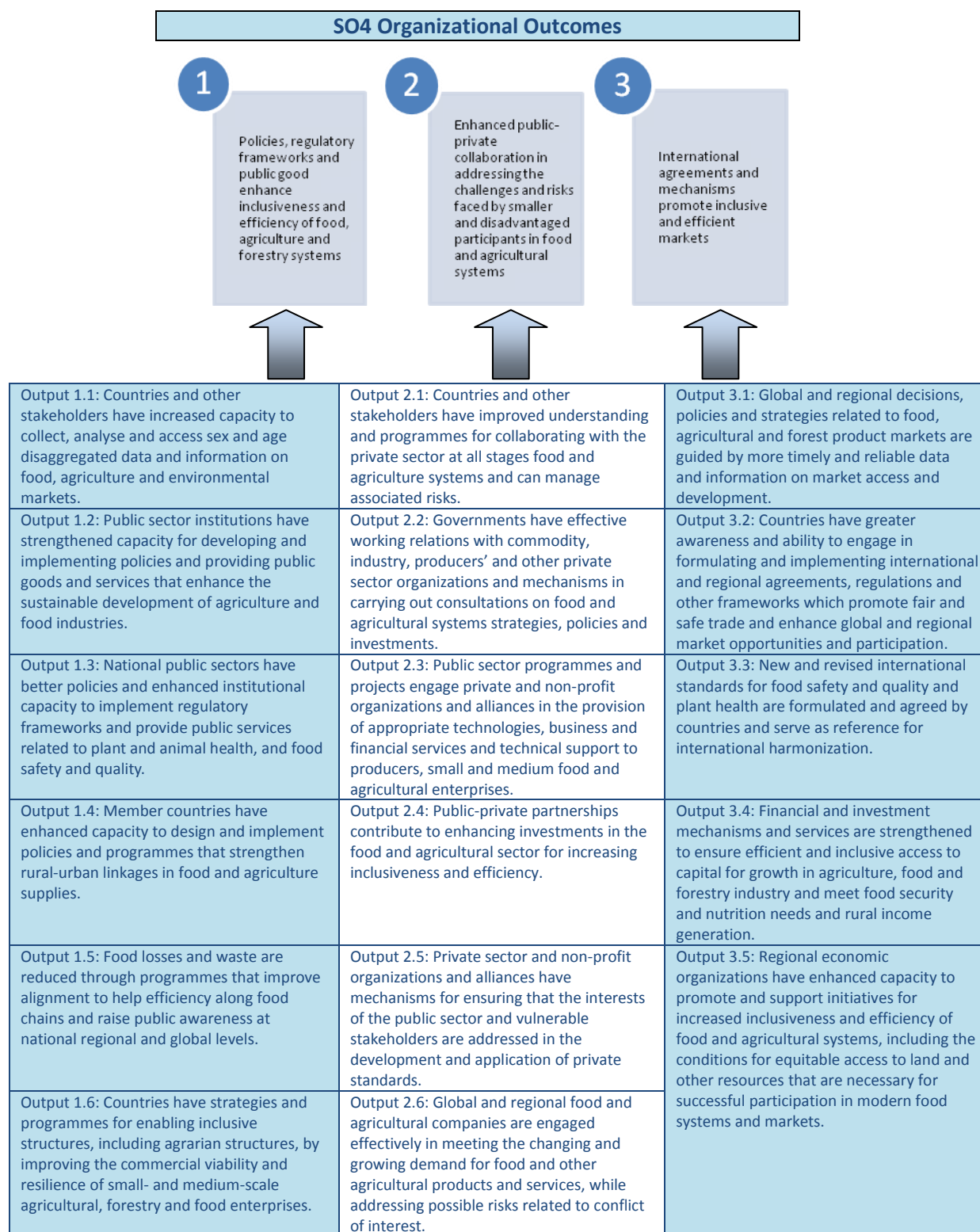
Output 3.4: Financial and investment mechanisms and services are strengthened to ensure efficient and inclusive access to capital for growth in agriculture, food and forestry industry and meet food security and nutrition needs and rural income generation.

178. FAO will share its experience in the identification and application of innovative and/or improved financial approaches and investment mechanisms and will continue to appraise and disseminate state-of-the-art knowledge on financial services and practices, including effective principles for responsible investment, networks of public and private suppliers and users of finance and investment, and legal and regulatory financial service frameworks.

Output 3.5: Regional economic organizations have enhanced capacity to promote and support initiatives for increased inclusiveness and efficiency of food and agricultural systems, including the conditions for equitable access to land and other resources that are necessary for successful participation in modern food systems and markets.

179. In view of the growing importance of coordinated action in the development of food and agricultural systems at the regional level, FAO will pursue cooperation and partnership with regional economic organizations, addressing policy-related constraints to the functioning of food and agricultural systems. A key example of the importance and relevance of these partnerships is to secure reductions in ad hoc trade and market interventions that are negatively affecting food markets. Through such partnerships, FAO will also support regional economic organizations in: the analysis of national policy reform options; their engagement with a wide range of stakeholders representing different interests across different countries in policy dialogue; advocacy of national policy reforms that increase the inclusiveness and efficiency of food and agricultural systems; and assisting national implementation of legislation and measures.





### Indicators and targets

180. SO4 emphasis on more inclusive and efficient agricultural food systems will require FAO to engage in relatively new areas of work, particularly related to Outcome 1. Consequently, a number of pre-conditions must first be established (e.g. Principles for Responsible Agriculture Investment) and assessment tools (i.e. food loss/waste index) developed in order to achieve and then measure the three outcomes. As a result, the M&E framework for SO4 was developed to guide the required process of change. It consists of linked indicators such as 1.1 and 1.2 that measure the progress and achievement of the three Organizational Outcomes underpinning SO4.

181. This first set of SO4 indicators will need to be further reviewed to assess the potential for harmonization with the other four strategic objectives. Then baseline and targets will be developed or confirmed. The Organizational Outcome level indicators are illustrative examples of the types of indicators that may be further articulated during the work planning phase.

182. For new areas of work for FAO, output-level/milestone type progress indicators with targets only in 2015 have been included. In some cases these output indicators are necessary requirements for the suggested outcome-level indicators which are measured only in 2017. In the next phase, the Organizational Outcome indicators will be harmonized with the work planning outputs and activities that will be developed. The units of these indicators will also be reviewed and adjusted in accordance with the data source.

<b>Strategic Objective 4: Enable more inclusive and efficient agricultural and food systems at local, national and international levels</b>			
<b>SO level provisional indicators (and source)</b>			
4.1. Increase LDCs share in agrifood exports ( <i>FAOStat</i> )			
4.2. Increase investment in food and agriculture ( <i>FAOStat</i> )			
<b>OO1: Policies, regulatory frameworks and public goods enhance inclusiveness and efficiency of food, agriculture and forestry systems</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
1.1	Development of market/trade data systems at country level that reflect the performance of agrifood systems	To be determined	To be determined
1.2	Number of countries using FAO market/trade data systems that reflect the performance of the agrifood systems	To be determined	To be determined
1.3	Market/trade data systems on the performance of agrifood systems established	To be determined	To be determined
1.4	Approach to animal and plant health and food safety regulatory profiling defined	To be determined	To be determined
1.5	Number of countries that report improved “animal and plant health and food safety regulatory profiles	To be determined	To be determined
1.6	Number of projects assisting countries/institutions to operate effective and efficient animal and plant health and food safety control systems	To be determined	To be determined
1.7	Number of studies on waste and loss primary data implemented at country level	To be determined	To be determined
1.8	Number of investment programmes at country level approved to mitigate waste and loss	To be determined	To be determined
1.9	Food loss/waste index developed for monitoring the level of primary waste and losses at country level	To be determined	To be determined
1.10	Number of countries using a food loss/waste index for monitoring the level of primary waste and losses at country level	To be determined	To be determined
<b>OO2: Enhanced public-private collaboration in addressing the challenges and risks faced by smaller and disadvantaged participants in food and agricultural systems</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
2.1	Platform for dialogue with the private sector on public-private collaboration in addressing the challenges and risks faced by smaller and disadvantaged participants in food and agricultural systems is established	To be determined	To be determined
2.2	Increased two-year average private investment to FSARD, facilitated by FAO, versus previous two-year average investment (measured in USD)	To be determined	To be determined
2.3	Number of countries where effective public-private dialogue in FSARD was established through FAO facilitation	To be determined	To be determined
2.4	Principles for Responsible Agriculture Investment are developed and endorsed by CFS Plenary	To be determined	To be determined
2.5	Number of countries that have adopted Principles for Responsible Agriculture Investment	To be determined	To be determined

<b>OO3: International agreements and mechanisms promote inclusive and efficient markets</b>			
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional targets (end 2015, end 2017)</b>
<b>3.1</b>	Number of countries reporting increased use of market information and analysis provided by FAO	To be determined	To be determined
<b>3.2</b>	Number of countries supported to engage more effectively in the negotiation of regional and international standards	To be determined	To be determined
<b>3.3</b>	Number of international or regional trade related agreements negotiated or formulated to better reflect the differential requirements of countries, following FAO's assistance	To be determined	To be determined

### *Regional Initiative (SO4)*

#### **Agrarian structures in the Europe and Central Asian region**

183. The programmatic regional initiative on agrarian structures is designed to redress some of the imbalance in the policy landscape that is profoundly unfriendly to smallholders in the region. The programme has two elements and attendant outcomes in order to support smallholders through improved enabling and legislative environments. These are: (i) increase the inclusiveness of policies and public goods dealing with agrarian structures in Europe and Central Asia; and (ii) international agreements in the region promote inclusive and efficient markets for small farms.

184. The regional initiative is fully consistent with the regional priorities endorsed by the European Regional Conference (April 2012), and it will be implemented in selected countries of the region. As a pilot programme, many of its interventions should be viewed as a first stage towards achieving regional outcomes of broader significance at successive stages. Hence, the first year of the initiative should lay the groundwork for further work in the area of integrating smallholders into markets. It includes both learning components, as well as some experiments. These components will be analysed and modified after the first year, in order to reflect the lessons learned.

185. The first outcome would clearly depend on strong advocacy work by the Organization, for example in the application of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security; increased awareness on such critical aspects as better performing agricultural service cooperatives or the reduction of food waste and loss in current systems. The second outcome will entail substantial policy discussions and training, particularly in the perspective of: i) facilitating access of smallholders to export to the Eurasian Customs Union; ii) strengthening policy coordination between Eastern Partnership Initiative countries; and iii) facilitating understanding and adoption of WTO principles throughout the CIS region.

*Strategic Objective 5: Increase the resilience of livelihoods to threats and crises*

**Context and rationale**

186. Each year, millions of people who depend on the production, marketing and consumption of crops, livestock, fish, forests and other natural resources are confronted by disasters and crises. They can strike suddenly - like an earthquake or a violent coup d'état - or unfold slowly - like drought-flood cycles. They can occur as a single event, one can trigger another,<sup>23</sup> or multiple events can converge and interact simultaneously with cascading and magnified effects.<sup>24</sup> These emergencies threaten the production of, and access to food at local, national and at times regional and global levels.

187. Public and private systems that provide support and protect livelihoods and rights are often inadequate, especially in low-income, disaster-prone and protracted crisis countries. The poor in rural and urban areas are disproportionately affected, with poverty serving as both a driver and a consequence of inadequate livelihoods. Malnutrition may be both a direct impact of crises (and related coping strategies households are compelled to adopt), as well as a driving factor threatening the resilience of livelihoods.

188. The inability of families, communities and institutions to anticipate, absorb, accommodate or recover and adapt from crises and disasters in a timely, efficient and sustainable manner is at the crux of this Strategic Objective. Weakness in resilience triggers a downward spiral - household livelihoods and national development gains that have taken years to build are compromised and sometimes shattered.<sup>25</sup>

**Main factors underpinning the design of SO5**

*A planet at risk - disasters and crises on the rise*

189. The factors driving disasters and crises and related risk patterns facing populations and national authorities are complex and dynamic. They include: climate change, population growth and poverty, demographic factors such as migration and urbanization, political instability, economic forces, pathogen mutation/adaptation, ecosystem dysfunction and environmental degradation linked to scarcity of land, water, and energy among others. Rising population density in fragile and exposed rural and urban ecosystems (such as coastal, mountain, forest and dryland areas) means that increasing numbers of people are exposed to heightened vulnerability and thus are at the mercy of disasters and crises.

190. A simple categorization of shocks is as follows:

- a) natural disasters (e.g. geo-climatic and extreme weather events originating from natural hazards - droughts, floods, fires, landslides, volcanic eruptions, tsunamis, earthquakes, storms, extreme temperatures, hailstorms, etc.);
- b) food chain emergencies of transboundary or technological threats (e.g. transboundary plant, forest, animal, aquatic and zoonotic pests and diseases, food safety events, radiological and nuclear emergencies, dam failures, industrial pollution, oil spills, etc.);
- c) socio-economic crises (e.g. the 2008 global food price crisis and more recent financial shocks);
- d) violent conflicts (e.g. civil unrest, regime change, interstate conflicts, civil wars, etc.); and

<sup>23</sup> Examples include the rapid spread of Highly Pathogenic Avian Influenza, H5N1 subtype from Vietnam and China in early 2004 to more than 60 countries and territories or the transboundary spread of white spot syndrome virus in shrimp aquaculture.

<sup>24</sup> Examples include the earthquake, tsunami and nuclear disasters in Japan 2011 or the drought, conflict and locust emergencies in the Sahel in 2012.

<sup>25</sup> For FAO, "resilience" is the ability to prevent and to mitigate the impact of disasters and crises and to anticipate, absorb, accommodate or recover from them in a timely, efficient and sustainable manner. This includes protecting, restoring and improving food and agricultural systems in the face of threats that impact agriculture, nutrition, food security, and food safety (and related public health).

- e) protracted crises (i.e. complex, prolonged emergencies that combine two or more aspects of the above-mentioned crises).

191. There is not a region of the world that is not at risk of one or more of these threats. Natural disasters are expected to be amplified by climate change. Already, the effects are clear - globally, related losses in 2011 totalled USD 264 billion, i.e. twice the level of Official Development Assistance. Food chain emergencies that result from transboundary threats of plant pests and animal diseases and food chain contamination and toxicity are also on the rise as a result of modern food production systems and the globalization of trade. Over the past decade, more than 75 percent of emerging diseases affecting humans originated in livestock and wildlife. Threats to human, animal and environmental health from existing and emerging pathogens are triggered by multiple, often inter-related factors associated with global development trends (population growth, urbanization, increasing demand for animal products, intensifying farming systems, land use change, increased human mobility, trade liberalization, etc.).

192. Since the Asian financial crisis of 1997-98, socio-economic shocks have had a manifest impact on the livelihoods, food security and nutrition of the poor in rural and urban areas. The 2008 global financial and economic crisis was estimated to have pushed an additional 100 million people into hunger in 2009.<sup>26</sup> Since 2007, the FAO food price index has pointed to a new era of high prices and unprecedented volatility.<sup>27</sup>

193. Countries that emerge from conflict often relapse. The downward trend in the number of conflicts since the dramatic peak of the early 1990s reversed in 2004. Although food insecurity is usually not a direct cause of violence, it does act as a threat multiplier for violent conflict when combined with other factors such as low development, a “youth bulge”, and high levels of socio-economic inequality.<sup>28</sup> Frequently, the poor and powerless are forcibly stripped of assets - savings, livestock, standing crops and food stocks - and dislocated from their home areas. In 2012, 42 million people were living as refugees or internally displaced persons, principally as a result of disasters and conflicts.

194. Protracted crises and fragile and conflict-affected countries are not necessarily the same, but there is a generally a strong overlap. Similarly, the characteristics of protracted crises and fragile states – weak institutional capacity, weak state legitimacy, poor governance, political instability, ongoing violence or the legacy of past violence – strongly converge, especially when also affected by natural hazards, transboundary plant pests and animal diseases, and/or socio-economic shocks. In 2010, more than 166 million undernourished people lived in countries in protracted crises, roughly 20 percent of the world’s undernourished people. A different development model is needed in these countries, as affirmed for example by the G7+ countries in the New Deal for Engagement in Fragile States.<sup>29</sup>

#### *Variable patterns of resilience and vulnerability*

195. At times of disasters and crises, many people have to rely on their own resources to protect their lives and livelihoods, families and communities. They may adopt new (or accelerate reliance on) harmful or risky coping strategies, such as compromising dietary intake and diversity, cutting trees to make charcoal, cultivating poppies for opium, slaughtering core breeding livestock, or sending family members on extended and risky migrations in search of jobs, pastures, firewood or water. These strategies may be effective in the short-term or within a limited area, but they can undermine the resilience of ecosystems and communities.

196. The use of child labour in agriculture makes children and youth particularly vulnerable when households are forced to deepen their dependence on coping strategies. Some survival strategies have sharply negative consequences for the most vulnerable within households: children taken out of school, the elderly deprived of food, women denied access to health care, young men abducted into

<sup>26</sup> FAO: Food Security and the Financial Crisis <http://ftp.fao.org/docrep/fao/meeting/018/k6360e.pdf>

<sup>27</sup> FAO: High and Volatile Food Prices: FAO Support to Country Level Contingency Planning (2012).

<sup>28</sup> (Brinkman/Hendrix).

<sup>29</sup> <http://www.g7plus.org/new-deal-document/>

armed forces, girls forced into prostitution, etc. Many will take on unmanageable debts with no possibility of repayment, ultimately leading to a seizure of assets, such as land, imprisonment of debtors or, as a last resort, the forced marriage of children.

197. The nature, frequency, intensity, combination and duration of disasters and crises influence the nature of impacts on different groups and fragile ecosystems. The impacts of disaster and crises are also strongly shaped by factors such as gender, age, educational and knowledge levels, socio-economic status, culture and other factors that govern access to resources. Countries in protracted crisis require special attention within a resilience agenda, given the exceptional role that agriculture, natural resources and the rural economy play in people's survival, as well as the damage to agriculture, food and nutrition caused by protracted crises.

198. Resilience to different shocks varies across and within households, urban and rural communities, ecosystems, countries and regions. In large part, this is due to countries' strategies and investments over time in disaster risk reduction (such as the successful risk reduction and disaster preparedness efforts in Bangladesh that have dramatically reduced mortality caused by major cyclones).

#### *Unmet needs*

199. The UN 2012 appeal for external humanitarian assistance was the largest ever: USD 7.7 billion to assist 51 million people. Between 2000 and 2010, UN appeals were underfunded on average by one-third annually, with sudden onset natural disasters attracting more donor responses than protracted crises. International appeals for food aid requirements are the most consistently resourced, but appeals for agriculture-based livelihoods are routinely less well funded, receiving on average less than half of the funding requested. Contributions are subject to the uncertainties of an ever-shortening international attention span and shrinking funding basis that moves from one crisis to the next, leaving the last one unresolved and the "forgotten emergencies" unaddressed.

#### *Humanitarian and transition protection and development assistance challenges*

200. Research and field practice have generated innovations to support risk reduction and management for agriculture and food security, but there is a chasm between knowledge and practice. Strategic links among humanitarian, development and investment initiatives are not adequately articulated or supported within a coherent architecture of international assistance. Investments in risk reduction and preparedness are dwarfed by the scale of requirements. For example, for the top 20 recipients of humanitarian assistance over the last decade only USD 0.62 out of every USD 100 spent was invested in preparedness across all sectors, including agriculture.

201. Despite consensus on the need to link humanitarian, recovery and development strategies and assistance, there are significant gaps in funding for transition programmes<sup>30</sup> and insufficient coordination between emergency and development actors. The result in both emergency and transition settings (including protracted crises) is a critical imbalance in the Rome-based agencies "twin-track" approach, whereby short- and longer-term food and nutrition security and livelihood challenges must be addressed complementarily and simultaneously. In addition, there is inadequate concern for the potential impact of supply-driven response on the resilience of producers and markets, and an imbalance in support for the breadth of food security dimensions: availability, access, stability and utilization. While significant investments are made in managing the symptoms of acute malnutrition in crisis situations, too little has been done to address its underlying causes through complementary humanitarian and development interventions.

202. With the growing erosion of resilience or increased vulnerability owing to a combination of shocks and stresses, local, national, regional and international emergency responses are too often inadequate or inappropriate, even though investments in support of agriculture and natural resource-based livelihoods are a cost-effective means of managing risks. There is an urgent need to shift paradigm from crisis response to risk reduction measures by all concerned actors and to ensure that resilient livelihoods are a central condition for achieving sustainable development.

<sup>30</sup> INCAF 2009, CWGER 2008: studies on funding for transition.

*The main ingredients of enhanced resilience to shocks*

203. Enhancing resilience to shocks must be the focus of greater political will, investment, coordination, technical expertise and capacities, innovation, knowledge management and shared responsibility for disaster risk reduction and crisis management by countries, local authorities, communities, civil society, the private sector, academia and the international community. Four main components are considered.

204. First, the institutional capacities of countries and other stakeholders for risk management (i.e. prevention, preparedness, mitigation, response, recovery and rehabilitation) need to be strengthened at all levels. This includes capacity for better coordination and articulation of public, private and international assistance before, during and after crisis. Some countries are able to manage crises better than others as a result of sustained investments of financial, technical and political resources to effectively address their multi-risk profiles.

205. Second, continued improvements are needed in information management, early warning, risk analysis and surveillance systems of multi-hazards risks for agriculture, nutrition, food security and food safety (and related public health issues) so as to provide more timely, accurate and actionable alerts to the benefit of rural and urban populations. The dynamics of risks and the consequences of crises need to be more sharply monitored and analyzed, as well as links to institutions and processes that consistently trigger early, appropriate and effective actions. Such systems are best underpinned by a proactive focus on traditional knowledge, science, technologies, good practices and approaches.

206. Third, while hazards are unavoidable, they need not become disasters. Disasters, conflicts, animal- and aquatic-related human health threats, food chain crises and socio-economic crises can, and should be prevented and mitigated. Robust risk-specific mitigation efforts to minimize the impact of disasters are imperative, especially when integrated and combined with climate change adaptation.<sup>31</sup> Resilience can, and should be fostered in advance, as well as restored after crises, to better withstand the next, inevitable threat. The resilience of livelihoods must be protected and promoted and even in the midst of protracted crises and disasters, continued food production and safeguarding consumers must be ensured.

207. Fourth, when people's capacities are overwhelmed by crises, they need to be able to count on effective local, national and international emergency responses, including humanitarian assistance and protection, expandable safety nets, crop insurance schemes and other forms of social protection adapted to aid at risk populations. This requires greater coherence and integration of humanitarian, development and investment strategies to support local and national institutions, buoyed by an effective global system of coordinated humanitarian actors.

*The centrality of strategic partnerships for results*

208. Building resilience of livelihoods in challenging institutional environments requires highly specialized expertise, enhanced partnerships across all stakeholder groups and institutional capacity and commitment. There are vital and complementary roles for research, technology, knowledge management, communication and advocacy in risk reduction and crisis management for agriculture, food and nutrition. Comprehensive capacity development to enhance technical and functional skills on risk management for agriculture, food and nutrition across the individual, organizational and policy levels are central to achieving meaningful and sustainable results.

**Action Plan**

209. SO5 builds on the multidisciplinary collaborations that have underpinned the FAO Disaster Risk Reduction (DRR) for Food and Nutrition Security Framework Programme. Increasing the resilience of agriculture and natural resource-based livelihood systems remains the overarching goal and driving logic in the humanitarian-development continuum and related support to countries, as has been consistently pursued by the Organization.

---

<sup>31</sup> The Rio+20 Declaration calls on key stakeholders to “commit to adequate, timely and predictable resources for disaster risk reduction in order to enhance the resilience of cities and communities to disasters”.

210. In this spirit, and in line with FAO's comparative advantages and extensive field experience, this Action Plan focuses on developing, protecting and restoring resilient livelihoods so that the integrity of societies that depend on farming, livestock, fish, forests and other natural resources is not threatened by crises. It adheres to the "twin-track" approach of taking immediate steps to support food security and nutrition, while simultaneously addressing the underlying factors driving disasters and crises. It will facilitate mainstreaming of risk reduction and preparedness, prevention, mitigation, response and recovery in the food and agriculture sectors through local, national, regional and international strategic programming processes involving humanitarian, development and investment actors before, during and after crisis.

211. FAO will bring to bear its unique relationship to ministries in charge of agriculture, livestock, fisheries, forestry and the environment. It will draw on its proven capacity to lead and contribute to key international platforms and mechanisms for collective engagement in risk management. It will also fully exploit its arsenal of tested risk management measures, including for risk analysis (hazard identification, risk assessment, response options analysis and implementation) and risk communication, and its well established food security and food safety information and early warning systems. Based on its impartial and accurate assessments of crisis impacts and related requirements for agriculture, food and nutrition, it will actively participate in mechanisms such as the UN appeals, emergency assessments, joint post-disaster and post-conflict assessments, and crop and food security assessments. FAO will continue to promote an expanded "One Health" agenda for collaborative, cross-sectoral and multidisciplinary approaches to address threats of infectious diseases at the livestock/wildlife-human-ecosystem interface.

212. Four mutually supportive Organizational Outcomes have been formulated with underlying major outputs, as elaborated below.

Organizational Outcome 1: Countries and regions have legal, policy and institutional systems and regulatory frameworks for disaster and crisis risk management for agriculture, food and nutrition.

213. This focuses on FAO's work to foster an enabling environment for the management of multiple hazards and myriad risks that threaten agriculture, nutrition, food security and food safety (and related public health issues) and includes the strengthening of government capacities for a better coordination and articulation of public, private and international assistance.

Output 1.1: FAO supports strong national and international frameworks, protocols and standards promote resilient livelihoods and the management of risks that threaten agriculture, nutrition, food security and food safety (and related public health issues).

214. As part of a coherent livelihood-based resilience agenda at global, regional and national levels, work includes advocacy for the adoption of and compliance with international and regional conventions, treaties, laws, frameworks and guidelines<sup>32</sup> for DRR and crisis management with main focus on agriculture, nutrition and food security, food safety (and related public health issues), ensuring gender mainstreaming. Strategic coordination and partnerships will be ensured, especially among humanitarian and development actors<sup>33</sup> and in direct support of the Hyogo Framework for Action (HFA). Upstream policy and programme advice is to address socio-economic challenges, such as food price volatility and transboundary plant pest, animal diseases and food safety threats.

Output 1.2: Disaster risk reduction and crisis risk management for agriculture, nutrition and food security, food safety, including risk gender-sensitive approaches, are mainstreamed into specific sectoral (agriculture, livestock, fisheries, forestry and natural resources), cross-sectoral (nutrition, food security, food safety and related public health issues) and other relevant development policies, strategies, frameworks, plans and platforms.

215. FAO will advocate for risk reduction and crisis management to be mainstreamed into food, nutrition and agricultural development policies, strategies, legal, regulatory and institutional frameworks, plans and programmes. Similarly, it is essential that multisectoral development strategies

<sup>32</sup> i.e. Voluntary Guidelines on Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security.

<sup>33</sup> For example, the United Nations Development Group (UNDG) and the IASC, including the IASC cluster system.



with food, nutrition and agriculture elements adequately address disaster risk reduction and crisis risk management. FAO will support this integration at both the national and regional levels, including in post-crisis and transition settings. At the global level, FAO will further capitalize on its guidance on Disaster Risk Management System Analysis.

Output 1.3: Strong country and local capacities facilitate implementation of international, regional, and national standards, norms and regulatory instruments for the management of risks affecting agriculture, nutrition, food security and food safety (and related public health issues).

216. Legal, policy and regulatory frameworks must translate into effective action at the regional, national and subnational levels, down to the grassroots level of communities and individual households. With specific attention to the participation and strengthening of women's groups, capacity-building to ensure resilient livelihoods will be pursued through collaborative initiatives such as farmers' organizations, farmer field schools, livestock field schools, community-based approaches (e.g. community-based fire management), resource management organizations and traders associations to disseminate and uphold standards, norms and regulations for disaster risk reduction and crisis management for agriculture, food and nutrition.

Output 1.4: Investments in knowledge management and dissemination enable legal, policy and regulatory processes and institutions to identify, capture and apply lessons learned and good practices for gender-sensitive disaster risk reduction, crisis management and related transitions for agriculture, nutrition, food security and food safety (and related public health issues).

217. A world where exposure to risks is increasingly "the norm" requires new and improved standards and guidance for risk management. Based on existing and expanding store of lessons learned and good practices for small holders (e.g. technologies and practices for small agricultural producers TECA) database, forest fire and law guide for national drafters, protecting and promoting good nutrition in crisis recovery, etc.). FAO will support active multistakeholders partnerships and networks for learning at global, regional, national and subnational levels. Beneficiaries include: international institutions, national agencies, civil society, academia, the private sector, and local community organizations. Particular attention will be given to platforms for communities to generate knowledge and empowerment for agriculture, food and nutrition risk reduction and crisis management at local levels.

Organizational Outcome 2: Countries and regions deliver regular information and trigger timely actions against potential, known and emerging threats to agriculture, food and nutrition.

218. This encompasses key areas of work on: risk assessment and communication, horizon scanning, surveillance and monitoring, early warning, analysis and information dissemination for decision-making on multi-hazard risks for agriculture, nutrition, food security and food safety (and related public health issues) to provide timely, accurate and actionable alerts for the benefit of rural and urban populations.

Output 2.1: Mechanisms to identify, monitor and provide timely and actionable early warning for short-, medium- and longer-term risks to agriculture, nutrition, food security and food safety (and related public health issues) are in place and enhanced for threats at the global, regional, national and local levels.

219. Consensus for inclusive and transparent decision making will be promoted through inter alia risk communication, stakeholder participation, development of common classification tools, and response analysis. FAO will strengthen its global public goods in this area, with focus on trend analysis, including for emerging threats for systems at risk and protracted crises. It will also seek to enhance, harmonize and build coherence and complementarities of integrated and gender-sensitive systems of monitoring, early warning and analysis of hazards and risks to agriculture, nutrition, food security and food safety. Building national systems will cover in particular the formulation of effective socio-economic and biophysical monitoring strategies and multidisciplinary and cross-sectoral mechanisms and capacities.

Output 2.2: Improved capacities of countries and communities to identify monitor and evaluate risks; conduct needs assessment and response analysis; and act on impending threats to agriculture, nutrition, food security and food safety (and related public health issues).

220. With particular attention to “hot spot” areas, FAO will support the engagement and capacities of regional, national and local authorities in multi-hazard risk mapping that draws on tools such as seasonal climate forecasting, rapid risk assessments, risk communication, and response options analysis. The participation of both men and women in assessments and in shaping responses is key to effective information and early warning systems, as is the collection of sex- and age-disaggregated data. In this connection, participatory approaches, such as causal analysis of disaster- and crisis-related food and nutrition insecurity, have proven effective.

Organizational Outcome 3: Countries apply prevention and impact mitigation measures that reduce risks for agriculture, food and nutrition.

221. This outcome aims at enhancing the resilience of livelihoods at imminent risk of crises, through the reduction of risks and enhanced capacities and measures to prevent and mitigate the impact of multiple and interconnected hazards, disasters, food chain emergencies, socio-economic shocks and localized resource-based conflicts. This is underpinned by a fundamental shift in moving from a sectoral and “mono-hazard” approach to an integrated “multi-hazard” and multisector approach. The aim is to promote ecological, economic and social resilience is supported through the implementation of ecosystem approaches. Overall, this Outcome promote and facilitate expanded and smarter investments in reducing risks and building resilience over time.

Output 3.1: Strategies and related interventions improve the resilience of livelihoods systems at risk through prevention and mitigation efforts that minimize the potential impacts of disasters and crises on agriculture, food and nutrition at national, subnational and community levels.

222. Strategies and programmes should enlarge livelihood options of vulnerable households and link those options with broader social protection opportunities. This includes consumer awareness and skills to manage food-related threats. FAO will support governments and communities in diversifying and - if sustainable - intensifying livelihood systems in ways that create productive coping and adaptive capacities for vulnerable men and women, reducing gender inequalities. Work with partners will address increased access, availability and quality of social protection (including safety nets, conditional transfers, crop/livestock micro-insurance, etc.) as one pillar of livelihood diversification for populations at risk.

Output 3.2: Guidance in the design and implementation of sectoral and infrastructure prevention and rehabilitation programmes results in “crisis-proof” agriculture production and marketing systems for livelihoods and ecosystems.

223. Proven interventions to strengthen resilience include flood-proof irrigation canals, weather-proof small-scale farm infrastructure (e.g. seed storage, cattle shelters and market structures built to resist heavy snowfall, hurricanes or floods) and water harvesting and soil conservation measures to reduce risks from droughts and other hazards. Building on known experience in rehabilitating infrastructure and designing production and marketing systems in post-conflict and in post-disaster and transition settings, FAO will disseminate further gender sensitive guidance material and work with governments and partners in its application.

Output 3.3: Conflict-sensitive programmes on agriculture, food and nutrition reduce the risks of localized conflicts relating to access to grazing, forest and farming lands, fishing grounds, water, trees and other natural resources.

224. A context of violence can transform some household and communal assets into liabilities that threaten lives and livelihoods, reflecting the double-edged role of natural resources as both keys to survival and primary attractants of violent attacks. Properly understanding households and community dynamics and tailoring agriculture and natural resource initiatives accordingly can reduce risks and contribute to lasting peace and stability, especially in transition conditions. Together with governments and communities FAO will analyse and mitigate conflict risks that are embedded in agrarian systems,

including promoting adherence to conventions, laws, rights, guidelines and standards to protect agriculture, food and nutrition in conflict situations.

Output 3.4: Disaster risk reduction experiences, technologies and good practices for food and agriculture and nutrition are documented, piloted and disseminated for wider application before, during and after crises.

225. Investments that help vulnerable populations withstand shocks and cope with crises have been promoted over many years, including for crop diversification, soil conservation (conservation agriculture), agroforestry, catchment area management, water harvesting, village cereals banks, and communal land and water access agreements. FAO will support further piloting and dissemination of new technologies and practices, emphasizing their application in specific agro-ecological areas at risk of disasters and crises, taking account of prevailing socio-economic and cultural contexts. Through better knowledge, the actual innovative, coping and livelihood strategies of producers (men and women) and their community will inform wider disaster preparedness, response, recovery and transition strategies and actions. FAO will also support the dissemination of this knowledge, in cooperation with governments, the private sector and extension services.

Organizational Outcome 4: Countries and regions affected by disasters and crises with impact on agriculture, food and nutrition are prepared for, and manage effective responses.

226. This aims at strengthening the protection and restoration of resilience in times of crises and post-crisis. Work includes longer-term strategies to develop the capacities of “first responders”, i.e. those closest to affected populations that can react quickly and effectively. This will be accompanied by initiatives to enhance the effectiveness of FAO’s humanitarian and recovery operations.

Output 4.1: Humanitarian action effectively protects lives and livelihoods of farmers, herders, fishers, forest- and tree-dependent communities and marginal groups in times of crises.

227. Assistance must be delivered in ways consistent with humanitarian principles. This includes the need to advocate for the protection of people (including those displaced by crises), their access to assets, and agriculture production and marketing systems based on international, regional and national conventions, and laws and customs. FAO is to support governmental efforts or, when requested and as needed, lead, coordinate, mobilize resources and implement humanitarian action in affected countries, ensuring accountability to beneficiaries. To be effective in these roles, FAO will ensure readiness through regularly maintained rapid response capacities governed by standard operating procedures. Likewise, assistance will cover the formulation and maintenance of gender-sensitive national preparedness and contingency plans for the management of threats to agriculture, food and nutrition.

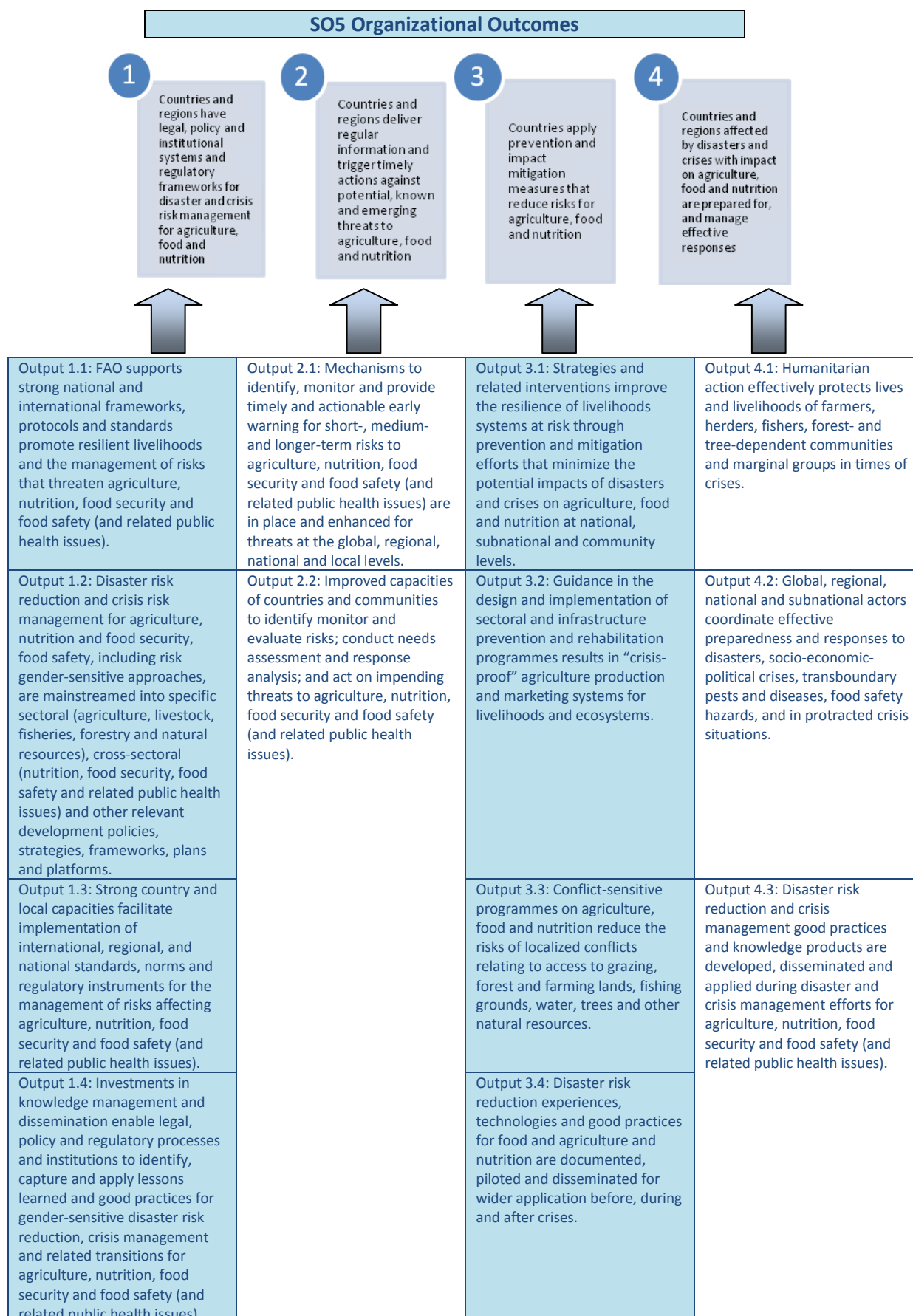
228. In concert with attention to its own crisis management capabilities, FAO will seek to enhance the capacity of countries and other humanitarian partners in terms of technical leadership, advocacy and coordination support for crises affecting the food and agriculture systems. Hence, capacity development will aim at more accountable and robust humanitarian engagements, as well as in dealing with post-crisis rehabilitation, transition and longer-term development. Examples of preventative action in advance of (and during or after) crises is to address availability, accessibility, stability, safety and quality of food supplies, such as the establishment of local seed multiplication systems which are particularly important to ensure the timely availability of quality and adapted (with shorter cycle) seeds to vulnerable smallholders.

Output 4.2: Global, regional, national and subnational actors coordinate effective preparedness and responses to disasters, socio-economic-political crises, transboundary pests and diseases, food safety hazards, and in protracted crisis situations.

229. As co-lead of the Food Security Cluster and Inter-Agency Standing Committee “provider of last resort” in food security emergencies, FAO will promote multiyear funding for crisis impact mitigation, preparedness, response and recovery particularly in support of government-led, regional and international plans and interventions. Successful implementation of these strategies depends on enhanced links between and within subnational, national, regional and international agriculture, food security and safety, and nutrition actors.

Output 4.3: Disaster risk reduction and crisis management good practices and knowledge products are developed, disseminated and applied during disaster and crisis management efforts for agriculture, nutrition, food security and food safety (and related public health issues).

230. Knowledge and good practices learned in emergency programmes can be applied also to longer-term crisis risk management, especially in recurrent crisis and conflict situations. FAO will seek to strengthen its relationships of accountability with “at risk” populations, governments, and other partners, including participatory community feedback mechanisms to shape the direction of crisis management engagements. FAO will also promote gender-sensitive impact assessments and peer reviewed agriculture, food and nutrition emergency programmes. Contributions will be made to humanitarian learning networks, such as the Active Learning Network for Accountability and Performance in Humanitarian Action (ALNAP) and MICROCON (micro level analysis of violent conflict), as well as risk reduction and crisis management platforms at global, regional and national levels (such as the UN International Strategy for Disaster Reduction UNISDR) Global Platform on DRR, the Davos Risk Forum, the African Union’s regional mechanisms to target issues of drought and climate change and conflict early-warning systems, etc.).



### Indicators and targets

231. Consistent with the SO5 aim and strategy, the purpose of the monitoring framework is to assess how livelihoods resilience is enhanced through increased commitment and improved capacities for disaster and crisis risk management, risk monitoring and early warning, prevention and mitigation for agriculture, food and nutrition.

232. The contribution that FAO will make together with its partners will be further qualified and completed in 2013 in the elaboration and finalization of the monitoring framework. Data for the selected indicators will be obtained from existing secondary data sources and through country surveys to be conducted in synergy with other strategic teams. Provisional baseline are established based on some of the MTP-PWB 2010-2013 indicators. In fact, several of the previous MTP/PWB indicators are retained and have been integrated in the monitoring framework of this Strategic Objective. Baseline, sampling and targeting methodology will be further developed in the context of the overall approach for monitoring in 2013.

<b>Strategic Objective 5: Increase the resilience of livelihoods to threats and crises</b>				
<b>SO level provisional indicators (and source)</b>				
5.1. Reduced exposure to risks ( <i>GIEWS, UNHCR, UNISDR</i> )				
5.2. Reduced dependence on food aid and level of malnutrition ( <i>WFP, UNICEF</i> )				
<b>OO1: Countries and regions have legal, policy and institutional systems and regulatory frameworks for disaster and crisis risk management for agriculture, food and nutrition</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
1.1	Existence of national and regional policy, strategy and/or regulatory framework for DRR and management which include agriculture, food, nutrition and related sectors	45 countries have developed or adopted national food safety/quality policies on the basis of sound assessments and through participatory processes (D2.1)	50	To be determined
1.2	Dedicated and adequate risk management authority and resources are available to implement agriculture-food and nutrition related DRR plans and activities at all administrative levels	51 developing/transition countries have or are developing efficient and uniform food inspection and certification services meeting international recommendations (D3.2)	To be determined	To be determined
1.3	DRR is an integral part of agriculture, food and nutrition related policies, strategies and plans	12 high risk disaster hotspot countries with specific DRR action plans for agriculture included in their national disaster risk management plans (I1.3)	15	To be determined
<b>OO2: Countries and regions deliver regular information and trigger timely actions against potential, known and emerging threats to agriculture, food and nutrition</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
2.1	Systems are in place to collect, monitor and share data on key, hazards, and vulnerabilities for risks affecting agriculture, food and nutrition	2 countries piloting a cross-sectoral results-based policy and programme monitoring system covering food insecurity, hunger and/or malnutrition concerns (H1.3)	5	To be determined
2.2	Risk analysis, early warning and alert systems are in place for all major risks affecting agriculture, food and nutrition with outreach to communities	27 vulnerable countries having established or taking steps to improve early warning systems for agriculture and food security using coordinated platforms (I1.1)	35	To be determined
2.3	Evidence basis analysis and use of hazards and vulnerability related data to inform decisions on disaster risk reduction and management programming and implementation for agriculture, food and nutrition	To be determined	To be determined	To be determined

<b>OO3: Countries apply prevention and impact mitigation measures that reduce risks for agriculture, food and nutrition</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
3.1	Effective implementation of good practices, approaches and technologies for reducing risks for agriculture, food and nutrition at all administrative levels	<p>12 countries applying preventive locust control systems or area-wide integrated application of the Sterile Insect Technique and 13 countries using nuclear applications (A2.4)</p> <p>27 countries having adopted measures to improve the life cycle management of pesticides aimed at reducing risks to human health and the environment (A3.1)</p> <p>43 developing/transition countries have developed national strategies and action plans for raising public awareness and education on food safety and quality, including nutritional benefits (D3.4)</p> <p>4 countries using FAO community-based fire management approaches and 50 trainers trained (E4.2)</p> <p>8 countries or river-basin organizations whose water-scarcity coping strategies adopt FAO recommendations (comprehensive framework to cope with water scarcity) (F2.1)</p>	<p>24 (A2.4)</p> <p>35 (A3.1)</p> <p>To be determined</p> <p>10 countries and 80 trainers trained (E4.2)</p> <p>To be determined</p>	To be determined
3.2	Agriculture, food and nutrition related social protection measures are being implemented to reduce the vulnerabilities of populations at risk and/or affected	To be determined	To be determined	To be determined
3.3	National coordination of multistakeholder and multisectoral mechanism for disaster risk reduction and management functioning and including a focus on DRR for agriculture, food and nutrition interventions	27 countries supported by FAO have implemented the food security cluster approach to formulate and manage emergency response (I2.2)	49 (I2.2)	To be determined
<b>OO4: Countries and regions affected by disasters and crises with impact on agriculture, food and nutrition are prepared for, and manage effective responses</b>				
	<b>Provisional indicator</b>	<b>Provisional baseline</b>	<b>Provisional target (end 2015)</b>	<b>Provisional target (end 2017)</b>
4.1	Disaster preparedness and contingency plans for agriculture, food and nutrition are in place and effective for DRR at all administrative levels	<p>28 countries and partners having incorporated agriculture and food security into contingency plans. (I1.2)</p> <p>2 national contingency plans developed for specific pest and disease threats other than desert locust, including weeds and woody plants (A2.3)</p> <p>65 developing and transition countries implementing national / regional action, facilitated and supported by FAO for prevention and control of priority animal / zoonotic diseases (domestic terrestrial and aquatic animals, wildlife) (B2.2)</p> <p>31 developing/transition countries have developed risk-based food safety programmes, including emergency preparedness, which apply FAO best practices (D3.1)</p>	<p>To be determined</p> <p>30 (A2.3)</p> <p>100 (B2.2)</p> <p>34 (D3.1)</p>	To be determined

	Provisional indicator	Provisional baseline	Provisional target (end 2015)	Provisional target (end 2017)
4.2	Existence of effective and accountable technical and institutional coordination mechanism and implementation capacities for disaster/crisis management for agriculture, food and nutrition	56% of countries supported by FAO have developed and deployed rehabilitation plans or resource mobilization strategies for agricultural recovery and transition (I3.1)  27 countries supported by FAO have implemented the food security cluster approach to formulate and manage emergency response (I2.2)	75% of countries (I3.1)  49 (I2.2)	To be determined
4.3	Disaster risk reduction measures for agriculture, food and nutrition are integrated into response, post disaster recovery and transition-development planning and interventions	59% of countries with FAO-supported capacity development post-crisis have implemented measures to strengthen the resilience of food and agricultural systems (I3.2)	80% of countries (I3.2)	To be determined

### *Regional Initiative (SO5)*

#### **The Sahel and the Horn of Africa**

233. The key ministries and local governments responsible for agriculture, food and nutrition are inadequately prepared for handling increasingly complex hazard and risk profiles. Disasters and crises can overwhelm even the strongest of countries and the most prepared of institutions, as the “mega-disasters” in recent years have demonstrated. FAO’s Regional Conferences and Technical Committees have called for consistent support to countries and at-risk populations for crisis and disaster risk reduction, prevention, preparedness, mitigation, response and recovery, effective biosecurity governance and climate change mitigation and adaptation. At the same time, diversity and specificity among regions will need to be taken into account. This regional initiative is to address two regions in Africa especially prone to multihazards and disasters: the Sahel and the Horn.

234. Across such a highly diverse area, threats to resilient livelihoods include: droughts, floods and other natural hazards (cyclones, earthquake, tsunami); HIV and AIDS; expanding arid and semi-arid areas; impacts of climate change; water shortages; protracted crises; locust infestations; transboundary animal health threats; pastoralist-farmer conflicts; food safety threats; and forest and other vegetation fires. This requires multidisciplinary capacity development for overarching resilience work in terms of coherent emergency, development, investment and policy interventions.

235. This programmatic regional initiative concentrates on Organizational Outcome 1, hence, attention is given to risk reduction and crisis management governance through:

- a) disaster risk reduction and crisis risk management for agriculture, nutrition and food security, food safety, including risk gender-sensitive approaches, mainstreamed into specific sectoral (agriculture, livestock, fisheries, forestry and natural resources), cross-sectoral (nutrition, food security, food safety (and related public health issues) and other relevant development policies, strategies, frameworks, plans and platforms;
- b) strong country and local capacities to facilitate implementation of international, regional, and national standards, norms and regulatory instruments for the management of risks affecting agriculture, nutrition, food security and food safety (and related public health issues); and
- c) investments in knowledge management and dissemination to enable legal, policy and regulatory processes and institutions to identify, capture and apply lessons learned and good practices for gender-sensitive disaster risk reduction, crisis management and related transitions for agriculture, nutrition, food security and food safety (and related public health issues).

236. The delivery of these Outputs in the Sahel and the Horn of Africa will be distinguished by three main “products”. These will set the foundation for coherent and continued emergency, rehabilitation, transition, development, investment and policy interventions for increasing the



resilience of livelihoods in the two subregions, in close collaboration with countries and regional authorities, donors and NGOs: a) multi-year resilience programmes for the Sahel and Horn of Africa developed and owned at all levels; b) strategic partnerships between IGAD, CILSS<sup>34</sup> and FAO initiated with cross-regional learning and collection and dissemination of good practices for resilience to multi-hazards; and c) reference study on “the economics of resilience in the drylands of sub-Saharan Africa” produced together with the World Bank and the CGIAR.

---

<sup>34</sup> Intergovernmental Authority on Development (IGAD); Permanent interstate committee for drought control in the Sahel (CILSS).