Towards Smallholder-oriented Public Policies: Independent report by the Civil Society and Indigenous Peoples Mechanism for the Committee on World Food Security monitoring the use and implementation of CFS policy recommendations on smallholders - 2019
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Working Group on Monitoring of the Civil Society and Indigenous People’s Mechanism (CSM) for relations with the Committee on World Food Security (CFS)

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Executive Summary

Small-scale producers or smallholders feed the large majority of the world’s population, yet their importance has only recently been recognized in global policy spaces. The UN Committee on World Food Security (CFS) has been a key player in this, challenging the dominant narrative that the only solution to food insecurity is calling on technology to produce more food and agribusiness value chains to process it and channel it to consumers. Since its reform in 2009, the CFS has recognized both the agency of small-producers as well as the key roles they play in right to food realization and in achieving food security and nutrition. Through policy convergence processes, it has worked towards supporting smallholders in these roles. This policy focus is a direct result of the participation and evidence of small-scale producers from around the globe in CFS policy processes.

This year the CFS is placing smallholders at center stage, monitoring the use and application of three CFS policy recommendations: Investing in Smallholder Agriculture for Food Security and nutrition (CFS 40, 2013), Connecting Smallholders to Markets (CFS 43, 2016) and Sustainable Agriculture Development for Food Security and Nutrition: What Roles for Livestock? (CFS 43, 2016). This report is the contribution of the Civil Society and Indigenous Peoples Mechanism (CSM) to that process. Following a human rights-based approach on monitoring and based on exchanges with actors from around the globe, this report takes the reality on the ground as the basis of analysis to assess not only how the policy recommendations have been used at the national level, regional and global level, but also where their potential is and further work is needed.

The report begins by highlighting the progress made in the use and application of the CFS smallholder policy recommendations. The recommendations have helped to shape the content of other UN policy initiatives and legal instruments, including the UN Decade of Family Farming and UN Declaration on the Rights of Peasants and Other People Working in Rural Areas. Also within the CFS, these policy processes have contributed to a common understanding and language on the importance of respecting, protecting and fulfilling women’s rights in the context of food security and nutrition. Civil society groups across the globe have used the recommendations in their advocacy efforts, for example in influencing policies that support local family-farm production for local markets in West Africa and challenge one-size-fits all food safety regulatory regimes in Australia. Governments, like Portugal who adopted the National Statues for Family Farming in 2018, have also used the recommendations to shape national legislation. Overall, although the policy recommendations have been adopted at painfully inadequate rates, their use and application demonstrates both their potential to redirect global policy away from productivist solutions and their importance to improving smallholders’ capacity to make fundamental contributions to food security and nutrition as well as to the progressive realization of the right to adequate food.

The report then moves to describe where the CFS smallholder recommendations and their adoption have fallen short. The report notes that there continues to be a deep lack of recognition of the crucial role of smallholders in feeding the world. Despite some success in adoption, very few governments have adopted the CFS policies and they are not well-known outside Rome. Even where policies have been adopted, challenges remain due to failures to fully implement, deep levels of policy incoherence and a lack of commitment to monitor policies through participatory processes. The priorities identified by smallholders themselves, such as peasant agroecology, remains underfunded and under-supported. Instead, states funnel public funding towards large-scale production without recognizing the important role of agroecology and territorial markets in mitigating and adapting to climate change and in supporting local production and community development. Further, the participation rights of smallholders continue to be violated. As a result, smallholders remain invisible with their rights unrecognized and unrealized.

The future of our food systems is more than ever at stake. According to the recent figures, rates of hunger, malnutrition, and food insecurity are on the rise, spurred by unsustainable levels of inequality within and among
countries. The reality on the ground is that day-by-day the world’s smallholders’ livelihoods continue to be destroyed and their small-scale food production is under attack in all countries and territories. It is time to sound the alarm, and to use and apply the policy outcomes that have been negotiated and agreed in the CFS to challenge the dominant narrative and inform smallholder oriented public policies on all levels.

Smallholders can and do feed the majority of the world’s population.

Smallholders can and do promote sustainable, nature-based models of production embedded in social structures and territorial food systems.

It is time to defend them and give their voices more prominence in the fight against hunger.
Recommendations

A) **Member States**

- Should ensure that CFS policy guidance are addressed and utilized in the national policies, programs and strategies, as well as national reviews under the SDGs and within the human rights treaty body system.

- Should apply the CFS recommendation to inclusively develop nationally-owned visions for the future of smallholder agriculture and bring them to bear on relevant budgets and programs, in connection with the formulation of UNDFF national action plans and the implementation of the UNDROP.

- Should take action, in the context of the governing councils of the RBAs, to push for enhanced and coherent RBA support for the use and application of CFS and its policy outputs, and to include CFS policy outcomes in the discussions in FAO regional conferences.

- Should strengthen policy coherence of their national policies by ensuring effective analysis and monitoring of their impact on smallholders, consistent with the human rights obligations of states, with the UNDROP and UNDFF, and the 2030 Agenda.

B) **Rome-based Agencies**

- Should apply the necessary resources, technical expertise and staff training and orientation to ensure that CFS policy recommendations are translated into their policy guidance, state support, and program work at regional and national level as well as in their global activities.

C) **Committee on World Food Security**

- Should take into account, and further build upon, the standards set in the smallholder recommendations in the on-going and upcoming CFS workstreams and policy outcomes on food systems and nutrition, agroecology and other innovations, gender equality and women empowerment, youth engagement in food systems, inequalities for FSN and data analysis and assessment.

- Should contribute towards a globally coherent framework in support of smallholders, consistent with the human rights obligations of states, with the UNDROP and UNDFF, and the 2030 Agenda.

- Should explore the impact of trade and investment agreements on international, regional and national policies affecting food security and nutrition and formulate its recommendations on how these impacts could be addressed, including by revising the agreements themselves.

- Should continuously build up the monitoring function of the CFS to ensure space for reflection, learning from best practices, and exposing challenges; this includes also improving communication and dissemination of policy outcomes to member states, as well as other relevant actors, in particular UN agencies and regional bodies.

- Should ensure that its future workstreams address the several policy gaps exposed by the implementation of the smallholders recommendations, with special emphasis on need to establish adequate policy guidance on how to resolve the tensions between different production systems;

- Should take specific measures to address the increasing concerns about violence against human rights defenders, including smallholders.
Preface

Over the last 10 years, small-scale producers have increasingly been recognized at the UN Committee on World Food Security (CFS) as the primary actors contributing to global food security and nutrition and realization of the right to food. This narrative shift towards recognizing smallholders’ agency is the result of debate generated in the CFS and evidence presented through the participation of smallholders from across the globe in CFS policy processes.

Alongside of this narrative advancement, however, today we find ourselves in a situation of crisis possibly even worse than that of 2009. According to the recent figures, rates of hunger, malnutrition, and food insecurity are on the rise, spurred by unsustainable levels of inequality within and among countries. Multilateral governance, human rights obligations of States, and the primacy of the public sphere’s policy and regulatory roles are under attack globally. Food and land are increasingly captured by the interests of profit and speculation rather serving those of communities, leaving the planet and its inhabitants to pay the price. Every day, all over the world, the human rights of women and men smallholders are violated, and their livelihoods and very lives are put at risk, in blatant contrast with the vision promoted by CFS policy recommendations.

It is time to sound the alarm, and the CFS is the place in which to do so. Smallholders promote sustainable, nature-based models of production embedded in social structures and territorial food systems. Smallholders can and do feed the world. It is time to defend and give prominence to the voices that should be leading the fight against hunger.

This report, prepared by the Civil Society and Indigenous Peoples Mechanism (CSM) to the CFS, monitors the use and application of three sets of CFS policy recommendations: Investing in Smallholder Agriculture for Food Security (CFS 40, 2013), Connecting Smallholders to Markets (CFS 43, 2016) and Sustainable Agriculture Development for Food Security and Nutrition: What Roles for Livestock? (CFS 43, 2016). Following a human rights-based approach on monitoring, the report takes the reality on the ground as the basis of analysis. The contents are based on discussions and exchanges in the CSM working groups that follow the CFS’s work on monitoring and the negotiation of the policies under examination (some 315 active members); on CSM members’ input to the official call for experiences through the Global Forum on Food Security and Nutrition; and on the outcome of a dedicated workshop held on 10-12 May 2019.

Part 1 of this report traces the history of the policy recommendations focused on smallholders at the CFS, outlining the emerging narrative on smallholders. Part 2 recounts how the CFS policy recommendations have been diffused and used since their adoption. Part 3 of this report discusses difficulties encountered in applying the CFS recommendations on the ground. Part 4 suggests ways forward while part 5 draws conclusions and present recommendations.

1. The emergence of a smallholder narrative in the Committee on World Food Security (CFS)

The food crisis of 2007-2008 revealed a number of neglected realities. Among these was the importance of small-scale food producers, or ‘smallholders’ in the CFS terminology, in the context of food security strategies. When the crisis broke what first caught the attention of the dominant players was the large number of smallholders globally and their vulnerability to food insecurity. The reformed CFS has been instrumental in going beyond this limited perception and recognizing smallholders’ significant contribution to feeding the world.

In opting to react to the food crisis by reforming the UN Committee on World Food Security, the international community acknowledged the need to create a space for intergovernmental negotiation of policy responses to the root causes of the crisis, beyond purely technical or financial issues. The need to include actors other than governments was recognized during the reform process itself, which was opened to organizations representing smallholder food producers themselves and other concerned social groups. As a result of the reform, the CFS is a unique multilateral space where governmental decision-making is safeguarded, but other actors intervene on the same footing as governments in negotiations and priority voice is given to those most affected by the policies under discussion. This design has made it possible to progressively recognize that smallholders are not passive or vulnerable actors but key agents in achieving food security and nutrition and realizing the right to food, and that their participation and evidence is indispensable for effective policies.

Over the years, the CFS has undertaken a number of policy convergence processes aimed at supporting smallholders, three of which are under review at CFS46. At its second session in 2011, during a policy roundtable on ‘How to increase food security and smallholder-sensitive investment in agriculture’, the CFS plenary noted the important role of smallholders in food production and investment in agriculture. It requested the High Level Panel of Experts (HLPE) to undertake ‘a comparative study of constraints to smallholder investment in agriculture in different contexts with policy options for addressing them, including a comparative assessment of strategies for linking smallholders to longer and shorter value chains and of the impacts on smallholders of public-private as well as farmer cooperative-private and private-private partnerships’. The resulting HLPE report, Investing in Smallholder Agriculture for Food Security, laid the basis for a deep discussion about smallholders during the CFS session in 2013. In the words of the then Chair of the HLPE Steering Committee, M.S. Swaminathan of India, ‘the report calls for a new deal for smallholders’ (HLPE 2013, p.9, underlining in original). The report clarifies the characteristics of smallholder agriculture, distinguishing it from larger commercial holdings by the fact that it is practiced by families using only or mostly family labor and deriving from that work a large share of their income in kind or in cash. Smallholders seek fair remuneration of work in order to secure the well-being of the family unit, while commercial enterprises seek primarily returns on capital invested. The report challenges the ‘classical’ model of economic and agricultural structural transformations whereby the shares of agriculture in GDP and in the labor force are expected to decrease with time and smallholders are destined to ‘get big or get out’. The HLPE report questions the universality of this pathway, noting that some key countries such as China are choosing to maintain a substantial share of employment in agriculture and that the classic pathways underlying technical and agronomic model is now being questioned. The fate of smallholder agriculture, in other words, is the product of policy decisions, explicit or implicit, not a destiny. The CFS translated this insight into a recommendation inviting governments, in consultation with smallholder organizations and other national stakeholders, to develop explicit country-owned visions for the future of smallholder agriculture and bring them to bear on the full range of relevant policies and budgets.

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3 Ibid. para. 29 vii
4 Ibid
Investing in Smallholder Agriculture for Food Security and Nutrition, CFS 40, 2013

- Reiterates the finding that smallholders are responsible for producing most of the food consumed in the world and making the bulk of the investments in agriculture.
- Emphasizes the importance of legal recognition of and respect for the rights of smallholder farmers and strengthening their organizations.
- Advocates promoting their ability to access, produce, exchange, sell and use the seeds they need; and supporting conservation and development of agricultural biodiversity including through agro-ecological approaches.
- Reiterates the need for securing access and tenure for smallholders in accordance with the CFS Tenure Guidelines.
- Prioritizes public investment and financing in support of smallholders own investments, which are recognized to be multiform and not just monetary.
- Calls for strengthening participatory research combining traditional knowledge with the findings of scientific research.
- Recognizes that the realities of smallholders in relation to sanitary and phyto-sanitary regulations need to be taken into account.
- Supports the development of and access to markets ‘that are remunerative for smallholders and rural economies’; recognizes the importance of non-monetary exchanges and of local food systems.
- Encourages stakeholders to share their experiences in using the recommendations at a High-Level Forum on the key issue of ‘Connecting Smallholder to Markets’ scheduled for 2015.

Because of their comprehensiveness and coherence the 2013 HLPE report and CFS policy recommendations laid a foundation for further consideration of smallholder-related issues both in the CFS and in other global policy forums.

The 2015 High-Level Forum on ‘Connecting Smallholder to Markets’ led to one of the most creative debates the CFS has witnessed, largely as a result of the mobilization of concrete experiences and evidence by smallholder organizations from around the world. The resulting policy recommendations, adopted by the CFS in 2016, challenge conventional wisdom and dominant paradigms regarding smallholders and markets by recognizing that most of the food consumed in the world reaches consumers not through formal value chains and supermarkets but through a multitude of territorial markets rooted in local, national and regional food systems. These markets are inclusive, offering more opportunities for women and young people. They perform multiple functions, not only economic, but also social and cultural. They are the most remunerative for smallholders because they offer them more control over conditions of access and prices. They are an important source of fresh food at affordable prices and so contribute to healthy diets. Importantly, they make it possible to retain and redistribute value added within the territorial economy (even in the Global North). Yet, the adopted text notes that, ‘Despite their importance, relatively little is known about these market arrangements since they are often overlooked in data collection systems, which impacts negatively on the evidence base for informing public policies’.

The recommendations highlight the need for public policy support for territorial markets. Particular reference is made to the importance of data collection on these markets, supportive public procurement programmes and the need to develop food safety rules appropriate to the conditions of family farming and territorial

5 All information, background materials, and outcome documents can be found here: http://www.fao.org/cfs/home/activities/smallholders/hlfsmall/en/
7 CFS 2016/43/5, Connecting Smallholders to Markets Recommendations, para. 4. Available at: http://www.fao.org/3/a-mr177e.pdf
marketing. In short, market arrangements should be coherent with the multi-actor and multifaceted nature of smallholder family farming. The family unit has to function as a whole, economically and socially, not as a collection of individual entrepreneurs dealing with separate value chains in an unrelated way. For this to happen price formation has to cover production costs and ensure adequate revenues for producers and family farms. The social and territorial embeddedness and benefits of these marketing arrangements needs to be recognized and valorized and value added should be retained in rural territories and redistributed to revitalize rural economies. This implies rethinking rural development policies and urban-rural relations.

The final set of policy recommendations under review, Sustainable Agricultural Development for Food Security and Nutrition: What Role for Livestock? adds to the emerging smallholder narrative by considering those that raise livestock, an often overlooked segment of the smallholder constituency. While falling significantly short in tackling the severe multidimensional implications of large-scale industrial livestock systems, the recommendations recognize the contribution that pastoralism makes to sustainable ecosystems and to food security and nutrition, urging governments to recognize, protect and support pastoral systems and enable pastoralists’ mobility, controverting decades of dominant ‘development wisdom’ that has castigated the ‘destructiveness’ of pastoralists’ errant model of life and sought to sedentarize them. Furthermore, these recommendations also make important steps forward in asserting the need to respect, protect and fulfill the rights of women as well as ensuring living wages and decent working conditions for workers.

In short, in its first 10 years the reformed CFS has moved from seeing smallholders as fragile remnants of underdevelopment to recognizing the key roles they play in food security and nutrition and as defenders of the environment and the right to food for all. Specific public policies, regulations, infrastructure and investments geared at smallholders are necessary to support them and the food systems in which they operate. They are different from those that support agribusiness and corporate food chains. A systemic change in how we address food systems is needed, not tinkering with pieces of the puzzle.

2. Use and application of the CFS smallholder recommendations.

The call for experiences launched through the Global Forum on Food Security and Nutrition solicited a significant number of responses. These, along with discussions within the CSM, have reconfirmed the truism that when the CFS produces policy outcomes supportive of the vast majority of the world’s food producers, civil society is in the forefront using them on the ground. The experience of use and application of the recommendations reported thus far is painfully inadequate in comparison with what is needed, but it demonstrates unequivocally the potential of these policy outcomes to contribute to realizing the goals of the CFS by improving smallholders’ capacity to make their fundamental contributions to FSN and the right to food.

Global

One of the strongest and most immediate impacts of the CFS smallholder recommendations has been on the crafting of policy initiatives and legal instruments in other UN forums. This is extremely important as it builds greater coherence among the outcomes of policy processes in Rome, Geneva, Montreal and New York.

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9 The focus in this report is on the three sets of policy recommendations under review at CFS 2019. Reference could be made, however, to other CFS outcomes over the past ten years which have contributed to the emergence of a smallholder paradigm, such as the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries, and Forests (Tenure Guidelines) and the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication (SSF Guidelines).
10 In this context, it can be noted that the set of recommendations for which least use and application has been reported those concerning sustainable agriculture and the role of livestock, were judged to be least satisfactory by the CSM because of their inadequate attention to the differential environmental and social impacts of smallholder mixed production systems and intensive industrial livestock production.
UN Decade of Family Farming (UNDFF) Global Action Plan, adopted by governments and food producer organisations at the launch of the Decade on 29 May 2019, is a particularly successful illustration of CFS outcomes influencing policy frameworks at global level. Following the mandate of the UN General Assembly, the UNDFF provides a platform to enhance and define appropriate policies to support family farming and specifically smallholder food producers. The Plan, adopted by governments and food producer organisations, details the steps to implement the UNDFF in a meaningful way. The CFS policy recommendations on smallholders played a fundamental role in the development of the Plan by providing evidence of the central role of smallholders in the context of family farming and identifying important policy implications. The Plan references all 3 policy recommendations under review in the introduction and throughout the 7 pillars of the text, underlining the effectiveness of these content-specific outcomes in influencing the framing of food security policies at the global level.

Another important global instrument influenced by the CFS smallholder recommendations is the UN Declaration on the Rights of Peasants and Other People Working in Rural Areas (UNDROP), negotiated in the UN Human Rights Committee and approved by the UN General Assembly on 17 December 2018. UNDROP was the result of 18 years of work within the peasants’ movement, 8 years of work in the UN Human Rights Council, and 5 years of negotiation in an Open-Ended Inter-Governmental Working Group. The success of this negotiation process and the guidance it provides is partly due to the CFS policy outcomes and discussions on measures targeting smallholders and rural communities. These policy recommendations were seen as a basis of agreed principles from which the negotiations could progress. The Declaration, drawing on CFS policy outcomes, recognizes and enshrines in international law new human rights related to decent work and livelihood, access to natural resources, women’s rights, water and sanitation, among others.

Civil society members of the Steering Committee of the Global Agriculture and Food Security Programme (GAFSP), one of the international communities’ responses to the 2007-2008 food price crisis, also report efforts to bring the CFS policy guidance to bear on the investment programmes funded by the GAFSP. They have particularly influenced the ‘missing middle’ programmes that specifically target initiatives proposed by smallholder organizations themselves.

We will return to these global instruments in section 4 when we take a forward-oriented look at potential uses of the CFS recommendations in connection with other policy processes within the CFS and outside over the coming period.

Regional, national and local

Members of the CSM report several instances in which it has already proved possible to successfully use the CFS smallholder recommendations in policy processes underway at regional and national levels. In West Africa, the regional smallholder network ROPPA has used all three of the series in its interface with ECOWAS and to support negotiations between its national platforms and ECOWAS members. ROPPA reports that producers’ organizations have been able to use the CFS recommendations to influence the ‘second generation’ agricultural policies formulated in West Africa, with beneficial results. “For example, the funding mechanisms in Benin, Togo and Burkina Faso have been significantly improved” in terms responding to smallholders’ needs. In Senegal, a battle has successfully been engaged to strengthen the protection of the rice market to ensure that locally produced rice is sold before rice is imported from other regions of the world. At regional level ‘the agricultural development fund has been reoriented towards promotion of family farming rather than highly intensive production systems.”

The Community of Portuguese Speaking Countries (CPLP) provides another example of regional-level impact. The Civil Society Mechanism and the Peasants Platform of the CPLP report having used the CFS smallholder

13 See the ROPPA response to the GFSN call for experiences.
policy outcomes to contribute to the process of formulating the CPLP Guideline for Family Farming, approved in 2017. At national level, in Portugal the National Statutes for Family Farming, approved in 2018, also include references to CFS policy recommendations on connecting smallholders to markets. In Peru impacts have been achieved on the Law of Promotion and Development of Family Farming and some components of the National Agriculture Policy. In Italy the recommendations have fed into consideration of a new national specific legal framework providing recognition and better support for small scale food producers.

Several members of the CSM report policy impacts at local level, where decentralized authorities are closer to realities on the ground and may be more easily influenced by peoples’ movements and their claims. CICODEV, in the Rufisque area of Senegal, for example, has used the CFS recommendations on connecting smallholders to markets to back up its collaboration with the Departmental Council of Rufisque in the context of a programme promoting a sustainable food system for fighting malnutrition. Specific objectives have included contractualization between smallholder organizations and managers of the school feeding programme to privilege local products. The Australian Food Sovereignty Alliance (AFSA) has successfully used the recommendations to lobby for reforms to both food safety and land use legislation in Victoria in South Eastern Australia, to support small-scale livestock producers by improving infrastructure and access to markets. The Victoria government has ‘stream-lined regulations and made them scale-appropriate for small-scale pastured pig and poultry producers, removing unnecessary red tape and restrictions on smallholder farmers, who had been inaccurately classified as ‘intensive’ livestock farmers.’ Additionally, creation of a state-level Artisanal Agriculture Grants programme is providing smallholders with access to funding for infrastructure development.

Beyond legislative impacts

Members of the CSM note that it is misleading to think of translation into regional, national or local legislation as the only form of ‘use and application’ of global policy outcomes. Policy change is a process over time that starts with sensitization and advocacy. As noted in the external evaluation of the CFS, CSOs on the ground are often better informed about CFS policy outcomes than are governments. Many CSOs organize activities to ‘take Rome home’ such as training, monitoring, production of information tools, using outputs as an opportunity to build common agendas with others and talk to institutions, promote regional coalitions to push for application, explain to governments what is the ‘win’ for them in the outcome, and connect with key national and regional processes.

One example of effective advocacy action using all three of the sets of recommendations under review is the ‘My milk is local’ campaign. Through this campaign, Belgian CSOs are collaborating with West African smallholder milk producers to draw attention to the conflicting interests between foreign investments aimed at capturing local market shares on the basis of cheap European powders of skimmed milk re-fattened with palm oil, on the one hand, and investments by and for local African dairy actors that respond to broader social, environmental and economic objectives, on the other.

CFS policy outcomes can also promote benefits beyond legislation. Practically all of the CSOs who responded to the GFSN call and/or who participated in the CSM workshop reported using the policy recommendations as a tool to stimulate reflection within the smallholder movement on issues of great importance to them. ROPPA, for example, has organized a session of its Peasant University on territorial markets. It has shared the recommendations with other smallholder and civil society networks in the region and has fed them into its five-year strategic plan. Visibility for smallholders and recognition of the characteristics that distinguish them from commercial farmers is a benefit reported by CSOs in all regions.

14 See MCSC-CONSAN-CPLP contribution to the GFSN call for experiences.
15 See Terra Nuova contribution to the GFSN call for experiences.
16 See ARI contribution to the GFSN call for experience.
17 See AFSA contribution to the GFSN call for experiences.
18 See OXFAM contribution to the GFSN call.
Narratives of diversity

“We have been able to bring in a narrative of diversity. Cooperatives scaling up to reach the international market isn’t the only way. We have influenced farmers who wanted to transit away from commodity production by providing them with access to knowledge about alternative production and markets.”

Testimony at CSM workshop

Academics responding to the GFSN call testify to the fact that the CFS recommendations have contributed to building better understanding of rural situations. More directly and poignantly, smallholder movements themselves have welcomed the way in which the CFS outcomes have affirmed important pieces of their reality.

Whose markets?

“These recommendations have given us back our markets. We tend to demonize ‘The Global Market’ because it destroys our livelihoods. But our markets don’t divide us, they connect us.”

Testimony at CSM workshop

An exceedingly important impact of the CFS recommendations under review has been the stimulus it has provided to collect data on smallholder agriculture, which is recognized to be a fundamental and long overlooked dimension of the fight against hunger and malnutrition. In this context, the programme launched by FAO in collaboration with smallholder organizations to develop a participatory methodology for collecting data on territorial markets is exemplary.

Finally, the way in which the CFS and the CSM work and collaborate at international level is also a ‘CFS output’ that can bear fruit in promoting the establishment or strengthening of multi-actor platforms at regional, national and local levels that embody human rights principles and ensure priority voice for those most affected.

3. Problems on the ground

Progress has been made in applying the CFS recommendations and raising awareness of the benefits of smallholder agriculture. Yet the reality on the ground is that day-by-day the world’s smallholders’ livelihoods continue to be destroyed and their small-scale food production is under attack in all countries and territories.

Violence is unacceptable

“Too many smallholders face imminent threats of violence, persecution and criminalization. CFS members and RBAs must address these issues of physical insecurity and risk as a priority.”

Focus on the Global South contribution to the GFSN call

There continues to be a deep lack of recognition of the crucial role of smallholders in feeding the world. Very few governments have adopted the CFS policies and they are not well-known at the national level. This is an issue for CFS policy outputs in general, but in the case of these recommendations it means that smallholders remain invisible with their rights unrecognized.

19 See contributions to the GFSN call by Wegerif, McMichael, Schneider.
20 See FAO and ROPPA contributions to the GFSN call.
21 De Schutter, Olivier, “Responsibly Destroying the World’s Peasantry”, The Project Syndicate, 4 June 2010. Available at: www.project-syndicate.org
CFS recommendations and the Global North

“Who is using the CFS outcomes in Europe? Not the EU! There’s a mindset that these recommendations are not applicable to the ‘developed’ world, but the evidence is that large-scale land acquisitions are a big problem in Europe as well and that regulations on issues such as food safety and public procurement penalize smallholders.”

Testimony at CSM workshop

Even where policies have been adopted, challenges remain due to failures in implementation. Rights recognition and policy adoption are not the same as rights realization and policy implementation. There remains throughout the globe a failure to translate the adoption of policies and legal frameworks into real and meaningful changes on the ground. Such change is also hindered by a lack of commitment to monitor policies through participatory processes, to ensure that policies aimed at smallholders are successfully implemented.

Policy incoherence often threatens the path towards progress in supporting smallholders. Policy incoherence occurs when policies at different levels fail to align, or when helpful policies are undercut by others. Civil society groups report that international, domestic and local state legal obligations are often conflicting. In some cases, while a state may have signed and ratified international standards and agreements that benefit those engaged in small-scale food production, these standards are not adopted in domestic laws and policies, while conflicting or less progressive policies remain in place. In contrast, in other cases domestic commitments to support small-scale production are undercut by international agreements that limit the ability for local laws and policies which might be better for smallholders to be enacted. For example, many civil society groups report that positive steps at the domestic level to support smallholder production have been thwarted by international agreements, such as those under the auspices of the WTO and bilateral trade agreements. These agreements support market liberalization and emphasize export-oriented production over support for local and territorial consumption and markets. Civil society organizations repeatedly bring up challenges to using public procurement as a tool to support local and small-scale producers, pointing to their countries’ international trade commitments.

Policy coherence

“Policy recommendations do not only need to be known by one government agency (e.g. the agricultural ministry), but across sectors and agencies (e.g. trade, finance, health, justice, competition,…). They demand a holistic and cross-sectoral approach to the realization of the right to food. And this policy coherence is at the moment widely lacking.”

OXFAM contribution to the GFSN call

Policy incoherence is also found at the national level between different policy and legal instruments and between local and national governments. Several civil society organizations report incidents of domestic policies that support smallholder production being undercut by national polices that promote industrial agriculture and livestock production or support large-scale supermarkets over territorial markets.

Public funds for public good or private interests?

“In Eastern Europe public banks set up to liberalize markets in the ex-Soviet bloc are channeling public funds that are intended for food security to the 1% of the private sector in agriculture engaged in commodity export to the risk of local production and markets. Our markets bring nutritious food to cities and build local economies. We want them to be recognized as public utilities.”

Testimony at CSM workshop

Most fundamentally, the rights of small-scale producers continue to be violated in all corners of the globe. Smallholders’ rights to the resources (land, seeds, water and biodiversity) necessary for production are not protected. Large-scale land acquisitions and a failure to recognize and enforce tenure rights continue to result
in smallholders losing access to their land. Women’s rights continue to be violated daily. Protracted crises continue to impact smallholders in all aspects of production, hindering the ability of smallholders to produce food for their families and communities.

**Privatizing the commons**

“Our social economies sustain many communities. If you limit these spaces you contribute to poverty. Our land is part of the commons. It is being privatized for industrial agriculture which mines the land, while our pastoral use of land leave space for biodiversity and regeneration.”

*Testimony at CSM workshop*

Peasant agroecology remains underfunded and under-supported. Instead, states funnel public funding towards large-scale production without recognizing the important role of agroecology in mitigating and adapting to climate change and in supporting local production and community development. Climate-related shocks and changing weather patterns increasingly threaten production and the livelihoods of small producers.

**Many smallholders or a few giants?**

“The Indian dairy system is based on millions of small producers, including landless, for whom milk sales make a significant contribute to their livelihoods. It is a decentralised system, based on local producers and cooperatives. But now the private industrial dairy sector is moving in, with the support of trade agreements, and risks wiping out small producers.”

*Testimony at CSM workshop*

The needs of those engaged in small-scale livestock production continue to be ignored by domestic level policy instruments. Pastoralists are rarely supported by public policies, and immigration laws penalize cross-border grazing. Workers in agriculture and livestock production are made invisible by domestic policy and legal instruments that exclude them, and their health and safety are not adequately prioritized. One-size-fits-all regulatory instruments make small-scale production of livestock increasingly challenging for small producers who cannot meet the health and safety requirements suited for large-scale production. Livestock producers in the Pacific and elsewhere note increasing challenges in finding accessible abattoirs to slaughter their animals, while producers in Europe note that the rise in large supermarkets chains is hindering the possibilities of direct sales of products from small-scale production models.

**Pulling the wool over consumers’ eyes**

“Supermarkets are introducing shelves with ‘local products’ to give consumers the idea that that they are supporting local producers. But we soon learned that the conditions they propose are impossible for most of us to meet. The products are more expensive than they are in our fairs, giving a wrong impression to consumers, and our individualities and visibility are ignored.”

*Testimony at CSM workshop*

Smallholders’ participation rights in policy-making continue to be elusive. Policies are formulated without the participation of impacted communities and, as a result, do not take their concerns into account. Multi-stakeholder platforms, now on the rise, fail to distinguish between different participants with different interests and power, and do not prioritize smallholders as rights holders entitled to participate in the development, implementation and monitoring of policies that affect them. Indeed, the private sector is often given greater space to influence policy-making.
Which private sector?

“We’re not fighting the private sector but the corporate sector. Small business are being destroyed just as much as smallholders. We need to create links of collaboration”

Testimony at CSM workshop

Suggested ways forward

Civil society reflection on these recommendations and experience in using them has produced suggestions regarding ways in which obstacles to applying CFS policy guidance on the ground could be addressed. Some of these are applicable to CFS outputs in general.

Addressing hindrances to the use and application of CFS recommendations

Respect the CFS’ participatory, inclusive policy convergence process

Experience with these three sets of smallholder-centered policy recommendations reiterates the obvious lesson that the quality of the negotiation process at the CFS affects the quality of the outcome, which in turn affects CFS members’ and participants’ sense of ownership of the recommendations and their motivation to apply them. The ‘livestock’ process met with some challenges due to the inability of the process to truly confront industrial agricultural, and the conflicting needs and diversity of issues that emerged when putting livestock and sustainable agriculture into one policy discussion.. This contrasts with the experience of the two other sets, in which actors brought their evidence to the negotiation process, and political space was afforded in the run-up to the CFS plenary, through open-ended working group (OEWG) meetings or open meetings convened by the facilitator for fulsome discussion. Framing the issues adequately and ensuring adequate time for a meaningful political process and negotiation is fundamental.

Bridge the Rome-capital gap

CFS policy outcomes address member States above all. States are primarily responsible for applying the recommendations they have adopted globally into their regional and national frameworks, policies, and legislation. They are accountable for the impacts of their action or failure to act. CSM members are willing and committed to support governments in bridging the global-national gap, by such means as helping to sensitize government actors at local and national levels to the importance of CFS workstreams well before the outcomes are achieved; helping to establish or strengthen regional and national multiactor bodies reflecting CFS principles; targeting parliamentarians and local authorities; encouraging regional intergovernmental bodies to put CFS outcomes on their agendas and, generally, contributing to smoother and more permanent communications between global and regional/national institutions and processes.

Rome-based Agencies are fundamental

The importance of the role of the Rome-based Agencies (RBAs) in promoting the use and application of CFS outputs cannot be overemphasized. Where they have actively played this role, as in the use and application of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries, and Forests (Tenure Guidelines) or to collect data on territorial markets, the results have led to concrete change in policy at national and regional levels.\(^2\) However there still remains a gap between the policies negotiated at CFS with the support of the RBAs, and the RBAs’ full inclusion of said policies into their work programs. CSOs suggest improving connections between RBA headquarters and regional/national offices, assessing how RBAs are applying CFS

recommendations to their own programmes, and creating training spaces between regional offices, governments and CSOs around CFS outputs. In an era in which civil society voice is threatened in countries around the world, the RBAs have a fundamental role to play in keeping dialogue spaces open at regional and national levels.

“RBAs can play important roles in assisting governments to implement these recommendations. Government machineries tend to be over-worked and informed by concepts that may be outdated in the current contexts. RBAs have the credibility and acceptance by governments to bring in new thinking from the CFS, smallholders’ organizations, academics and CSOs. To do this, they need to educate their own officials in regional and national offices about the importance of these recommendations, related CFS processes and how to promote them with host governments. These agencies have many opportunities to promote these recommendations, but they tend to promote policy proposals that benefit large agribusinesses and large-scale food producers rather than smallholders.”

Focus on the Global South contribution to the GFSN call.

**Diffusion and building bridges**

For CFS policy outcomes to be applied, they have to be diffused and rendered understandable to the communities they are intended to benefit. When this is done, as in the case of the Tenure Guidelines’ popular manual or the Connecting Smallholders to Markets analytic guide, the impact is significant. More is needed in the way of grassroots education tools and videos which speak from the lived experiences of communities, and indicate ways in which CFS policy outcomes can support their efforts to defend their rights and livelihoods. Exchanges need to be promoted between different sectors of affected populations, such as workers/small-scale producers or consumers/producers, to facilitate greater dialogue and support alliance building.

**Building links between the CFS smallholder policy recommendations and other policy processes**

**Within the CFS**

CFS policy outcomes are a comprehensive and collective body of institutional commitments. Taken together they constitute robust comprehensive guidance for member states to address issues of food security and nutrition. In order to ensure continuity and coherence amongst policy outcomes, the role of monitoring how policy outcomes are being used, and examining their potential use, is critical - both in terms of institutional reflection and of assisting emerging policy processes within the CFS. The introduction of an ‘uptake’ objective into the CFS Multi-year Program of Work (MYPOW) is an important step forward. Along this line, all new workstreams should include reflection on uptake and monitoring as an integral part of the policy convergence process. It is essential to build on the content and experiences of already adopted policy outcomes in order to obtain a more comprehensive and coherent picture of policy use and application, and to understand how to provide guidance for corrective measures.

Policy recommendations in the CFS should not silo health, environment and social aspects, but rather target the nexus between health, biodiversity and modes of production ensuring the fulfilment and protection of the right to adequate food for all. The upcoming CFS Voluntary Guidelines on Food Systems and Nutrition and the policy convergence process on ‘Agroecological approaches and other innovations for sustainable agriculture and food systems that enhance food security and nutrition’ should be a window of opportunity to build links between what food is currently produced and consumed, by whom and how, and with what effects. The normative guidance provided by the sets of CFS recommendations targeting smallholder can contribute to this process.

Critical pillars for a truly holistic approach to addressing smallholders are and should be women and youth. Gender equality and women empowerment should be strengthened with the planned CFS policy convergence on gender equality to be started in 2020. In the same line, the cross-sectoral approach of youth is fundamental.
Youth diversity must be acknowledged, the CFS policy convergence on youth engagement and employment in agriculture and food systems starting from 2021, must take into account the wide range of contexts when it comes to youth and understand that empowerment of youth is not only about creating employment opportunities, but also to ensure access to education, health services, land. Finally, policy recommendations should highlight the importance of rural youth for food security and the important role it plays in smallholder agriculture.

**FAO policy spaces**

As the only RBA with a mandate that explicitly includes policy convergence, building synergies between the FAO’s technical committees and the CFS processes is important. Past examples of synergies of this nature include the connections between the Voluntary Guidelines for Securing Sustainable Small-Scale Fisheries in the Context of Food Security and Poverty Eradication endorsed by the FAO Committee on Fisheries (COFI) in 2014 and the CFS’ work on sustainable fisheries and aquaculture for food security and nutrition. The FAO Committee on Agriculture (COAG) can provide a useful space in which to advance with the livestock issues, which have been inadequately addressed in CFS recommendations. At regional level, FAO Regional Conferences are exceptionally important spaces to ensure that CFS policy convergence processes reflect regional priorities and particularities and that their outcomes are brought to the attention of regional and national governmental actors. To enable this linkage, the Regional Conferences should foresee including key CFS topics on their agendas and opening-up participation space to organizations representing the sectors of the population most affected by the policies.

**Other UN spaces**

**UN Decade of Family Farming (UNDFF)**

The UN Decade of Family Farming is key to stepping up investments in and policy support for small-scale food producers and food systems and markets that are remunerative for them, as suggested in the CFS policy recommendations.

The national action plans whose formulation is foreseen in the UNDFF Global Action Plan are a good opportunity to bring CFS policy recommendations to national level in an inclusive way since it is foreseen that “a solid process will be promoted to contextualize the implementation of the Global Action Plan of the UNDFF at national … level. Governments and regional intergovernmental spaces will be encouraged to identify and map existing efforts taken at national and/or regional levels to strengthen family farming. This mapping process should incorporate existing ongoing relevant actions and a needs assessment of different actors in order to build integrated and well-tailored interventions to effectively support family farmers. It is recommended to undertake this process in an inclusive manner, involving family farmers and other relevant actors, including already existing National Committees of Family Farming, to guarantee that all actors provide their complementary contributions according to their specific roles and responsibilities.” (UNDFF Global Action Plan, p. 13). One hundred National Action Plans of Family Farming are foreseen by 2024.

The UNDFF process also links up well with the monitoring function of the CFS and promotes coherence with SDG monitoring. The Global Action Plan foresees that “to track the progress of the implementation of activities during the UNDFF, a reporting mechanism and timeline will be developed in line with the monitoring process of the SDGs.” In this connection “a framework for policy coherence for sustainable development will be established with all relevant initiatives, platforms and processes. This presents opportunities for synergies and joint actions including … the relevant Committee on World Food Security products, among others.”

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23 Op cit. 12
24 Ibid, pg. 16
Reciprocally, the policy convergence space as well as the monitoring function of the CFS should be utilized to address progress and actions within the framework of the UNDFF, given the important role that smallholder organizations have within the CFS policy space.

**UN Decade of Action on Nutrition**

Opportunities for synergies between the CFS smallholder recommendations and the UN Decade of Action on Nutrition\(^{25}\) are multiple, given the positive nutrition impacts of smallholder agroecological food production and territorially embedded markets. Two examples are the possibility of promoting, in the context of the UN Decade, such recommendations as the need to develop differentiated standards of food safety that protect consumers in ways that are appropriate to the concrete conditions of smallholder production and local markets and the need to substantiate the benefits of and develop mechanisms for public procurement for institutional feeding that privilege local nutritious products.

**UN Declaration on the Rights of Peasants and Other People Working in Rural Areas**

The work of the CFS not only supported the development of the rights delineated in the UN Declaration on the Rights of Peasants and Other People Working in Rural Areas (UNDROP), but can also promote its implementation through mainstreaming UNDROP into policy discussions and supporting the Declaration with policy recommendations that can provide technical and policy advice to support operationalization. As the CFS is a key international policy space that gives voice to peasants and other people working in rural areas, it is the ideal policy environment in which this work should happen. It is also the space that can provide technical guidance and policy coherence within other UN Spaces in Geneva and New York, as well as at regional and national levels.

**SDGs**

The CFS has an important role to play in achieving the ambitious goals of the 2030 Agenda, in all of which we are very behind. The smallholder policy recommendations, if taken up at national level, could support meeting these goals while creating human rights-based multi-actor policy and monitoring processes.

Achieving the SDGs requires real change; the CFS policies, due to the participatory processes behind them, offer concrete guidance. Thus far, the CFS has had limited to no visibility in the SDG process.

SDG 2 specifically address smallholder producers, and target 2.3 seeks that “by 2030 double the agricultural productivity and the incomes of small-scale food producers, particularly women, indigenous peoples, family farmers, pastoralists and fishers, including through secure and equal access to land, other productive resources and inputs, knowledge, financial services, markets and opportunities for value addition and non-farm employment.” The CFS policy recommendation targeting smallholders are critical to achieving this goal, and the use, application and monitoring of CFS policies should be taken seriously in the CFS sessions, as well as within the national and thematic reviews of the SDGs. However, SDG 2 is not the only goal in which the 2030 Agenda intersects with the policy guidance generated by the CFS.

Support to smallholders can be seen across most of the goals and targets of the 2030 agenda, embedded in several issues including global food security, climate, gender, poverty reduction, and reducing inequalities, among others. The SDGs cannot be achieved without radical changes to dominant models of food provisioning, including addressing the increasing marginalization of smallholder food producers, in particular in rural areas, in accessing land and natural resources, producing in ecological and sustainable ways, and in access to markets, as mentioned previously.

\(^{25}\) All information on the UN Decade of Action on Nutrition can be found at: https://www.un.org/nutrition/about
The centrality of monitoring within the CFS

This exercise of monitoring policy recommendations related to smallholders makes an important contribution to understanding how these policies can contribute to ongoing policy dialogues and programmes, and how to be consistent in support for smallholders across CFS policy processes. However, it is also an important stimulus to the further development of the innovative monitoring mechanism of the CFS. Since the 2016 adoption of its Terms of Reference for monitoring, this is the first time the CFS has embarked on an exercise to address the use and potential use of policy recommendations. The monitoring function of the CFS is still young and under development, and through this exercise we are identifying ways the policy recommendations are being used, but also the gaps in dissemination and uptake at national and regional levels. One major gap that we have identified is the lack of use and application, and general knowledge of, CFS policy recommendations in the national context, despite their relevance. It is clear through the official CFS monitoring process carried out through the FSN forum that the potential use of these instruments is quite significant and relevant to ongoing challenges faced by smallholders.

The development of policy guidance and recommendations within the CFS represents not only the outcome itself but also an important multi-actor process of negotiation and consensus building, which does not exist in such a participatory way in other UN spaces. This participation means that the outcomes represent quite pragmatic guidance on key issues of FSN and can contribute to the realization of the right to adequate food. It also enhances the potential for creating similar participation in policy implementation and monitoring at national and regional levels, in order to create real policy solutions to ending hunger and malnutrition, tackling increased food insecurity and malnutrition, and supporting smallholders.

This exercise has also reinforced the need to use the monitoring mechanism to build policy coherence across monitoring spaces and processes, including ongoing efforts at national level linked to, for example, human rights treaty body reviews and the universal periodic review of the human rights council, the voluntary national reviews for the SDGs, and the FAO regional conferences.

The adoption of the Terms of Reference to share experiences and good practices in applying CFS decisions and recommendations through organizing events at national, regional, and global levels (CFS Terms of Reference) in 2016 provide clear guidance on how to organize human rights-based, multi-actor monitoring processes. Additionally, the Global Thematic Events (bi-annual), and the monitoring session in the CFS plenary for policy recommendations held this year, which bring together national, regional and global analysis along with technical experts and communities most impacted by hunger and malnutrition, provide important opportunities for sharing of best practices and addressing accountability. It is critical that the CFS continues to develop this mechanism and to share the outcomes of collective monitoring processes, as well as the policy outcomes, at global level as it relates to other policy spaces.

A great deal of the value and legitimacy of the CFS will rest on its ability to monitor accountability, by connecting the local and national level with policies made at the global level. Without monitoring, the CFS risks becoming a space where people gather at great expense to discuss issues, but do nothing to enact solutions.

4. Conclusions and recommendations

The compendium of policy outcomes from the CFS has contributed to a narrative of smallholders which illuminates their role in feeding the world, while also acknowledging the various ways they are marginalized across food systems and identifying the needed policy interventions. There is a potential for these policy outcomes to impact smallholders’ lives and livelihoods at regional and national level and to contribute to participatory policy making based in human rights principles. Smallholders are the main investors in agriculture and food producers globally, and this reality must be matched with political and financial investment in the agroecological production models and territorial markets in which they engage.
The CFS policy outcomes represent progressive standards on which further policy can and should be built. Institutional memory and ongoing progress is central to the CFS and its ability address the structural causes of food insecurity and malnutrition. This will also call for more dedicated attention to emerging paradigms and approaches that require different sets of supportive policies. Transitioning from an unsustainable and inequitable paradigm to a sustainable and equitable one will require a shift in the political debate as well as more coherence and transparency. Economic interests and political power will weigh in when decisions are taken, but it should be clear whose interests are involved and states’ responsibility for defending the interests of their inhabitants should be highlighted. CFS cannot continue to avoid ‘taboo’ topics like the impacts of international trade and of the corporatization and financialization of agriculture on food security and nutrition and the rights and livelihoods of those most affected.

We still have a small window of opportunity to make the necessary changes in our food systems in order to ensure a world in which the right to adequate food for all is realized and the health of our planet and its inhabitants respected. Failure to do so can only engender deep social, political and environmental upheaval which cannot be addressed by building walls, repressing dissenters, or criminalizing and demonizing civil society actors. We will all be held accountable for our positions and actions, and the greater the power we wield the greater our responsibility. As a minister of a small island state declared recently to his homologue from a large industrial power: ‘You are concerned about saving your economy; I am concerned about saving my people.’ In the UN in general, and the CFS in particular, rooted as they are in human rights and defense of the common good, there can be no question as to which objective should prevail.

**Recommendations**

A) **Member States**

- Should ensure that CFS policy guidance are addressed and utilized in the national policies, programs and strategies, as well as national reviews under the SDGs and within the human rights treaty body system.

- Should apply the CFS recommendations to inclusively develop nationally-owned visions for the future of smallholder agriculture and bring them to bear on relevant budgets and programs, in connection with the formulation of UNDFF national action plans and the implementation of the UNDROP.

- Should take action, in the context of the governing councils of the RBAs, to push for enhanced and coherent RBA support for the use and application of CFS and its policy outputs, and to include CFS policy outcomes in the discussions in FAO regional conferences.

- Should strengthen policy coherence of their national policies by ensuring effective analysis and monitoring of their impact on smallholders, consistent with the human rights obligations of states, with the UNDROP and UNDFF, and the 2030 Agenda.

B) **Rome-based Agencies**

- Should apply the necessary resources, technical expertise and staff training and orientation to ensure that CFS policy recommendations are translated into their policy guidance, state support, and program work at regional and national level as well as in their global activities.
C) **Committee on World Food Security**

- Should take into account, and further build upon, the standards set in the smallholder recommendations in the on-going and upcoming CFS workstreams and policy outcomes on food systems and nutrition, agroecology and other innovations, gender equality and women empowerment, youth engagement in food systems, inequalities for FSN and data analysis and assessment.

- Should contribute towards a globally coherent framework in support of smallholders, consistent with the human rights obligations of states, with the UNDROP and UNDFF, and the 2030 Agenda.

- Should explore the impact of trade and investment agreements on international, regional and national policies affecting food security and nutrition and formulate its recommendations on how these impacts could be addressed, including by revising the agreements themselves;

- Should continuously build up the monitoring function of the CFS to ensure space for reflection, learning from best practices, and exposing challenges; this includes also improving communication and dissemination of policy outcomes to member states, as well as other relevant actors, in particular UN agencies and regional bodies.

- Should ensure that its future workstreams address the several policy gaps exposed by the implementation of the smallholders recommendations, with special emphasis on need to establish adequate policy guidance on how to resolve the tensions between different production systems;

- Should take specific measures to address the increasing concerns about violence against human rights defenders, including smallholders.