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# Moving towards sustainable agriculture business principles

Analysis and synthesis of the first round of stakeholder consultations on UN Global Compact's white paper on SABPs

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Abstract: This report synthesizes the feedback received from stakeholders regarding the White Paper on the Sustainable Agriculture Business Principles (SABPs), which at a later stage became known as Food and Agriculture Business Principles. The report also gives suggestions for the final drafting of the SABPs. UN Global Compact has engaged with stakeholders within and outside its local networks to solicit feedback on the White Paper. Ten country consultations were conducted, complemented by an online survey, representing a wide range of stakeholders in the agro-food system. The main conclusion is that there is support for the 6 draft Principles suggested in the White Paper, and for the creation of SABP Principles in general. The feedback suggests specific extra focus is needed on the consumers role in transforming the food and agricultural system, as well as more attention for forestry, fisheries, and waste reduction. The high level language of the FAB Principles draws concerns from stakeholders regarding how they might be applied in implementation, and actually translated into partnerships and enabling actions relevant for local situations.

Keywords: food, agriculture, sustainability, United Nations Global Compact, multi-stakeholder, global

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# Executive summary

Since the White Paper on Sustainable Agriculture Business Principles (SABPs) was released in July 2013, UN Global Compact (UNGC) has engaged with stakeholders within and outside its local networks to solicit feedback on the draft principles. This report synthesizes the feedback, and gives suggestions for the final drafting of the SABPs.

The consultation process comprised two modes administered in parallel: (1) UNGC Local Networks were encouraged to host a physical consultation to discuss the White Paper; and (2) an Online Consultation was open from September to mid-November 2013. Ten physical consultations were held by GC Local Networks - in Australia (2x), Costa Rica, Ghana, India, Japan, the Netherlands, Nigeria, the Nordics (comprising Denmark, Norway, Sweden, Finland), and Singapore. The online Survey was fully completed by 185 respondents. 378 People participated in the physical consultations, of which approx. 43% were from business, 19% from civil society, 8% from governments, with others including academia and other experts. We also included comments provided by the Core Advisory Group for the SABPs, that met in Geneva on 2 December 2013.

The main conclusion is that there is in general support for each of the 6 draft Principles, and for the creation of SABPs in general. However, a consistent signal was for the language of the SABPs to be more aspirational and engaging, and moving away from moral imperatives (i.e. *'businesses should...'*). Further effort is requested to try to combine the general recommendations given above, with coherence with the language of UNGC general principles.

Stakeholder feedback requests greater clarity on what signing-up to the SABPs entails. *Do the SABPs call for endorsement, implementation, or advocacy?* Several suggestions pointed to the need to consider the SABPs from the perspective of its future users - i.e. business, governments, the UN system, civil society - to ensure understanding of how the SABPs relate to them, what value they offer to each, and what success could look like. A view on what adherence to the SABPs means, or could practically be, would be helpful in the next development phase of the SABPs.

Key suggestions included changing the sequencing of the SABPs to place 'Frame 6' (on food security, health and nutrition) first to logically reflect the overarching aim and expected outcome of sustainable agriculture. This, and other sequence revisions, also presents the opportunity of greater alignment with elements of the current iteration of the CFS/RAI *Zero Draft* document.

Generally, stakeholders mentioned the need to position the SABPs clearly in relation to other sustainable agriculture initiatives. This would help avoid confusion between initiatives, and make the SABPs more actionable in conjunction with other initiatives.

More specific suggestions per frame (draft principle) are also included, drawn from analysis of significant findings from the data set. The main results of the online stakeholder survey are listed in the table on the next page.

Finally, the next round of consultations should prioritize underrepresented stakeholder groups so far, to achieve a better regional and industry balance. Also it is critical to start outlining pathways for bringing the SABPs to life. The next consultation round should also be used as an opportunity to strengthen regional and national buy-in to the idea of the SABPs, in anticipation of approval.

Frames	Should this frame constitute a unique principle?	How important is this frame?	Three key issues / factors according to respondents
1	<p>No 17% Yes 83%</p>	4.45 out of 5	<ul style="list-style-type: none"> <li>– Minimizing waste and pollution</li> <li>– Protect biodiversity and conservation</li> <li>– Mitigate climate change</li> </ul>
2	<p>No 30% Yes 70%</p>	4.00 out of 5	<ul style="list-style-type: none"> <li>– Protect smallholders and eradicate poverty</li> <li>– Ensure market access and fair mechanisms</li> <li>– Emphasize supply chain wide approach</li> </ul>
3	<p>No 22% Yes 78%</p>	4.41 out of 5	<ul style="list-style-type: none"> <li>– Protect smallholders and eradicate poverty</li> <li>– Invest in local communities</li> <li>– Protect children</li> </ul>
4	<p>No 32% Yes 68%</p>	3.96 out of 5	<ul style="list-style-type: none"> <li>– Focus on accountability and anti-corruption</li> <li>– Need for government involvement</li> <li>– Need for monitoring systems and standards</li> </ul>
5	<p>No 33% Yes 67%</p>	4.08 out of 5	<ul style="list-style-type: none"> <li>– Educate smallholders</li> <li>– Invest in local communities</li> <li>– Disseminate knowledge and create sharing platforms</li> </ul>
6	<p>No 22% Yes 78%</p>	4.33 out of 5	<ul style="list-style-type: none"> <li>– Food safety and health care</li> <li>– Change food patterns and consumer behavior</li> <li>– Minimize waste and pollution</li> </ul>

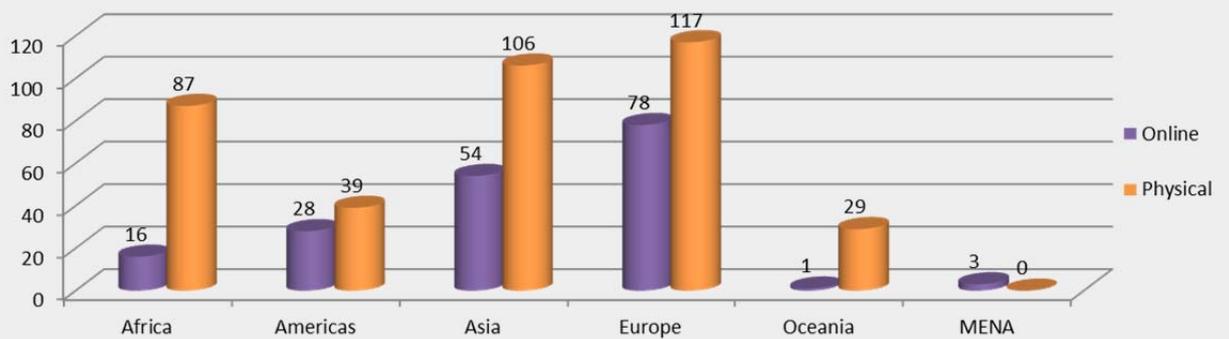
Factors	Actions
<p><i>Five most important factors (score 1-5):</i></p> <ul style="list-style-type: none"> <li>– Optimal use of soil and water (4.32)</li> <li>– Health and nutrition (4.24)</li> <li>– Biodiversity (4.13)</li> <li>– Small scale farmers and co-ops (4.13)</li> <li>– Land use and rights (4.10)</li> </ul>	<p><i>Correct strategy?</i></p> <p>No 14% Yes 86%</p> <p><i>Most important actions (rank 1-3):</i></p> <ul style="list-style-type: none"> <li>– Enabling (1.87)</li> <li>– Partnership (1.99)</li> <li>– Company (2.14)</li> </ul>

# 1 Who provided feedback?

## 1.1 Number and type of respondents



## REGIONS



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## 1.2 Representation

In total 185 people participated in the online consultation and 378 in the physical consultations. The online consultation questionnaire comprised of a maximum of forty questions and took between 30 and 90 minutes to complete. The physical consultations were typically organized as half-day meetings.

74 respondents (40%) completed the online consultation on behalf of an organization. These organizations varied in size from some with less than 10 employees to one with over 50,000 employees. Collectively, 40% of the respondents represented between 150,000 and 1,000,000 employees.

The physical consultation reports from the Netherlands (38 out of 43 participants) and Ghana (32 out of 40 participants) provided specific information on the size of participants' organizations. The participants at those meetings represented more than 900,000 and 14,000 employees respectively. Assuming these numbers are representative for the rest of the consultations, the total extrapolated number of employees represented by the organizations involved in the physical consultations is estimated at between three and five million. This estimate includes business, government agencies, civil society and academic representatives but does not include members of represented business associations.

A draft version of this report was discussed at the UN Global Compact Core Advisory Group meeting on the SABPs in Geneva (2 December 2013). This meeting included 55 participants, of which 30% represented business, 15% civil society and academics, 25% roundtables and business initiatives, and 20% UN. Most of these have been involved in the drafting process of the White Paper, and are therefore not counted in the metrics presented here. Specific comments from this meeting have been included in this report in **red boxes** throughout the text.

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*“The draft of the SABPs is an absolute delight. The process of convergence with other stakeholders and guidelines is urgent for delivering shared value for all involved in sustainable agriculture ”*

*- Jose Lopez, COO of Nestlé at Geneva CAG meeting December 2, 2013*

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## 2 General feedback

Before addressing feedback on the individual frames, we have collated feedback of a more generic nature. These are presented under 4 sub-headings: *Need, Structure, Language* and *Additions*.

Overall, respondents support the creation of SABPs as an initiative that could add value in promoting sustainable agriculture. Questions about their relevance have hardly been encountered in this round of stakeholder feedback.

### 2.1 Need

There is widespread consensus that the SABPs are of value in on-going global efforts to move to more sustainable forms of agricultural production, processing and wholesaling/retailing. Thus the effort to refine and finalise the principles, and seek recognition at the UN-level, is justified.

At the same time, there is a widespread call to clarify what the 'business case' is to sign up to these principles. Questions that need to be addressed more explicitly include:

- What exactly is business signing up to? Is this to endorse the principles, implement them, lobby for their recognition?
- If business is asked to comply, what then is expected of them to actually do? This also links to the call for more explicit 'actions to be undertaken' as well as a reporting structure.
- What is the specific need/added value of SABP's versus the existing 10 principles?
- Do the SABPs only promote 'partnerships', or are they also meant to guide the action of individual farmers/companies?

More reference is requested for the role of government in promoting adherence to the SABPs. The 'why' section could refer to the fact that the SABPs provide guidance to government for the kind of enabling regulatory, economic and service environment that will stimulate and complement business efforts.

A final, widespread recommendation is that the SABP's explicitly refer to and are positioned relative to other widely recognised principles as well as more implementation-oriented guidelines and standards. This will help clarify the need for the SABPs versus what is currently widely adhered to.

*Suggestion:* We suggest that the introductory section to the principles is expanded to more specifically address this business case. Further reasons can include:

- Once the SABPs are presented at the UN, they become a 'benchmark' against which actual actions undertaken can be evaluated. Business can ask government to create necessary enabling conditions, underpinning specific requests with reasoning as to why and how it will lead to adherence to the SABPs. Governments can use the SABPs to give 'licences to produce' to businesses, requiring demonstrable adherence in return.
- The SABPs offer a structure against which Global Compact signatories working in agriculture can report on how they are adhering to the principals, thus also meeting GC reporting requirements in general.

We also suggest the SABPs include explicit reference to at least the following recognised principles and guidelines:

- ILO Labour Conventions
- UN Guiding Principles on Business and Human Rights
- UN Women's Empowerment Principles
- Global Reporting Initiative

- Guidelines from global, crop specific round tables such as on palm oil, soy, etc.
- SAI Platform Principles & Practices

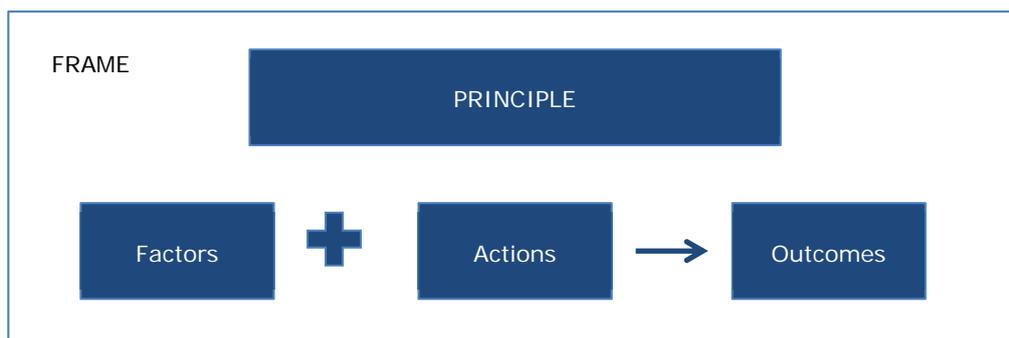
### Feedback from CAG meeting Geneva

- Extensive discussion took place whether a signatory must adhere to ALL the principles, or whether allowance should be made that not all principles are necessarily applicable to all signatories. The final consensus was that the principles must be taken as a whole: a signatory signs up to the whole package, as with the Global Compact principles.
- The consultation did acknowledge that in some situations there may be trade-offs between principles, i.e. focusing on one principle may be to the detriment of another. The final document should flag this possible trade-off; if trade-offs are made the signatory is expected to be explicit and clear about the choice and reasons.
- It was recommended that the final document clarifies for whom the principles are considered relevant. Specifically does this include individual farmers and retailers, or is this only for companies from the farm gate on?
- It was also recommended that the final document includes clarification on how the principles can be interpreted, depending on which stakeholder is reading it or within which context it might be applied. For example, the relevance of different principles can vary whether one is an individual farmer or a large food company, a government official or a processor.

## 2.2 Structure

Most physical consultations refer to confusion in the structure and with the position of the different components.

*Suggestion:* We suggest that the next revisions starts with an introductory section addressing the need and specific added value of the SABPs. This is to be followed by the frames, which ideally will be relatively self-explanatory. An explanation of the logic and components of the principles can then follow. The following diagram may help illustrate the logic of each 'frame'.



Various suggestions were advanced to organise the SABPs and 16 factors along the lines of three pillars: *Social, Economic, and Environmental*.

## Feedback from CAG meeting Geneva

- The gathering discussed possible hierarchy between principles and concluded that there is no priority between the principles, and therefore no particular logic that needs to be followed in the order of principles. The final document should emphasize that all principles are considered equal, and that any numbering is for reference purposes only. A circular visual presentation might strengthen the sense of equality.
- Although all principles are of equal value, the gathering expressed agreement for the suggestion to change the sequencing of the SABPs (as suggested in Appendix 2). This implies placing 'Frame 6' (on food security, health and nutrition) first to logically reflect the overarching aim and expected outcome of sustainable agriculture. This, and other sequence revisions, also presents the opportunity of greater alignment with elements of the current iteration of the CFS/RAI Zero Draft document.

## 2.3 Language

There is a general call to make the language of the SABP's more consistent and positive. Furthermore, there are general requests to be more specific without being more prescriptive.

There is also a general call to formulate the principles 'affirmatively' so they clearly voice an aspiration. The current approach of formulating principles as something that 'should' be adhered to implies a 'moral imperative', which is a less compelling to businesses and may even be questioned. This means re-writing the principles so that they are more precise regarding outcomes, refer to a desired optimal state, and drop the use of the term 'should'. Other elements of the text, including some outcomes and bullet points under the principles, would then also need to be made consistent with this style.

*Suggestion:* Combining the language suggestions could lead to following Principles.

### **1. Be Environmentally Responsible**

Businesses in agricultural systems build, support and operate agriculture systems that deliver sustainable intensification to meet global needs, based on maximum resource efficiency. In doing so they ensure environmental protection, restoration and enhancement.

### **2. Ensure Economic Viability and Share Value**

Businesses in agricultural systems ensure these systems are economically viable for all actors, and share value along the entire value chain, from farmers to consumers.

### **3. Respect Human Rights, Create Decent Work and Help Rural Communities to thrive**

Businesses in agricultural systems improve the lives of agricultural workers and farmers, respect the rights of all, and provide equal opportunities that result in communities that are attractive to work, live and invest in.

### **4. Encourage Good Governance and Accountability**

Businesses in agricultural systems avoid corruption, abide by the law, recognise natural resource and land rights and are transparent regarding their activities.

### **5. Promote Innovation in, and Access to, Knowledge, Skills and Technology**

Businesses promote access to information and skills, stimulate the adoption of sustainable approaches and invest in innovation for better agricultural systems.

### **6. Aim for Food Security, Health and Nutrition**

Businesses in agricultural systems work to provide enough, healthy food for every person on the planet.

### Feedback from CAG meeting Geneva

- A discussion on the possible language style of the SABPs did not lead to a dominant view. Part of the group welcomed the revised language, with its stronger affirmative character. Another part considered that the language here cannot vary from the general Global Compact principles, which are couched as 'should'. Further effort is requested to try to combine the general recommendations given above, with coherence with the GC general principles.
- There was discussion on the elephant in the room: how to encourage the 'good guys' and punish the 'bad guys'. Some kind of reporting requirement or explicit expectation is necessary to ensure that the principles do not become a paper tiger. Instead of enforcing compliance to the Principles, the Principles should encourage open communications of signatories to demonstrate progress.

## 2.4 Additional elements

The following suggestions to expand and clarify the scope of the SABPs are put forward from a majority or significant minority of respondents.

### Definition and scope of agriculture

The question remains if this implies aquaculture and forestry, which respondents generally suggest should fall within the SABPs. It may be useful to consider referring to specific activities, such as "Agricultural activities include crop, animal husbandry, aquaculture and forestry related activities". It is suggested to expand the opening line with 'fodder'.

### Feedback from CAG meeting Geneva

The gathering considered that 'agriculture' includes fisheries and forestry and recommended that this is made explicit in the draft principles. Some discussion on whether fisheries refers only to aquaculture or also includes capture fisheries favoured all forms of fishery. The inclusion and scope needs to be checked in the next consultation round.

### Consumers

The consumer needs to be more explicitly referred to in the document. Businesses can influence consumer behaviour and contribute to reduced malnutrition. This is particularly relevant to the frame on food security. Referring to the consumer as an active part of the agricultural system strengthens the logic of including a principle targeted at the needs at consumer level.

### Feedback from CAG meeting Geneva

The gathering recommended that the draft principles emphasise that business does have a potentially strong role in communicating to consumers about sustainable agriculture, and is expected to use that to stimulate more sustainable practices such as reducing food wastage.

### Factors

There is general appreciation for the key factors presented in the paper, the value of specifying them, and explaining that they are not all relevant to all principles.

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At the same time there is a call to explain sustainable agriculture from a 'systems' approach. And to explain the transition to sustainable agriculture as a systemic change. Sustainable agriculture is more than a cumulative improving of a set of critical factors, but is also about the interaction among factors and actors and between these and surrounding systems. Furthermore, agriculture systems are complexly dynamic, meaning they cannot be simply steered in a predictable cause-effect manner. A final dimension raised multiple times is the necessity to be explicit about potential trade-offs between different factors. Enhancing one factor may, depending on the context, negatively impact another. Businesses must be called on the explicit weigh these trade-offs, and justify one action over another.

Furthermore, the factors specified are not considered currently comprehensive, and they will change over time. The Principles should reflect this on-going dynamic.

*Suggestion:* Add several lines on the systemic change required to move to sustainable agriculture. Refer to the factors as currently considered essential, but not necessarily comprehensive now or in the future.

### **Waste**

There is a general call to work on reduction of waste at all steps in the value chain as a valid strategy to become more sustainable.

*Suggestion:* Reference to waste reduction is possible under the current frame on environmental responsibility as well as/or under the frame on food security.

## 2.5 Next consultation round

This current round of stakeholder consultations has been largely based on local networks willing to host consultations, and individuals taking the effort to spend time with the online survey. Whilst this has generated valuable feedback, it is not yet comprehensive or representative.

*Suggestion:* Prioritize underrepresented groups or regions for the next round of stakeholder consultations on the draft SABPs early 2014.

### **Feedback from CAG meeting Geneva**

For the setup of the next consultation, it is advised to incorporate the questions and comments offered by CAG members, as inserted in the text in the red boxes throughout this report.

CAG members recommended to be explicit about which stakeholder groups have or have not been sufficiently engaged so far. They also recommended to ensure that underrepresented stakeholders are included in the next round of consultations. Specific reference was made to:

- Farmers (large producers/entrepreneurs)
- Farmers (small-holders)
- Agro-food companies originating from BRICS countries
- Fisheries and forestry sectors
- Certification-based sustainable production sectors, such as organic and fair trade

Based on the Geneva discussions with WEF, WBCSD and CFS/RAI, identify how the SABPs relate to other initiatives for sustainable agriculture.

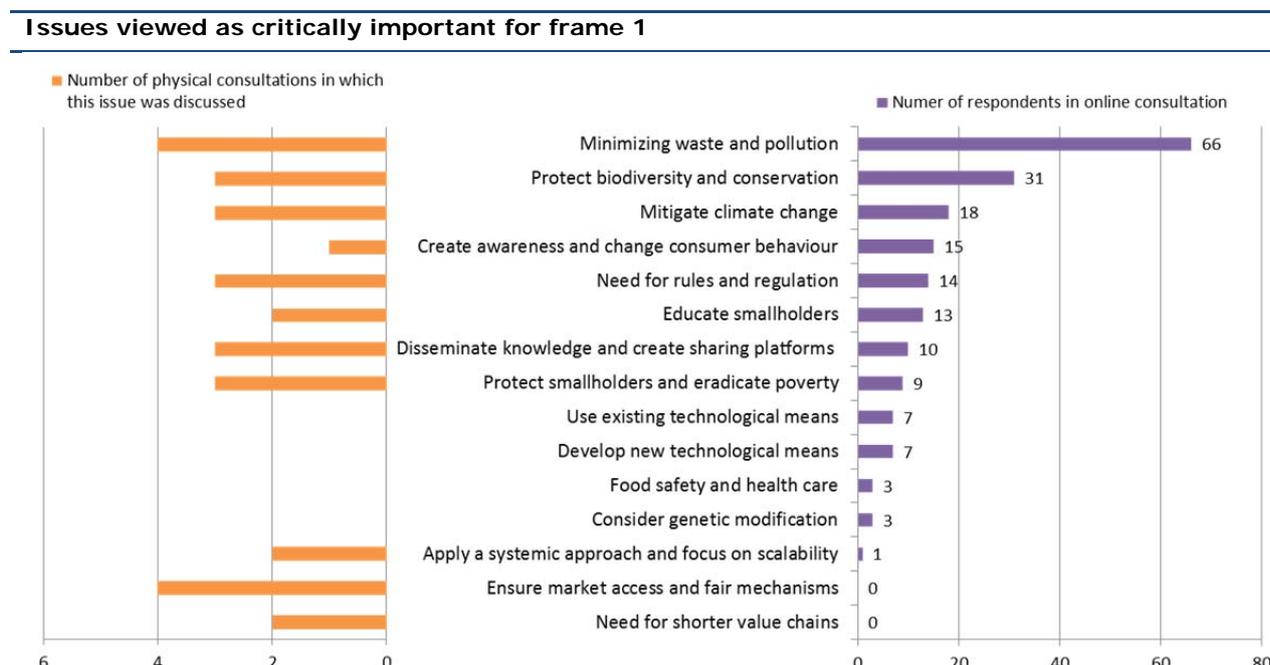
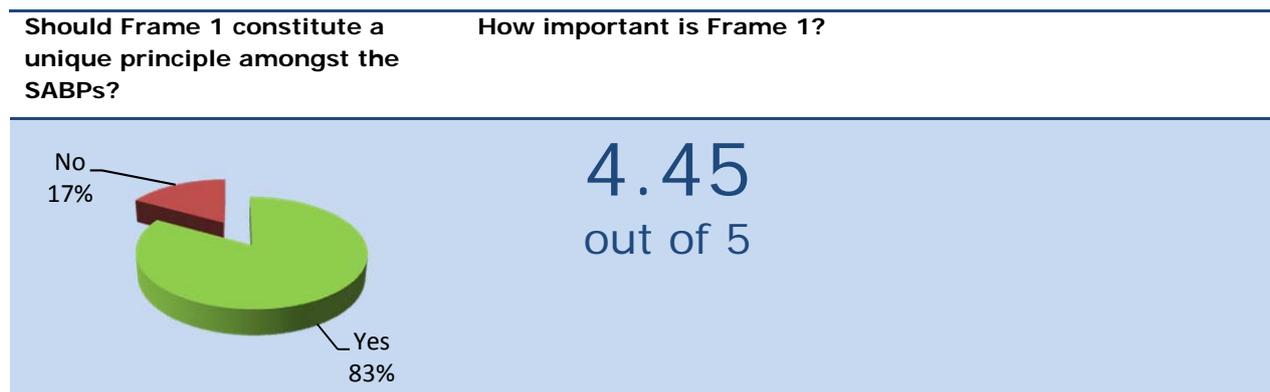
Start outlining pathways for bringing the SABPs to life. The next consultation round should also be used as an opportunity to strengthen regional and national buy-in to the idea of the SABPs, in anticipation of approval.

### 3 Feedback on each frame

#### Frame for SABP 1

##### Be Environmentally Responsible

Businesses should build, support and operate agriculture systems that deliver sustainable intensification sufficient to meet global needs, together with environmental protection, restoration and enhancement and improved resource efficiency.



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is *not* related to the number of participants or the level of consensus)

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## Findings

From all the frames, Frame 1 received the most positive response. Respondents want to keep it as a unique principle, and consider it very important. This is consistent with the ranking of the Factors (see page 24), where factors related to Frame 1 such as 'Optimal use of soil and water' and 'Biodiversity' are in the top 3.

Among the physical consultations we also see a consistent call for more emphasis on (soil) biodiversity, land use, good water stewardship and crop waste management. There are diverging opinions on how this can be achieved: a majority of respondents call for knowledge and technology (referencing to Frame 5 and Actions), but there are also strong voices advocating for a better balance between modern and traditional ways of doing agriculture.

Several physical consultations expressed that business can do more to deliver sustainable intensification (Ghana, Netherlands). The India consultation however asked attention for the role of government in this respect, underlining a call by all consultations for closer cooperation between business, regulators and other actors.

*"The rate of deforestation and uncontrolled use of agro-chemicals is alarming. Due to poverty, smallholders see expanding into virgin lands as the next option" (Ghana)*

## Suggestions

1. Keep Frame 1 as a unique principle.
2. Considering rewording principle more affirmative and aspirational, by removing 'should'.
3. More explicit wording on land and water management.

### Feedback from CAG meeting Geneva

- More emphasis on limiting the negative impacts of capture fisheries, aquaculture and extractive industry on the environment.
- Consider referring to disaster resilience in this description, as business effort here can create shared value for both producers and communities.

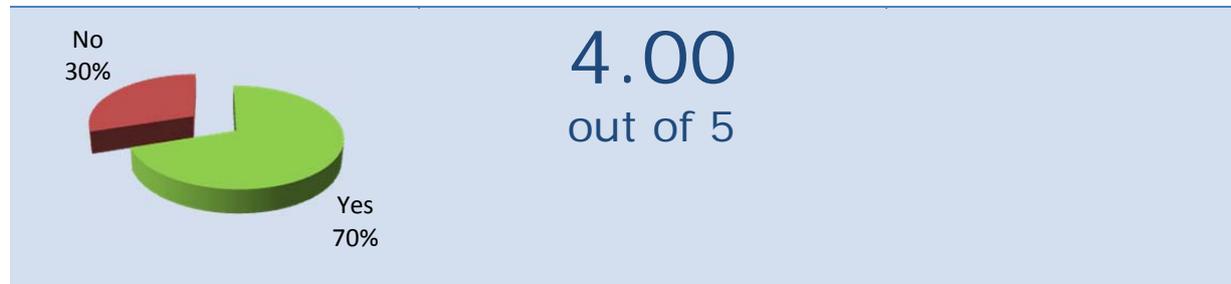
## Frame for SABP 2

### Ensure Economic Viability and Share Value

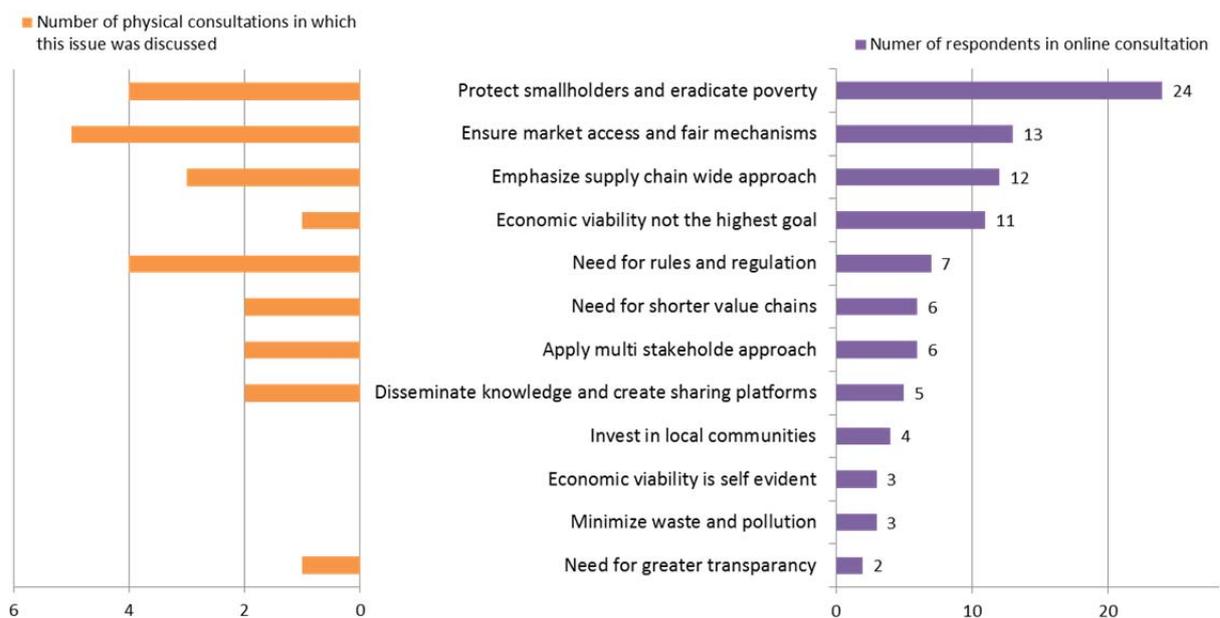
Businesses should ensure that agriculture systems are economically viable and share value across the entire value chain from farmers to consumers.

**Should Frame 2 constitute a unique principle amongst the SABPs?**

**How important is Frame 2?**



### Issues viewed as critically important for frame 2



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is not related to the number of participants or the level of consensus).

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## Findings

Generally, the ranking of Frame 2 is lower than many other frames in the White Paper - but still 70% considers it to be a unique principle. The hesitation seems to come from feedback from several respondents (both online and physical) that Ensuring Economic Viability is already obvious for business - so why dedicate a principle to it? A significant number of online respondents also make explicit that 'economic viability is not the highest goal'. While these responses can be traced back to respondents outside the business community, critique is not confined to civil society only.

*"Business must do more to sustain smallholder production, including paying fair prices"*

However the second part of the Frame, referring to 'Share Value', is confirmed by respondents across the board as being relevant. Here, competition and pricing policies are considered by many to be main drivers preventing the sharing of value. The illustrations range from poor prices paid for agricultural produce, to whether regulatory environments actually support shared value (Australia). Ghana specifically mentions that the White Paper seems to be silent on unfair trade practices by developed countries.

In several physical consultation mention was made of the crucial role of retailers in making various chains more sustainable. This was coupled to calls for retailers to play a larger role in stimulating this change.

Another suggestion mentioned several times was to link this principle stronger to Frame 5 (Knowledge, Skills, Technology), as capacity development on agronomic and business skills for producers is critical for creating shared value.

*"This is the most important principle in my opinion. I'd like to see the White Paper talk a little less about connecting smallholders to markets, and more about connecting them to education and training."*

The sentence 'Businesses must avoid unprofitable and unsustainable farming activities...' was considered odd as business already does avoid activity that is unprofitable for itself. Unless 'unprofitable' refers to others in the value chain, such as farmers.

## Suggestions

1. Keep Frame 2 as a unique principle.
2. Clarify the wording of economic viability and unprofitability, to avoid confusion.
3. Consider stronger emphasis on role of regulators and retailers in delivering shared value.

### Feedback from CAG meeting Geneva

The CAG meeting was unified in its support for the suggestion to use the terms 'co-create' and 'partnering' instead of the current 'ensure'.

## Frame for SABP 3

### Respect Human Rights, Create Decent Work and Help Rural Communities to Thrive

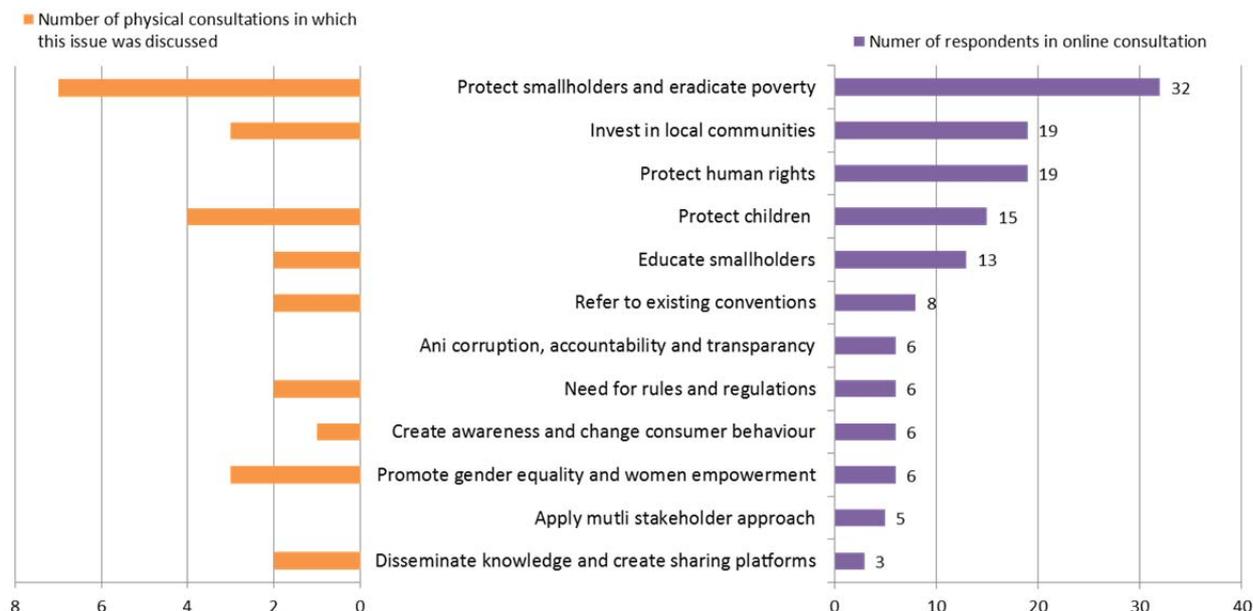
Businesses in agricultural systems should improve the lives of workers and farmers, respect the rights of all people, and provide equal opportunities that result in communities that are attractive to places work, live and invest.

**Should Frame 3 constitute a unique principle amongst the SABPs?**

**How important is Frame 3?**



### Issues viewed as critically important for frame 3



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is not related to the number of participants or the level of consensus).

### Findings

Frame 3 ranks second, when it comes to the consideration of its importance by respondents. It is here that issues of protection of smallholders, poverty reduction, protection of children and local communities are emphasized consistently in the online and physical consultations.

Reference to ILO standards and Ruggie Framework are to be made explicit. Rights of children were reported missing in the White Paper as being urgent, although others warn against condemnation of culturally defined practices in family farming, where children help out after school and in weekends. A significant number of respondents plea for business to support

*"Lack of opportunities in agricultural communities result in urbanization with its attendant negative results on agriculture"*

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notions of 'living wage' and 'decent work'.

Regarding possible actions, suggestions are given by Ghana and India consultations to appeal to governments to do more to provide basic amenities such as roads and electricity, but also in improving the enabling environment for markets to work in up-scaling sustainable agriculture models and practices. Furthermore, there are calls for governments to venture into job creation programmes, and to make work in agriculture attractive for the next generation of producers (Costa Rica).

The Nordic countries consultation concluded that the SABPs currently lack a clear focus on inequality and (re)distribution of gains.

Several online respondents suggested to move the 'thriving rural communities' part to Frame 2.

Several respondents, including the India consultation, proposed to replace the word 'workers' by 'agricultural workers' for clarity.

Australia suggested that the distinction made between farmers and business is problematic (in the Australian context), as farmers are themselves running businesses.

*"The interconnectedness between agricultural systems, workforce, rural communities etc. needs to be recognized"*

### **Suggestion**

1. Keep Frame 3 as a unique principle.

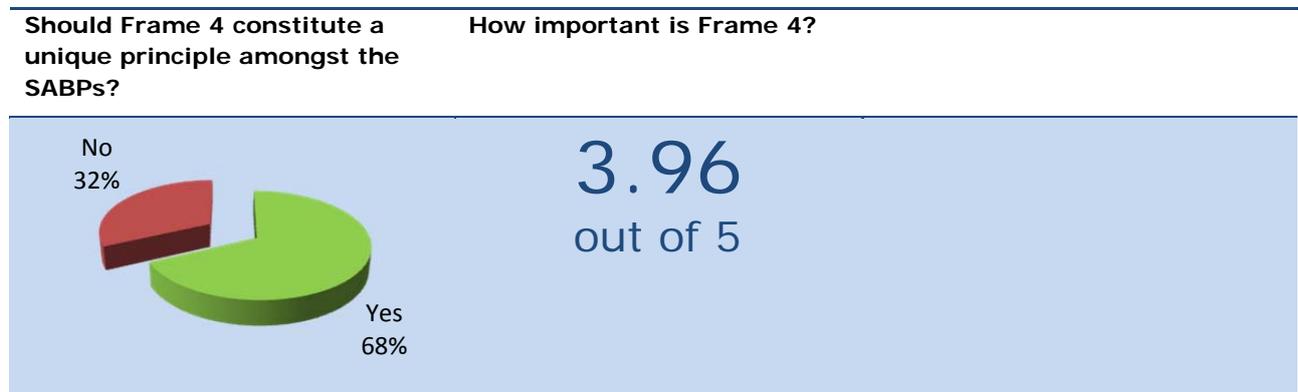
#### **Feedback from CAG meeting Geneva**

The CAG meeting was unified in its support for the suggestion to use the terms 'co-create' and 'partnering' instead of the current 'ensure'.

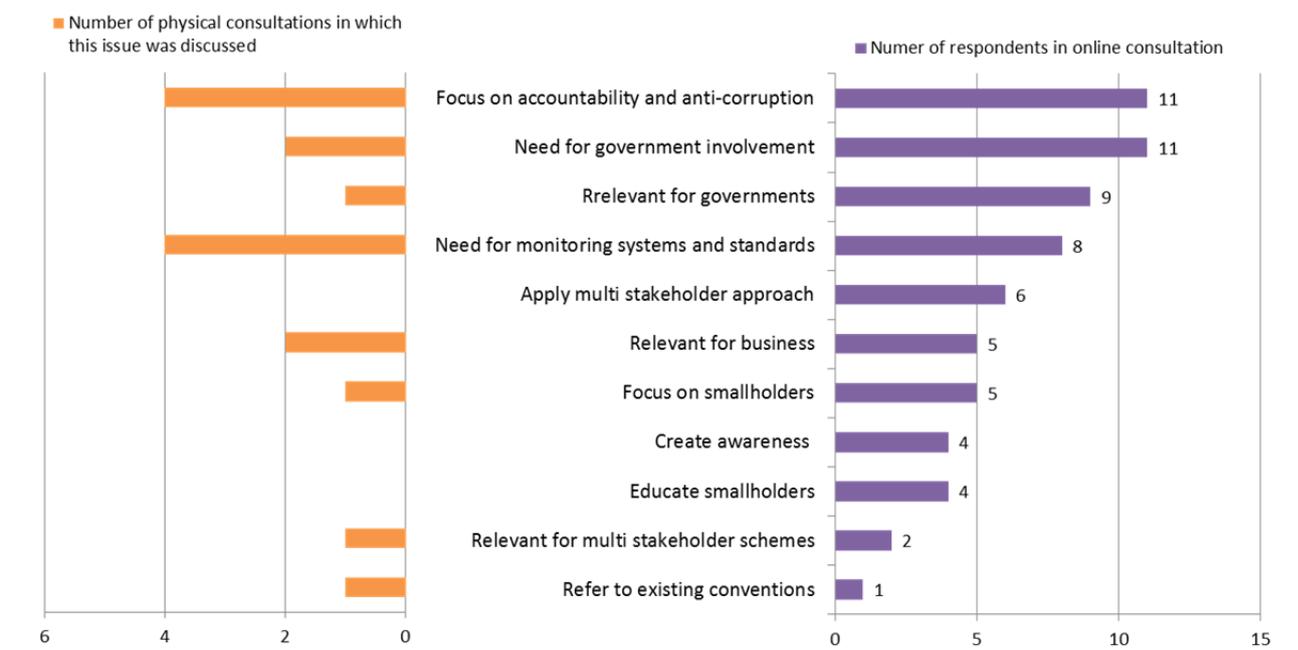
# Frame for SABP 4

## Encourage Good Governance and Accountability

Businesses should avoid corruption, respect the law, recognise resource and land rights and be transparent in agricultural systems.



### Issues viewed as critically important for frame 4



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is not related to the number of participants or the level of consensus).

### Findings

Respondents scored Frame 4 in the least enthusiastic way (3.96 out of 5) compared to the other Frames. In the textual responses, respondents displayed much divergent opinions regarding who should do what in order to encourage good governance and accountability. Some argued that governments are mainly responsible to stop corruption of politicians and public officials (Ghana), others stated that governance is strengthened by the interplay of actions of all actors. A recurring issue in the Nordic country consultation was the role of governments in securing land ownership or -lease rights. Land use and rights also came first in Nigeria's priority list of factors of importance.

*"Start from oneself and start from trivial matters" (China)*

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Many respondents requested clarity on what type of governance and accountability we are talking about in the context of SABPs, and continued to stress that this should include corruption, tax evasion, and give/train farmers to creating an active voice.

The need for reporting mechanisms was mentioned, sometimes in connection with the Ruggie framework or GRI.

*"Impact assessment and due diligence are key, throughout the supply chain, and this should be incorporated in Frame 4" (Australia)*

Principles should serve as guidelines highlighting good or best practice, according to various respondents and the Nordic consultation. More specific rules could then be a part of the following process - but strict rules could potentially hamper innovation.

### Suggestions

1. Keep Frame 4 as a unique principle.
2. Rephrase it into more positive language, as current language is negative.

#### Feedback from CAG meeting Geneva

There was broad support to extend the description of the principle beyond 'Businesses... to be transparent in agricultural systems' by including 'and accountable for their commitment'.

## Frame for SABP 5

### Improve Access to and Transfer of Knowledge, Skills and Technology

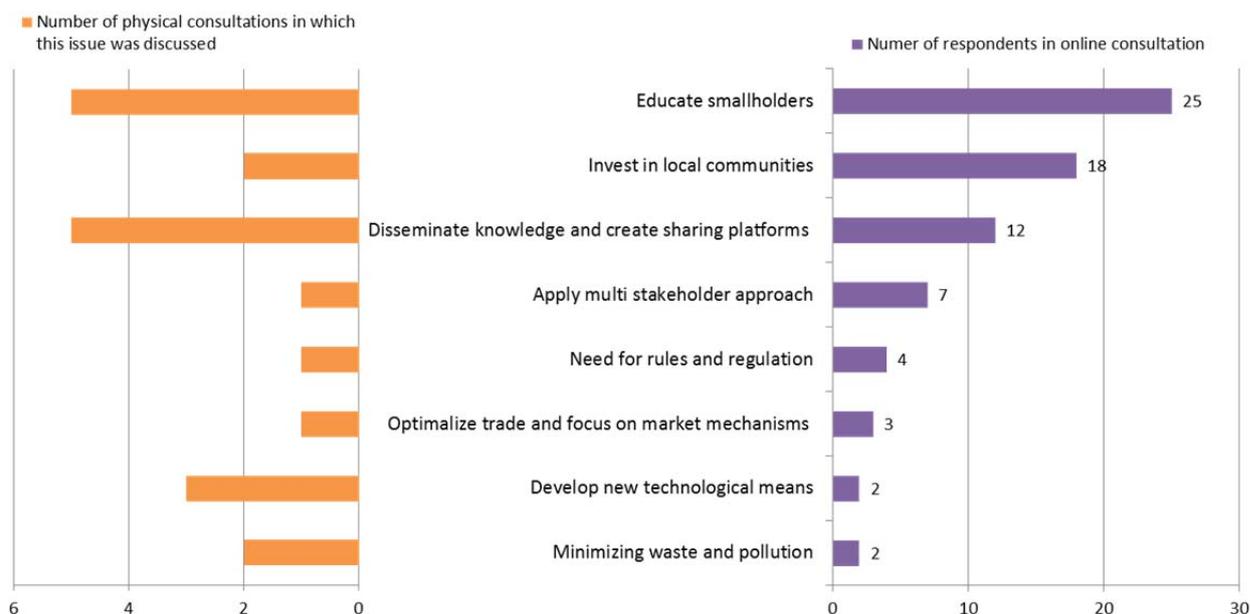
Businesses should promote access to information and skills, adopt effective and innovative approaches and invest in new technologies for better agricultural systems.

**Should Frame 5 constitute a unique principle amongst the SABPs?**

**How important is Frame 5?**



### Issues viewed as critically important for frame 5



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is not related to the number of participants or the level of consensus).

### Findings

Frame 5 received a consistent positive response, and the divergence of opinions here was limited, with the exception of India where there was a call for specific attention for the government's role in disseminating knowledge and creation of platforms, in particular through the agricultural extension system. Ghana on the other hand proposed to encourage private sector to play a lead role in providing extension services and de-emphasize government lead role.

There was also consensus for the need to create more access to education for all actors in value chains, especially smallholder

*"There are many problems with knowledge sharing on the local level. We need to create pre-competitive spaces where innovation can go faster."*

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producers. Again, the role of government is perceived as key: the sustained provision of services to smallholder farmers will require the type of educational and support infrastructures that can only be provided by governments pre-commercial investments. Other respondents emphasized the need for business to invest, too.

The Australian consultation questioned whether technology was really the issue - given the fact that key issues are distribution and waste, not the need to produce more.

Several respondents, including Australia, Netherlands and India consultations, asked attention for local knowledge to be valued where relevant. Producers are not just end-users of technology.

*"We want to add a warning to protect intellectual property right" (Japan)*

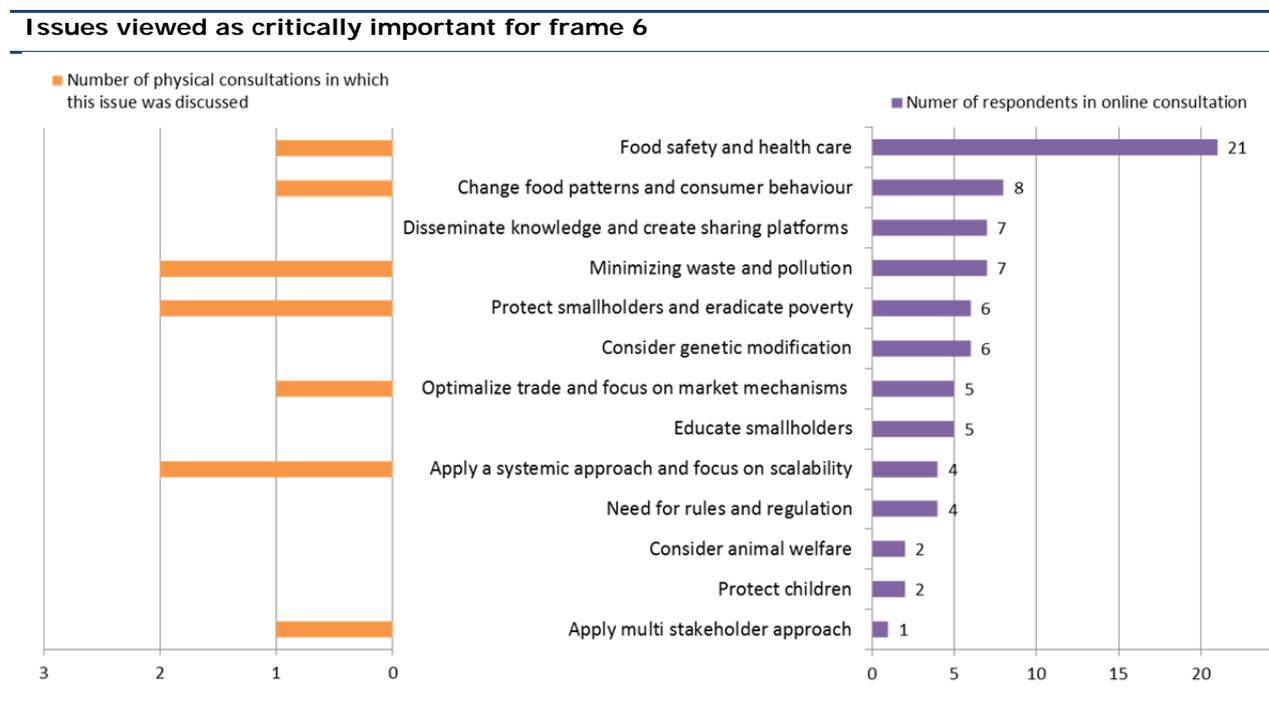
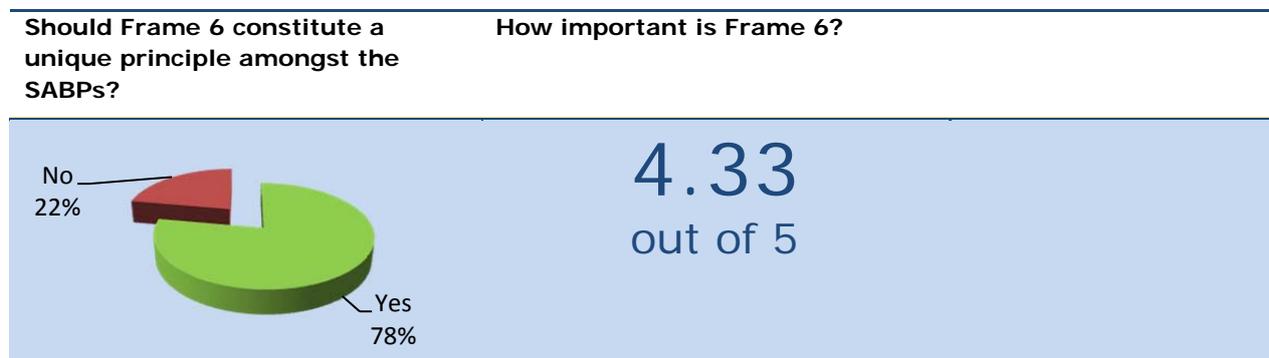
### **Suggestion**

1. Keep Frame 5 as a unique principle.

# Frame for SABP 6

## Aim for Food Security, Health and Nutrition

Businesses should aim to develop agriculture systems that provide enough food and proper nutrition for every person on the planet.



\*The purple bars (right) represent the number of times a respondent has mentioned the issue in the online consultations. The orange bars (left) represent the number of physical consultations in which the issue has been discussed (but is not related to the number of participants or the level of consensus).

### Findings

Frame 6 on food security, health and nutrition received much support from respondents: it is the second in importance according to the online respondents. There seems no question that this principle be maintained. However, there was discussion about the nature of this frame: some considered it to be an encompassing frame, the ultimate goal of all frames, or an overarching frame.

Issues mentioned most regarding this frame are 'food safety and health care', 'changing food patterns/consumer behaviour', and 'minimizing waste and pollution'. Also the physical consultations emphasized food waste and traceability several times.

*"There is an urgent need to improve food distribution networks and reduce post-harvest losses" (Ghana)*

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Several comments were noted on gender issues: to encourage programs for women to ensure household food security (Ghana) and a critical note that the second bullet should be changed from 'women's role in managing household nutrition and diets', into 'ensuring women's role in household decision making' (Australia).

*"We need to attract youth into agriculture for its long-term sustainability" (Costa Rica)*

The consultation in Japan included a key message to make room for non-food industry to contribute to food security, and requested to add this as a bullet under Frame 6.

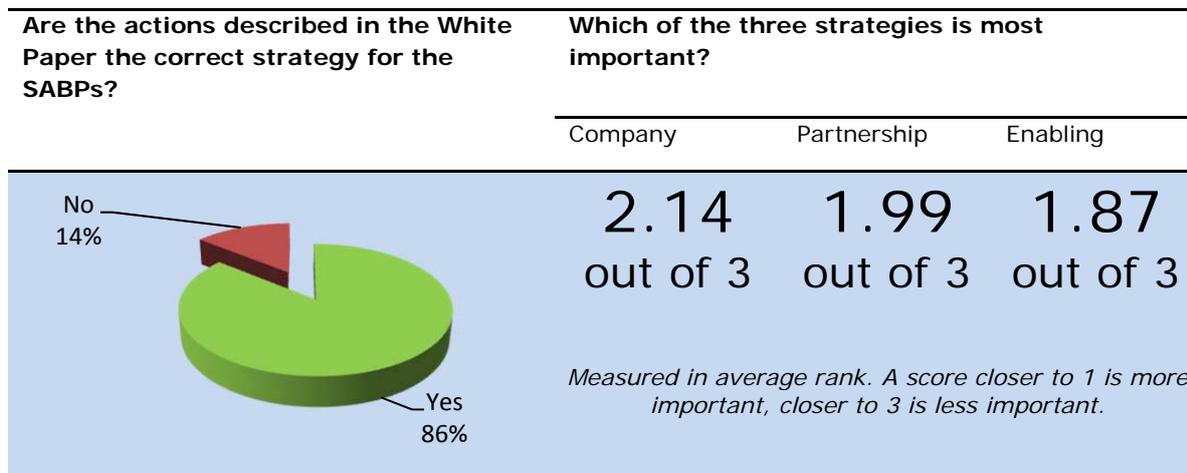
### **Suggestions**

1. Keep Frame 6 as a unique principle.
2. Consider changing wording of second bullet to reflect concern about women's role (above).
3. Consider making reference to the contribution of non-food industry to food security.
4. Change the sequence of all Frames - start with Frame 6 (see General feedback p7).

#### **Feedback from CAG meeting Geneva**

A suggestion was made to replace 'Aim for' with 'Contribute to'.

## 4 Actions



### Findings

The table above shows that respondents are particularly concerned with actions at the level of the enabling environment, and through partnerships. The fact that company action is considered least important is difficult to say given the small sample size. It is possible that responding companies imply that they are already doing what is required to deliver sustainable agriculture as a company. It is also possible that companies, and other respondents, are telling us that any action that will deliver substantially on sustainable agriculture will be in collaboration with others. In fact, the physical consultation reports suggest broad support for partnership-based or multi-stakeholder-based approaches.

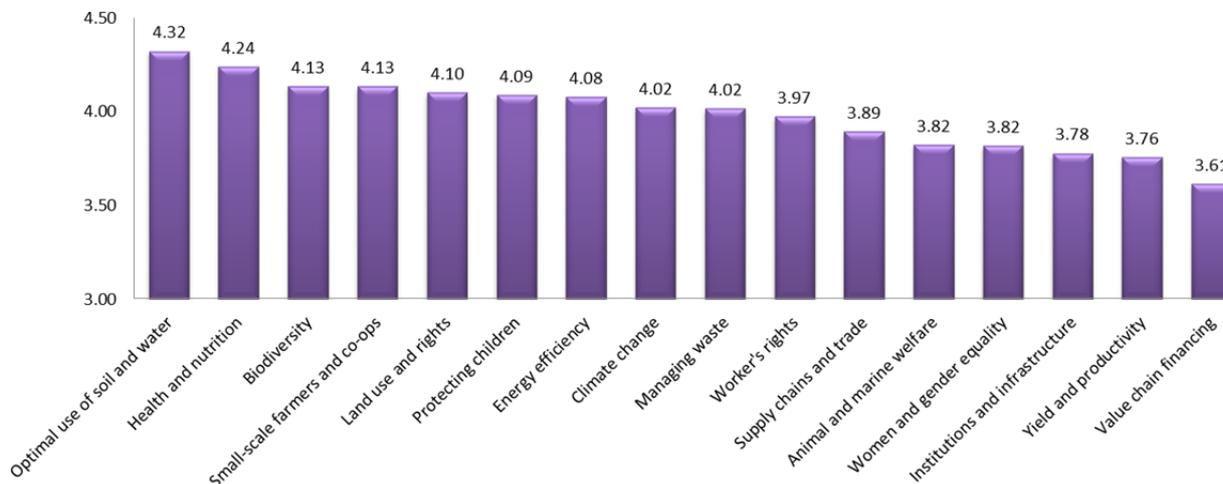
The Nordic consultation advocates for inclusion of good practices in this section: stakeholder do not want principles to be prescriptive, but agree that good practices would be helpful to motivate stakeholders to adopt the SABPs, and enable them to understand the benefits and drawbacks.

The Netherlands consultation touched upon the issue of asymmetric power dynamics in partnerships, and noted underrepresentation of local farmer unions, citizens and NGOs.

*“With the purpose of the principles being “to trigger principle-based-partnerships” towards sustainable intensification of agriculture, the final articulation must be seen from this lens; whether all of them are articulated powerfully enough to trigger such partnerships and aligned action” (India).*

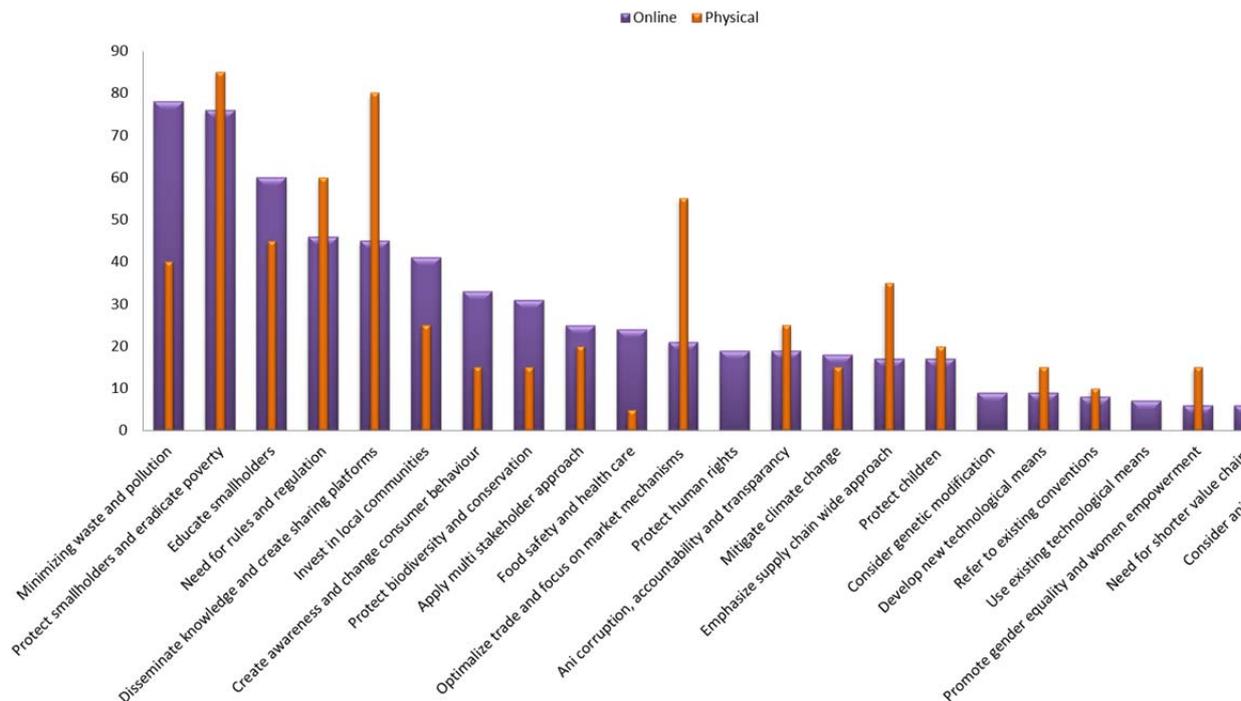
# 5 Factors

## How important is the inclusion of the White Paper factors? Results from the online consultation



\*This graph indicates the score respondents assigned to each of the factors that were mentioned in the White Paper. A score closer to 1 indicates that the factor is not considered important at all. A score closer to 5 indicates that the factor is considered very important.

## Occurrence of factors in consultations. Consolidated data from the six frame graphs.



\*This graph consolidates all the issues graphs from the six frames. The purple bars represent the number of times a response in the online consultation was allocated each of the respective labels. The orange bars represent the number of times reports from the physical consultations were allocated each of the respective labels. Note that every report or respondent can theoretically get the same label six times (one time for every frame).

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# Appendix 1. Methodology<sup>1</sup>

## **1. Publication and promotion of the survey**

The survey was published online using Qualtrics. There was a direct link from the SABPs landing page to the survey. The SABPs team developed a communication strategy to reach out to stakeholders inviting them to participate in the development of the SABPs through the online consultation. Key in the communication strategy was the development of two communication packages with boiler plates of different lengths and formats that could easily be used by others to support the outreach. In this manner other platforms and organizations functioned as 'multipliers' and we were able to contact stakeholders out of our direct reach.

## **2. Physical consultations**

Physical consultations were held in Ghana, Japan, Denmark, Singapore, Nigeria, Australia (2x), the Netherlands, Costa Rica and India and were organized and promoted by respective local partner. The local partners were provided a template report to structure the feedback. In Australia two rounds of consultations were organized that were eventually incorporated in a single report. For the purpose of this analytical report, this report was considered as to be a single consultation.

## **3. Analysis of the data**

The quantitative data of the survey was analyzed using Qualtrics software and basic Excel functions. 710 Individuals accessed the survey. Responses with over 40 missing values were deemed useless and were excluded from the analysis. 185 respondents remained.

The qualitative data of the survey and the reports of the physical consultations were analyzed using a coding technique. After studying the data a number of individual codes (or labels) were designed categorizing different groups of answers. The codes were designed to be self-evident. Every individual textual response was assigned one to three codes. After coding all responses with the same code were compared and checked for consistency. The codes were altered if necessary. Codes that only appeared once were excluded from the analysis. Also, text or wording suggestions were assigned a separate code and were considered separately.

The coding exercise yields large trends in qualitative data. After the coding exercise the data was reviewed by a second researcher. This researcher adopted a holistic view and judged in what way the results from the survey should be incorporated in the SABPs. Recommendations for the eventual principles were distilled accordingly.

The survey design and feedback template used for the physical consultations are available on request.

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<sup>1</sup> The authors express gratitude to Guan Schellekens for his support in the analysis.

## Appendix 2. Rearrangement SABPs & Comparison with CFS-RAI

SABPs current arrangement	SABPs suggested arrangement	CFS Zero Draft – Principles for Responsible Agriculture Investments
1. Be Environmentally Responsible	6. Aim for Food Security, Health and Nutrition	1. Responsible investments in agriculture and food systems: enhance people's food security and nutrition, and contribute to the progressive realization of the right to adequate food in the context of national food security.
2. Ensure Economic Viability and Share Value	3. Respect Human Rights, Create Decent Work and Help Rural Communities to Thrive	2. Responsible investments in agriculture and food systems: generate positive socio-economic impacts for all, women and men, respect international core labour standards as well as, when applicable, obligations related to standards of the International Labour Organization (ILO), and apply, as appropriate, the voluntary guidelines on the responsible governance of tenure of land fisheries and forests in the context of national food security (VGGT).
3. Respect Human Rights, Create Decent Work and Help Rural Communities to Thrive	1. Be Environmentally Responsible	3. Responsible investments in agriculture and food systems: use, develop and regenerate natural resources sustainably, and contribute to climate change mitigation and adaptation.
4. Encourage Good Governance and Accountability	2. Ensure Economic Viability and Share Value	4. Responsible investments in agriculture and food systems: respect cultural heritage and landscapes and traditional knowledge consistent with international agreements and are considered legitimate by local and other relevant stakeholders.
5. Improve Access to and Transfer of Knowledge, Skills and Technology	4. Encourage Good Governance and Accountability	5. Responsible investments in agriculture and food systems are supported by policies, laws and regulations which: are consistent with each other, and address all aspects of responsible investments as described in this document.
6. Aim for Food Security, Health and Nutrition	5. Improve Access to and Transfer of Knowledge, Skills and Technology	6. Responsible investments in agriculture and food systems: supported by good governance, and implemented with meaningful consultation and participation of affected communities and free, prior and informed consent of indigenous peoples.
		7. Responsible investments in agriculture and food systems are strengthened by: non-discriminatory access to justice grievance mechanisms, and fair, effective and timely mediation, administrative or judicial remedies.
		8. Responsible investments in agriculture and food systems are based on independent, transparent and participatory assessment of their potential impacts on food security and nutrition, societies, economies, tenure rights, environments and culture before, during and after each investment, with mechanisms for regular review. All actors involved in investments in agriculture and food systems are accountable for their decisions, actions and the impacts thereof.

To explore  
the potential  
of nature to  
improve the  
quality of life



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