

ANALYSIS OF FUNDING FLOWS TO AGROECOLOGY

THE CASE OF EUROPEAN UNION MONETARY FLOWS
TO THE UNITED NATIONS' ROME-BASED AGENCIES
AND THE CASE OF THE GREEN CLIMATE FUND



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Key Findings

As prominent donors, the European Union (EU), the United Nations' Food and Agriculture Organisation (FAO), the International Fund for Agricultural Development (IFAD), the World Food Programme (WFP), as well as the Green Climate Fund (GCF), have the potential to play a leading role in supporting agroecological transformation of food systems. However, this analysis shows that public money channelled towards agroecology via these channels is, up to now, minimal:

- Projects supporting 'transformative' agroecology were only found in the GCF portfolio and represent 10.6% of the money invested in agricultural projects by the GCF.
- Between 2016 and 2018, no EU disbursements to FAO, IFAD and WFP were made in support of 'transformative' agroecology.
- Only 2.7% of the EU disbursements to FAO, IFAD and WFP between 2016 and 2018 flowed to projects supporting first steps towards agroecology through a focus on substitution of harmful inputs.
- 79.8% of the EU funds channelled through the FAO, IFAD and WFP and 79.3% of the GCF's agriculturally relevant investments support of programmes and projects focusing on conventional agriculture and/or efficiency-oriented approaches such as sustainable intensification.
- There are indications that at the EU level some change has already occurred, with agroecology and related approaches gaining more prominence under the European Green Deal. The present analysis could be used as a baseline study to support the monitoring and evaluation of EU spending henceforth.
- A firm focus on agroecology in the GCF's sector guidance currently being developed could increase the number of agroecological projects being proposed and funded by the world's largest climate fund.

0.1 Introduction

Converging socio-ecological crises – climate chaos, biodiversity loss, energy, pollution and waste disposal, social polarisation and inequality, as well as health, hunger and malnutrition – amplified by a global pandemic, have made the need for a radical break with current food production systems difficult to ignore.

Industrial agriculture is implicated in and exacerbates all of these crises. Of the different proposals that exist to build a sustainable food system, agroecology has taken a prominent role as a radically transformative pathway that would deliver not only ecological, but also social, economic and cultural benefits.

However, despite this increasing recognition and a plethora of international reports, organisations and platforms pointing to agroecology as crucial part of the solution¹, there are indications that actual, financial support for an agroecological transition remains meagre².

This report adds to the evidence by analysing funding made available by the European Union in partnership with the United Nations' Rome-based agencies as well as funding channelled via the Green Climate Fund. The Rome-based agencies – the Food and Agriculture Organisation (FAO), the International Fund for Agricultural Development (IFAD), and the World Food Programme – hold mandates on food and agriculture, are important institutions in the setting of priorities regarding global food security, and are moreover all partners in the 'Scaling-up Agroecology' initiative launched in 2018.³ The Green Climate Fund is an operating entity of the financial mechanism of the United Nations' Climate Change Convention, and is the world's largest fund dedicated to supporting climate change mitigation and adaptation in developing countries, including in their agricultural sectors.

¹ Most notably, see IAASTD (2009) *Agriculture at a Crossroads: International Assessment of Agricultural Knowledge, Science and Technology for Development Global Report*

http://www.weltagrabericht.de/reports/Global_Report/Global_content.html;

and the recent follow up publication: Herren, H.R., Haerlin, B. & IAASTD+10 Advisory Group (2020) *Transformation of our food systems: The making of a paradigm shift*. Foundation on Future Farming & Biovision. <http://www.db.zs-intern.de/uploads/1600962235-BuchWebTransformationFoodSystems.pdf>.

See also: HLPE (2019) *Agroecological and other innovative approaches for sustainable agriculture and food systems that enhance food security and nutrition*. High-Level Panel of Experts on Food Security and Nutrition (HLPE).

<http://www.fao.org/3/ca5602en/ca5602en.pdf>; FAO (2018) *FAO's work on agroecology: a pathway to the SDGs*. FAO.

<http://www.fao.org/3/I9021EN/I9021en.pdf>; IPBES (2019) *Summary for policymakers of the global assessment report on biodiversity and ecosystem services of the Intergovernmental Science-Policy Platform on Biodiversity and Ecosystem Services*. IPBES https://www.ipbes.net/system/tdf/ipbes_7_10_add.1_en_1.pdf; IPCC (2019), *IPCC Special Report on Climate Change, Desertification, Land Degradation, Sustainable Land Management, Food Security, and Greenhouse gas fluxes in Terrestrial Ecosystems*. IPCC. <https://www.ipcc.ch/site/assets/uploads/2019/08/Fullreport-1.pdf>;

as well as the recent call by over 360 scientists from 42 countries: Wanger, T.C., DeClerck, F., Garibaldi, L.A. *et al.* (2020) Integrating agroecological production in a robust post-2020 Global Biodiversity Framework. *Nat Ecol Evol* 4, 1150–1152. <https://doi.org/10.1038/s41559-020-1262-y>.

² De Longe, M.S, Miles, A. & Carlisle, L. (2016) Investing in the transition to sustainable agriculture. *Environmental Science & Policy*, 55:1. <https://doi.org/10.1016/j.envsci.2015.09.013>

Pimbert, M.P. & Moeller, N.I. (2018) Absent Agroecology Aid: On UK Agricultural Development Assistance Since 2010. *Sustainability*, 10:505. <https://doi.org/10.3390/su10020505>

Vermeylen, M. & De Schutter, O. (2020) *The share of agroecology in Belgian official development assistance: an opportunity missed*. CRIDHO Working Papers. https://www.agroecology-pool.org/wp-content/uploads/2020/06/CRIDHO-2020-ODESchutter_Share-Agroecology-Belgian.pdf

Biovision & IPES-Food (2020) *Money Flows: What is holding back investment in agroecological research for Africa?* Biovision Foundation for Ecological Development & International Panel of Experts on Sustainable Food Systems.

www.agroecology-pool.org/MoneyFlowsReport

³ The United Nations' Environment Programme (UNEP), the United Nations' Development Programme and the Convention on Biological Diversity are other partners of the initiative launched during FAO's Second International Symposium on Agroecology in April 2018: <http://www.fao.org/3/ca3666en/ca3666en.pdf>.

Results of the present analysis remain, unfortunately, aligned with other studies in terms of magnitude – i.e. funding is minuscule – and further underline the urgency of shifting both international development assistance and climate finance towards an agroecological transition and away from supporting an agricultural sector that is geared towards large, petrochemical-dependent agribusiness.

In order to be supportive of an agroecological transition, an increase of funding per se would need to be backed by certain changes to the mode in which funding was made available to agroecology, especially with a view to supporting smallholder farmers and peasants' associations, who still feed the majority of the world, in their self-directed initiatives on the ground.

There is no doubt that agroecology runs counter to the interests of big agribusiness – its focus is firmly on democratising the food system and creating vibrant local, regional and global food economies that focus on health and nutrition for all and dignity of labour before profit. As such, it works to undermine the monopoly of the few and empowers farmers to participate in the creation of a food system which enhances ecological systems and enriches the human habitat. This 'democratising' dimension of agroecology necessitates careful reflection on which funding modalities (public, private, blending, grants, loans, guarantees?) are best pursued in its support. Some studies demonstrate that public-private partnerships and blending finance mechanisms are not efficient ways to finance smallholder agriculture⁴.

The present study is based on an understanding of agroecology as transformational approach to food and farming systems, guided by a set of principles across environmental, socio-cultural, economic and political dimensions. Avoiding conception of agroecology as a fixed body of knowledge and practices, a principles-based understanding allows for the actual manifestation of agroecology to vary across different temporal and geographical contexts. This understanding is presented in the following section and serves as theoretical framework for this study.

Following on from the introductory sections, the present report unfolds in two main parts – Part I focuses on the analysis of EU funds to Rome-based agencies by detailing the methodology and discussing the results and their visualisations. Part II does the same for the analysis of the Green Climate Fund's project portfolio.

Each Part also discusses the categories which were used to classify projects as supporting agroecology at different levels: to this end, Gliessman's widely accepted five levels of agroecology were adapted to fit the analytic context. It was necessary to introduce additional categories in order to account for projects that fell beyond the industrial agriculture vs. agroecology divide.

⁴ Oxfam (2019) *Accountability deficit? Assessing the effectiveness of private finance blending in ensuring that small-scale farmers are not left behind*. Oxfam International Briefing Paper. <https://www.oxfam.org/en/research/accountability-deficit>

0.2. Conceptualisation of agroecology

It is often stated that agroecology is a science, a practice and a social movement⁵, but this leaves open the question of substantive content of the science, practice and social movement. As agroecology gains traction, varied understandings of its substance are promoted in different contexts, and significant differences in emphasis divide stakeholders. While it is widely understood as referring to the application of ecological principles to agriculture, to restoring the health of ecosystems and to regenerating natural resources, its socio-cultural, economic and political dimensions have hitherto often remain sidelined. However, with growing emphasis placed on these dimensions, agroecology is increasingly understood as having a focus that moves beyond the field and farm level to the landscape and territory, and involving not only agricultural, farm-level concerns but questions regarding the entire food system, from production to consumption and disposal of waste⁶. However, what exactly is and what is not agroecological is not a given, indeed it is contentious. A study on financial support for agroecology, of course, needs to commit to a particular understanding, in order to be able to categorise its data.

The present study is based on an understanding of agroecology as a set of principles across several dimensions. Such principles have been captured in FAO's 10 elements of agroecology⁷ to guide the transition towards sustainable agriculture and food systems, as well as in the High-Level Panel of Experts on Food Security and Nutrition (HLPE) consolidated set of 13 agroecological principles⁸. The latter draws on CIDSE's 'principles of agroecology'⁹ and highlights the environmental, economic, social and political dimensions of agroecology. Avoiding a conception of agroecology as a fixed body of knowledge and practices, a principles-based understanding permits the actual manifestation of agroecology to vary according to temporal and geographical context.

Relatedly, the present study is based on an understanding of agricultural practices and approaches to food system change as classifiable along a spectrum. This spectrum ranges from industrial agriculture and a capital-intensive food regime to transformative agroecology focusing on the restoration of ecological health and a regenerative food system, with innumerable intermediary positions and approaches between these two poles. In order to make this conception of a spectrum operable for the purposes of our analysis, we adopted Gliessman's widely accepted 'five levels of change towards more sustainable food systems'¹⁰ as system of categorization – see Box 1 below. While Gliessman's progressive levels reduce into five distinctive steps what is better conceptualised as a continuum, or even a set of continuums across different dimensions, his proposal allows for the kind of classification and comparison required for our analysis. Moreover, it forms the basis of previous studies of funding flows towards agroecology, which facilitates comparison of results.

In the context of Gliessman's five levels, it is often understood that the kind of practices that would lead to a paradigmatic shift in food systems, and hence contribute to *transformative agroecology*, are located at Level 3 and above¹¹. In contrast, Levels 1 and 2 have to be understood as 'incremental' or intermediary approaches. However, being intermediary must not be understood as being part of a definite progression. Approaches at these levels may or may not lead to further steps towards more transformative agroecology: in fact, in many cases, approaches such as sustainable intensification or organic farming are seen as solutions in and of themselves that make redundant the need for the kind of radical transformation constituted by agroecology. It is thus important to understand that approaches at Levels 1 and 2 could potentially undermine efforts for agroecological transformation, especially when they are presented as alternative ends in themselves.

⁵ Wezel, A., Bellon, S., Doré, T. et al. (2009) Agroecology as a science, a movement and a practice. A review. *Agron. Sustain. Dev.* 29, 503–515. <https://doi.org/10.1051/agro/2009004>

⁶ See HLPE (2019) op.cit.

⁷ <http://www.fao.org/3/i9037en/I9037EN.pdf>

⁸ HLPE (2019) op.cit.

⁹ CIDSE (2018) The principles of agroecology: Towards just, resilient and sustainable food system. CIDSE. <https://www.cidse.org/2018/04/03/the-principles-of-agroecology/>

¹⁰ Gliessman, S.R. (2015) *Agroecology: The Ecology of Sustainable Food Systems*, 3rd ed.; CRC Press.

¹¹ HLPE (2019) op.cit.; Vermeylen & De Schutter (2020) op.cit.; Biovision & IPES-Food (2020) op.cit.

Box 1: Gliessman's five levels of food system change

LEVEL 1: Increasing the efficiency of industrial and conventional practices in order to reduce the use and consumption of costly, scarce, or environmentally damaging inputs (resulting in, for example, reduced use of off-farm inputs such as fertilisers, pesticides, water, and energy; reduced waste; improved yields).

LEVEL 2: Substituting alternative practices for industrial/conventional inputs and practices (e.g., replacing synthetic fertilisers with compost; using alternative pest-control; organic farming systems).

LEVEL 3: Redesigning the agroecosystem so that it functions on the basis of a new set of ecological processes (e.g., complex crop rotations and polycultures; integration of production systems into surrounding ecosystems; landscape-based approaches; ecosystem-based adaptation; biodiversity-oriented interventions).

LEVEL 4: Re-establishing a more direct connection between those who grow our food and those who consume it (e.g., short food chains and webs; Community Supported Agriculture (CSA) schemes; re-localisation of food systems and markets within same territories).

LEVEL 5: Building a new global food system, based on equity, participation, democracy, and justice, which is not only sustainable but helps restore and protect earth's life support systems.

Each level builds on and incorporates the preceding levels. The first three levels concern the farm system, whereas level 4 and 5 concern the wider societal dimension and overarching food system.

This study's objective is to identify the quantity of financial support for transformative agroecology, that is, for initiatives that contribute to a paradigm shift in food systems, rather than merely improve the efficiency or reduce the harm of conventional approaches. To this end, this study considers projects adopting efficiency-oriented approaches such as sustainable intensification (Level 1) to represent conventional agricultural approaches. Efficiency improvements are of integral concern to conventional agriculture and cannot be said to contribute to an agroecological transformation. Projects at Level 2, focussing on substituting environmentally harmful inputs with ecological alternatives or practices, are considered an intermediary step away from conventional agriculture towards transformative agroecological change, with projects at Levels 3 or above fully contributing to transformative agroecology.

This conceptualisation is echoed by the presentation of innovative approaches to sustainable food systems by the HLPE, in their distinction between agroecological and sustainable intensification-related approaches¹². While sustainable intensification and related approaches are also intended as pathways towards more sustainable food systems, they are distinct from agroecological approaches, with their respective values located at the other end of the HLPE's 'multi-dimensional continuum'.

While this study sets out to identify financial support for paradigm-shifting 'transformative agroecology' and presents data to this end, readers are of course free to use their own conceptualisations of agroecology to interpret the data presented. For example, while this study proposes to understand organic farming projects at Level 2 as an intermediate step towards agroecology, some readers may prefer to view these as fully agroecological, while others may view them as competing alternatives to agroecology rather than an intermediary step towards it.

¹² HLPE (2019) op.cit.

Part I

European Union monetary flows to the United Nations' Rome-based agencies

1.1. Methodology

Box 2: Summary description of methodological approach

Using the Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee's Creditor Reporting System (OECD-DAC CRS) database, 367 projects were identified as having received money from the EU budget via FAO, IFAD or WFP. 215 of these projects were excluded from further analysis because they fall under the sector 'Emergency responses', consisting of direct food aid and other urgent, short-term support. Agroecological support is generally found in longer-term development projects, and excluding 'Emergency responses' from this analysis was therefore appropriate. However, it should be noted that this also makes the results more generous: the proportion of investment in agroecology would have been much lower had 'Emergency responses' been taken into account.

A total of 152 projects was thus analysed further, in order to identify their agroecological quality. 33 of these projects were classified as unrelated to agroecology based on the project descriptions available as part of the CRS data. In order to analyse the remaining 119 projects, further information was sought from the European Commission's Directorate-General for International Cooperation and Development (DG DEVCO), and received for 89 projects. The other 30 projects were 'missing' in DG DEVCO's internal database and therefore had to be analysed based on information obtained through internet searches. 13 projects had to be excluded from the final analysis due to lack of information.

Projects documents were assessed in a minimum of two iterations through keyword searches and textual analysis, and projects classified according to Gliessman's five levels.

Once categorised, total investments were calculated per category, per partner organisation and per year. Due to the organisation of data in the OECD-CRS database, final figures are based on actual disbursements in USD per year, and not on overall project budgets. Figures thus represent actual EU spending per calendar year rather than budgetary commitments or full cost of projects. Co-finance by other organisations was not taken into account.

a. Building the dataset to be analysed

In order to capture all monetary flows from the EU to the United Nations' Rome-based agencies (Food and Agriculture Organization FAO, International Fund for Agricultural Development IFAD and the World Food Programme WFP), the 'Multilateral System dataset' of the OECD-CRS database was used.

The Organisation for Economic Co-operation and Development (OECD) Development Assistance Committee (DAC) tracks and measures resource flows for development, publishing the most complete data currently available on official development assistance (ODA) and other financial flows from OECD member states. Their Creditor Reporting System (CRS) captures flows based on individual projects, originating from members' reporting at item-level. The CRS Aid Activity database provides data "that enables analysis on where aid goes, what purposes it serves and what policies it aims to implement, on a comparable basis for all DAC members"¹³.

The CRS Multilateral System dataset ('Members' total use of the multilateral system') presents both OECD members' multilateral aid ('Core contributions to multilateral organisations') and bilateral aid channelled through multilateral organisations ('Contributions through multilateral organisations'). For the purposes of the present analysis, all gross disbursements from EU institutions (not individual member states) *through* FAO, IFAD and WFP, for the years 2016-2018 were extracted. 2018 is the latest data available (2019 only becomes available after January 2021). Core contributions to the

¹³ <https://stats.oecd.org/Index.aspx?DataSetCode=MULTISYSTEM>

general budget of the Rome-based agencies were thus excluded: these contributions include the mandatory membership fees and occasional voluntary contributions to the administrative budgets of these organisations.

Using the CRS Multilateral System dataset, a total of 789 disbursements¹⁴ to a total of 494 unique projects were extracted. In order to make this dataset more manageable for the purposes of our analysis, extracted data was then filtered for 'Agency'¹⁵ to exclude all European Development Fund flows, and only retain flows directly from the EU budget ('European Commission'). 70% of European ODA is financed directly by the EU budget, with the remaining 30% financed through the European Development Fund with a narrower geographical focus on Africa, the Caribbean, and Pacific countries only. (The 70:30 proportion held true for our dataset.) 367 unique projects (587 individual disbursements totalling USD 1.26 billion) were then further filtered for 'Sector'¹⁶ to exclude 'Emergency responses' – on the assumption that these would be the least likely to contain agroecological elements due to the urgency of intervention (rather than focus on long-term development impacts). 215 projects totalling USD 877.8 million were thus excluded. The resulting list consisted of 152 unique projects (and a total of 218 projects flows), totalling USD 381 million. These 152 projects are thus all the projects for which money was channelled from the EU budget via FAO, IFAD or WFP to all sectors except 'Emergency Responses' between 2016 and 2018. It should be noted that 14 disbursements (to ten unique projects) contained either no entry or 'zero' for monetary value, and calculations are based on that. Six of these projects were classified as Level 1, three as 'other', and one as 'support to governance organisations'.

The 152 unique projects were then triaged through qualitative assessment of their project descriptions available as part of the CRS data¹⁷, and another 33 projects (23 + 10 in two different iterations of evaluation) were excluded based on their irrelevance to agroecological development (exclusions consisted of projects such as verification missions – for Monitoring & Evaluation of other projects; payments to programmes that were judged as unrelated to agroecology; projects to facilitate remittances). The resulting list of 119 projects was submitted to the European Commission's DG DEVCO to request further information on each project. DG DEVCO staff was able to retrieve and provide further information on 89 of the requested projects. 30 project ID codes from OECD CRS data did not return any results on DG DEVCO's own internal information system CRIS – showing a lack of coherence in data submitted to OECD and data held on the internal system. For most of the 89 projects that were registered on CRIS, information received from DG DEVCO included full Project Proposals and/or Log frames as well as metadata from CRIS. In eight cases only metadata was available (received as screenshots), and internet searches of project titles were used to gather additional information. A total of 175 project documents were received (including screenshots of project metadata as returned by CRIS).

DG DEVCO later provided data on an additional six of the 119 requested projects – these were found under different project IDs (i.e. not corresponding to OECD data), by searching project titles only. For these projects, only screenshots of metadata, but no further background documents were obtained. All 175 project documents of the 89 projects received from DG DEVCO were then analysed.

b. Analysing the dataset

The present analysis involved an iterative process of assessment, comprising: keyword searches; analytic examination of project documents (e.g. funding proposals), that is, investigative reading, text coding, summarising; and one or two rounds of pre-categorisation.

¹⁴ To account for inflation, disbursements are given in 'constant US dollars' based on 2018 figures.

¹⁵ column I in original .csv file from OECD-CRS database

¹⁶ column Z in original .csv file from OECD-CRS database

¹⁷ column AF in original .csv file from OECD-CRS database

Keyword searches, using ‘regular expressions’ in a Python script, were performed on these 175 project documents (see Table 1 for list of regular expressions used) and results returned in a single .csv file.¹⁸ A total of 60 project documents returned results – the remaining 115 documents did not contain any of the keywords. Keyword results guided but did not determine the qualitative assessment of projects performed by reading through all project documents, coding text passages and summarising key elements of the project with a view to agroecological import. Keywords signalled key text passages which fell outside of the sections describing project activities and rationale.

Projects were then categorised in a first iteration according to Gliessman’s five levels – see Box 1 and Table 2 in section 1.1.d. A second iteration of the assessment ensured that categories were applied consistently and borderline cases were clarified.

Table 1 - Regular Expressions used in keyword queries

[Aa]gro-?[EÉeé]colog	Agroecology, agroecological
[Cc]onservation [Aa]griculture [Aa]gricultur[ae] de [Cc]onserva(tion ción)	Conservation agriculture
([Oo]rgan [Bb]iol[oó]g)i(co? que) ((([Oo]rgan [Bb]iol[oó]g)i(co? que))(!pollutants growth basis waste compounds carbon)	Organic (and cognates)
[Aa]groforest	Agroforestry
[Ss][iy]lvo-?[Pp]ast	Silvo-pasture, silvo-pastoral (in various spellings)
[Dd]iversifi(ée ca ct i oó n)	Diversification, diversified
[Aa]gro-?[Bb]iodivers	Agro-biodiversity, biodiversity (and cognates)
[Ss]ustainable [Aa]gricultur [Aa]gricultur[ae] ([Dd]urable [Ss][ou]sten(ible table))	Sustainable agriculture (and cognates)
[Ss]ustainable [Ii]ntensification	Sustainable intensification
[^A-Za-z][Tt]ill [Tt]ravail [Dd]u [Ss]ol [Ll]abranza [Ss]emis [Dd]irect	No-till, till
[Pp]ermacultur	Permaculture
[Rr]egenerati	Regenerative

The second iteration involved using the High-Level Panel of Experts on Food Security and Nutrition (HLPE) ‘multi-dimensional continuum’ of approaches to sustainable food systems¹⁹ as a basis for decision-making. A methodological tool based on the HLPE principles and continuum, and inspired by Biovision’s Agroecology Criteria Tool (ACT)²⁰ is currently being developed and tested.

For a total of 43 projects, lacking information made classification difficult – 13 projects (totalling USD 37.7 million) were therefore excluded from the calculations of overall flows. Using the most generous approach to categorisation possible, the remaining 30 were added to the higher Level of the two between which they fell.

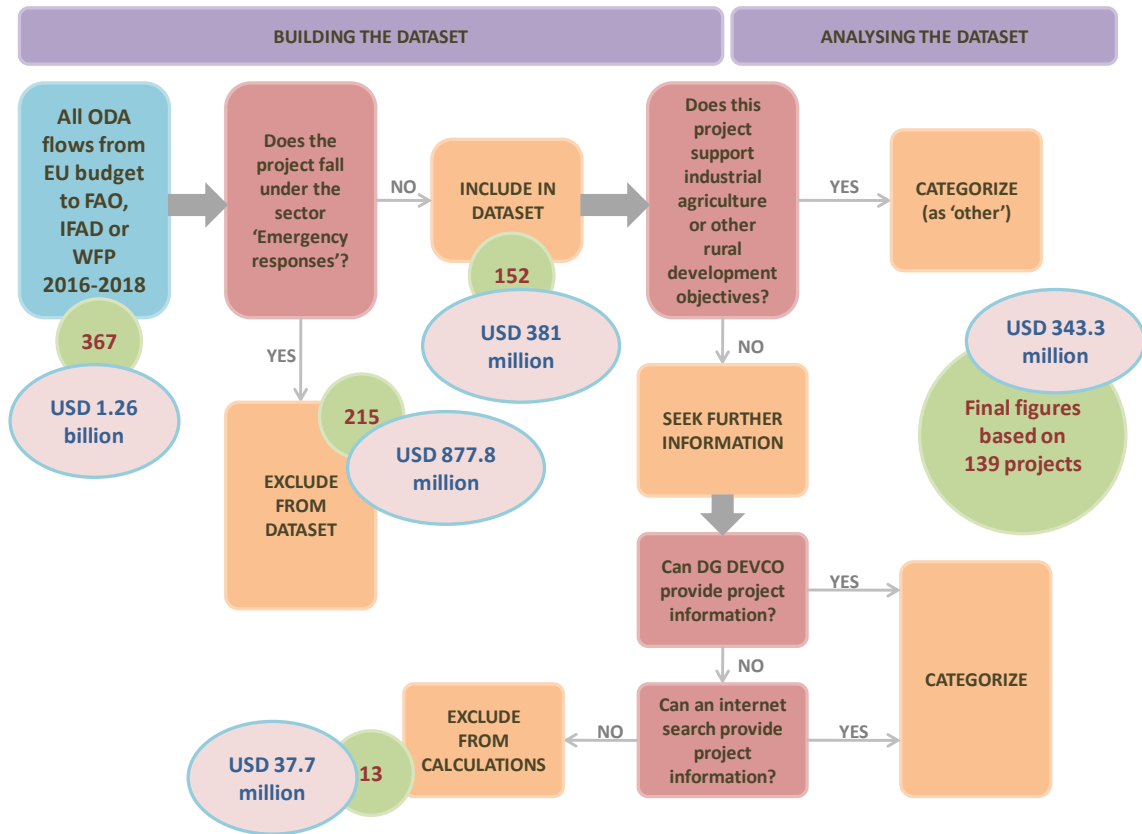
The various methodological steps and guiding questions in building the dataset for this study are visualised in Figure 1 below. Green circles represent the number of projects included or excluded at the various stages of the process, with corresponding disbursements in USD given in the connected ovals.

¹⁸ .txt files of each project document’s keyword search results are also available.

¹⁹ HLPE (2019) op.cit. p.60f.

²⁰ <https://www.agroecology-pool.org/methodology/>

Figure 1: Methodology flow chart



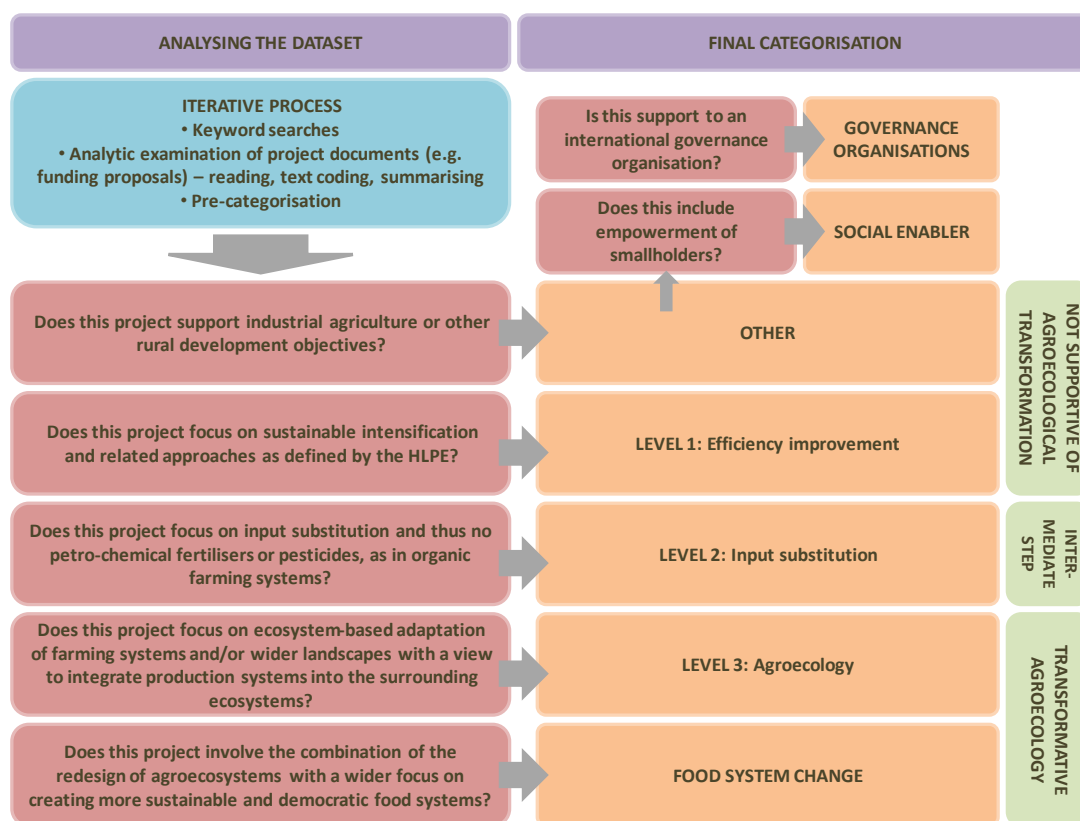
c. Categorisation of projects

Projects were categorised according to Gliessman’s five levels (see Box 1 above and Table 2 below). In this study’s final categorisation, Levels 4 and 5 were merged into a single category on ‘food system change’ – primarily because no projects at all were identified at these levels.

Moreover, two further categories were necessary in order to represent the diversity of ‘other’ projects which did not reach Level 1. Some projects which supported industrial or conventional agriculture or other rural development objectives also included a focus on the empowerment of smallholders, such as through elements of participation (e.g. Farmer Field Schools) or capacity building (e.g. business skills for community-based organisations), or policy work on secure land tenure. These projects were separated from the rest of ‘other’ projects and categorised as ‘social enablers’²¹.

Another, small sub-set of ‘other’ projects consisted of direct support to organisations working at the international level to support the governance of food and agriculture, including research for food and agriculture. Specifically, this includes money to the Global Forum on Agricultural Research and Innovation (GFAR), the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA), and the Committee on Food Security (CFS). As these organisations may or may not support transformative agroecology through their efforts and policies, they have been categorised as ‘governance organisations’ in order to highlight them as distinct and located outside of the five Levels. Figure 2 below illustrates the questions guiding the categorisation adopted by this study. The following Table 2 defines in more details the criteria for categorisation. Project examples to illustrate the different categories are found in Annex 1.

Figure 2 - Analytic flowchart and guiding questions (EU data)



²¹ The term ‘social enabler’ is adopted from the Biovision-IPES Food ‘Money Flows’ report (op.cit.) where it indicates projects creating more enabling conditions for agroecology, through policy work or social empowerment, but without any actions in the environmental or agricultural dimension.

d. Criteria for categorisation

Table 2 - Criteria for categorisation (EU data)

Category	Criteria for categorisation
OTHER	<ul style="list-style-type: none"> • Industrial/conventional agriculture, including wider agricultural sector support, e.g. through improved information systems. • Other rural development objectives, e.g. agricultural infrastructure incl. for irrigation and access roads; food fortification; maximizing impact of remittances.
GOVERNANCE ORGANISATIONS	<ul style="list-style-type: none"> • Money to support the workings of organisations which support the governance of food and agriculture, including research for food and agriculture, globally. Specifically, this includes money to the Global Forum on Agricultural Research and Innovation GFAR, the International Treaty on Plant Genetic Resources for Food and Agriculture ITPGRFA, and the Committee on Food Security CFS.
SOCIAL ENABLER	<ul style="list-style-type: none"> • Industrial/conventional agriculture, BUT with elements of participation (e.g. Farmer Field Schools FFS), strengthening of Community-based Organisations (e.g. financial capacity building of Farmers' Organisations), or a focus on land tenure / access to land, or policy assistance for an enabling environment for smallholder-focused agriculture.
LEVEL 1: Efficiency improvements	<ul style="list-style-type: none"> • Efficiency-oriented approaches. • Projects in this category involve a focus on sustainable intensification and related approaches as defined by the HLPE. This includes projects implementing precision agriculture, conservation agriculture, climate-smart agriculture or nutrition sensitive agriculture. • Climate-smart projects with a simplistic understanding of agroforestry (e.g. single species plantations; trees along field boundaries) without any additional elements are also included here. • Nutrition sensitive projects implementing kitchen gardens for household food security without any additional elements are also included here.
LEVEL 2: Input substitution	<ul style="list-style-type: none"> • Input-substitution as in Organic agriculture. • Projects in this category should ideally involve input substitution and thus no petrochemical fertilisers or pesticides, as in organic farming systems. However, as this could not always be determined, the intensity of focus on creating significant change in the sustainability of farming systems (as opposed to productivity) was taken into account. • Multi-pronged approaches under the umbrella of climate-smart agriculture or conservation agriculture are also included here (e.g. a project that includes planting trees, as well as kitchen gardens for household food security with a focus on compost and manure addition for soil fertility).
LEVEL 3: Agroecology	<ul style="list-style-type: none"> • Redesign of the agroecosystem as a whole and focus on making use of and enhancing ecological processes. • Projects in this category involve an ecosystem-based adaptation of farming systems and/or wider landscapes with a view to integrate production systems into the surrounding ecosystems. • Systemic and/or landscape approaches; Ecosystem-based adaptation; Biodiversity-enhancing initiatives. • If the context of the project is a traditional (peasant or indigenous) system, then the project should be focusing on enhancing (rather than re-designing) the agroecosystem according to ecological principles and processes.
FOOD SYSTEM CHANGE (Levels 4 & 5)	<ul style="list-style-type: none"> • Projects in this category would involve the combination of the redesign of agroecosystems (Level 3) with a wider focus on creating more sustainable and democratic food systems, for example through enhancing the connectivity of producers and consumers, stimulating local markets, diversifying production and emphasising dignity of work. • Local food system change; Focus on local market/farmers' markets; Local processing; Shortening of the food chain; Global policy changes enabling such shortening; Food justice • This category corresponds to Gliessman's Levels 4 and 5.

e. Caveats and data limitations

As is the case with all scientific studies, the theoretical and methodological framework adopted foregrounds some information, while it marginalises other. The following caveats are hence fundamental to understanding the scope and import of this study.

1. Focus on Rome-based agencies

Importantly, it needs to be highlighted that the EU dataset we examined represents only a fraction of total EU ODA. For example, EU bilateral aid in the agriculture, forestry and fisheries sectors between 2016 and 2018 amounts to 3.7 billion USD (roughly ten times the budget examined in this study) – and there are other rural development sectors that may include agroecological projects.

The present analysis must hence be understood for what it is: a study of finance flows from the EU via FAO, IFAD and WFP, the agencies of the United Nations with a food- and agriculture-related mandate. The projects examined do hence reflect the priorities of the partnerships between these Rome-based, multilateral agencies and the EU: they do not reflect the priorities of either of these institutions in isolation. Our results should not be taken to be easily extrapolated to the entire EU approach and funding to agroecology.

However, while the Rome-based agencies are actors among a range of others involved in implementing EU-funded programmes in food and nutrition security and sustainable agriculture, it needs to be underlined that FAO, IFAD and WFP are all partners on the Scaling-Up Agroecology Initiative launched in April 2018. All three express a clear commitment to agroecology. The present analysis of EU funding flows via these agencies hence represents an important baseline study, upon which future work can build: only with such a baseline can changes be monitored.

2. Focus on EU budget

Funding from the European Development Fund was excluded from our dataset, primarily for methodological considerations of scope and feasibility: we needed to build a coherent dataset that was nonetheless manageable in the timeframe available for this study. Our choice reflects the fact that funding directly from the EU budget comprises 70% of European ODA – with funding from the EDF making up the remaining 30%. The EDF also has a more limited geographical focus on African, Caribbean and Pacific countries, rather than the global orientation of the EU budget. Nonetheless, by excluding flows from the EDF, we have of course limited our dataset, and our findings should thus not be taken as representative of all European flows to the Rome-based agencies. Had we included the EDF flows, financial support for agroecology may have turned out to be greater or smaller compared with our present findings.

3. Focus on projects that do not qualify as Emergency Responses

All flows from the EU budget to the Rome-based agencies that were classified (by the EU institutions themselves) as falling under the sector ‘Emergency Responses’ were excluded from our dataset. As ‘Emergency responses’ make up a large proportion of EU flows, we thereby excluded about 43% of the total EU budget flows to FAO, IFAD and WFP from our analysis and calculations. Given that ‘Emergency responses’ are primarily projects of direct food aid, cash and voucher hand-outs, and aircraft actions to disaster-struck areas, these projects are likely to be of little relevance to agroecology. If these projects had been included, our results would have very likely shown a significant increase in support for ‘other rural development objectives’, and thus radically lowered the percentage of total investments in transformative agroecology.

4. Focus on the years 2016, 2017 and 2018

The present study focuses on the latest three years for which data is available on the OECD-CRS database: 2016, 2017 and 2018. While this is the latest data, it does include projects for which funding has been approved prior to 2016 – sometimes several years prior. This means that projects analysed are a reflection of a mixture of older and newer priorities. Exchanges with DG DEVCO have revealed that new waves of projects for the years 2019 and 2020 are likely to provide more space for

agroecology: while the agenda of poverty alleviation, growth and jobs remains as important as previously, there is now an increased attention to environmental and social dimensions, underlined by the Green Deal as overarching EU strategy, and the Farm to Fork and Biodiversity strategies' explicit references to agroecology (see also Box 3).

Box 3: Agroecology in the European Green Deal

The inclusion of agroecology in the European Green Deal, more specifically in its Farm to Fork and Biodiversity strategies, promises to create openings for fundamentally redesigning food and farming systems, both within Europe as well as beyond, through European finance and technical support. While these promises are yet to be realised, there is concrete evidence that agroecology has made it into guidelines and funding calls under at least two international development initiatives:

Global Climate Change Alliance+/Environment/Sustainable Agriculture Joint Initiative on Sustainable Landscape Management Approaches, with a total budget of EUR 85 – 95 million, has committed to fund projects of up to EUR 6 million with the triple objective of food security, natural ecosystem management and climate change mitigation/adaptation. Contracts are to be signed before the end of 2020. The Joint Initiative's call for concept notes explicitly mentions agroecology as part of a non-exhaustive list of eligible field activities.

GCCA+ and Development-Smart Innovation through Research in Agriculture (DESIRA) Joint Initiative on climate change mitigation and adaptation, sustainable agriculture for key food systems and sustainable value chains, with a total budget of EUR 65 million, is making decisions on proposals in October 2020. Agroecology is referred to under all three priority areas of the Joint Initiative: Climate-relevant practices; Integrated approaches combining the farm level, territorial level and value chain level; Sustainable food systems and value chains.

This is an indication that future analyses of EU budget flows may find increased investments in agroecological approaches.

5. Focus on transformative agroecology

The focus on transformative agroecology that this study adopts means that meeting the criteria to qualify as an agroecological project requires a strong commitment to a paradigmatic shift in food systems, which may be perceived as too demanding a requirement for development projects which may need to fulfil a number of different, even contradictory aims simultaneously – such as productivity gains as well as environmental sustainability advances. The study adopts this focus due to a perception of the urgency and scale of required change that is shared by many actors. Moreover, the study is based on the understanding that transformative agroecological approaches are feasible and practicable. Other conceptualisations of agroecology, other understandings of the necessary changes, and other views on the feasibility of different approaches to sustainable food systems are of course possible.

6. Qualitative assessment and interpretation of project documents

The analysis presented here is based on a qualitative assessment of a large number of project documents which differ in quality, detail and language. The final categorisation of projects depends to an important degree on a textual interpretation of goals, aims, objectives, and planned activities of individual projects. Alternative interpretations are always possible, and it is thus important to note that a different categorisation of projects than the one presented here is conceivable. As a general rule, this study errs on the generous side and has consistently categorised borderline cases at the higher Gliessman level.

It needs to be underlined that the present study examines mostly project proposals that have been submitted to the donor, or project presentations to the wider public. It is not based on monitoring and

evaluation reports, nor on an examination of which project activities have actually been carried out, and in which ways, as would have been possible through ethnographic or interview studies. As such, the present analysis leaves aside the question of the actual impact ‘on the ground’ of the investments made. In their implementation, projects may realise more or less agroecological changes than they profess in their funding proposals. Future research would usefully involve ethnographic components and work with project beneficiaries to investigate actual impact in the environmental, social, economic and political dimensions.

7. Focus on total disbursements rather than by component

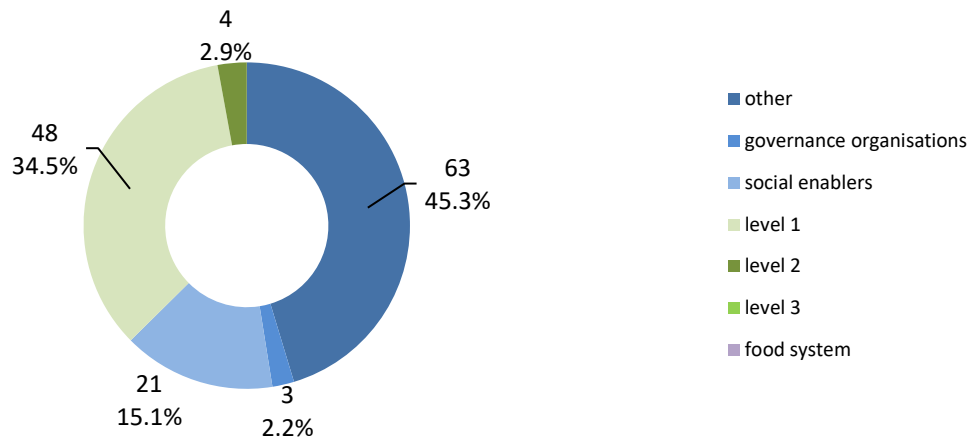
The study focuses on total disbursements for each project between 2016 and 2018, without consideration of the differing costs of project sub-components. That is, the study ignores the question of whether the total disbursement to an individual project or only a fraction supports agroecology. This leads to the overestimation of total flows in support of agroecology: actual flows are likely to be smaller.

1.2. European Union monetary flows via the United Nations’ Rome-based agencies

All figures in this section are based on an analysis of 139 projects and associated investments totalling USD 343.3 million. As described in section 1.1., our initial dataset included 152 projects, but insufficient information prevented appropriate categorisation of 13 of these, with associated investments of USD 37.3 million over the three years 2016-2018. This dataset of 152 projects comprises all the projects for which disbursements were made from the EU budget to the United Nations’ Rome-based agencies, FAO, IFAD, WFP, between 2016 and 2018, except projects falling under the sector ‘Emergency responses’.

As Figure 3 shows, none of the projects funded by the EU and channelled via the Rome-based agencies qualifies as ‘transformative agroecology’ – Level 3 or food system change. Only four of 139 projects (2.9%) have been categorised as Level 2 approaches, referring to projects with a focus on substituting environmentally detrimental external inputs and practices with alternative, more ecological ones. While organic farming is the model case for this Level, it needs to be pointed out that none of the four projects in this case are explicitly organic initiatives. However, they involve the integration of practices such as composting or biological pest control and are distinguished by a strong focus on enhancing the environmental sustainability of farming systems through a multi-pronged approach. 48 projects, more than a third of all projects, espouse an efficiency-oriented approach, focusing on sustainable intensification of production systems, including climate-smart and conservation agriculture. 21 projects support conventional agricultural practices, but focus nonetheless on the empowerment of community-based organisations and smallholders, through participation and capacity building, or through policy work focusing on land tenure: these projects have been categorised as ‘social enablers’ because of their focus on improving the social conditions of vulnerable communities. This focus on smallholder empowerment is a concern within the social dimension of agroecology, which is why it is relevant to bracket these ‘social enabler’ projects from other projects supportive of conventional agriculture. Three further projects were bracketed under the special category ‘governance organisations’: they consist of general support to the administrative budgets of the International Treaty on Plant Genetic Resources for Food and Agriculture (ITPGRFA), the Committee on World Food Security and Nutrition (CFS), and the Global Forum on Agricultural Research (GFAR). The remaining 63 projects promote conventional agricultural practices, as well as support the wider agricultural sector in beneficiary countries, through the establishment or improvement of information and early warning systems, but also infrastructural works, such as access roads or irrigation infrastructures including dams.

Figure 3 - Number of projects per category (EU to FAO, IFAD, WFP)



Of the total USD 343.3 million of disbursements analysed, only 2.7% (USD 9.16 million) can hence be said to flow towards Level 2, the intermediate step between conventional agriculture and transformative agroecology. None of the funds supported transformative agroecological development. Almost one third of the investments between 2016 and 2018, that is, 31.1% or USD 106.81 million, flowed to efficiency-oriented, sustainable intensification approaches. And almost half of the investments made were in support of an agricultural sector geared towards conventional and industrial agriculture. ‘Social enabler’ projects received almost 15% of total investments, or USD 50.53 million, with the remaining 2.8% (USD 9.63 million) supporting the international governance organisations mentioned above. See Figure 4 for a visualisation of the investments per category. Table 3 below lists precise investments made to each category per year.

Figure 4 - Total investments per category in USD million (EU to FAO, IFAD, WFP)

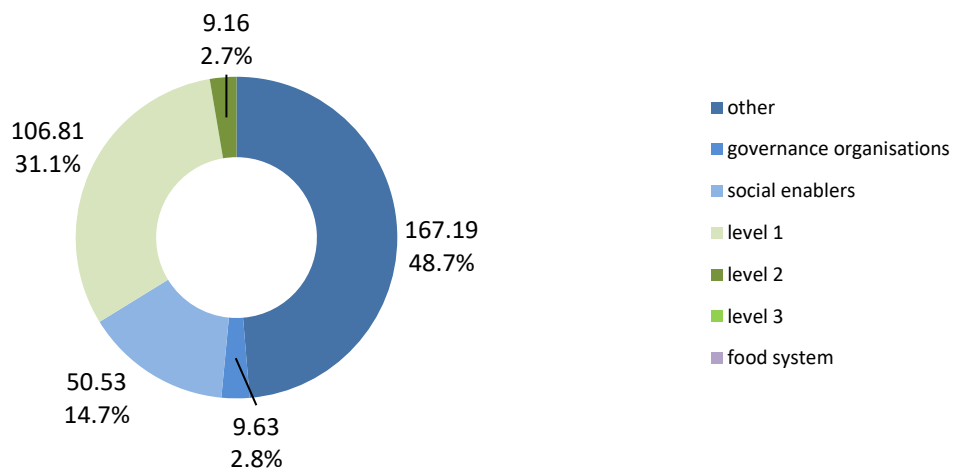
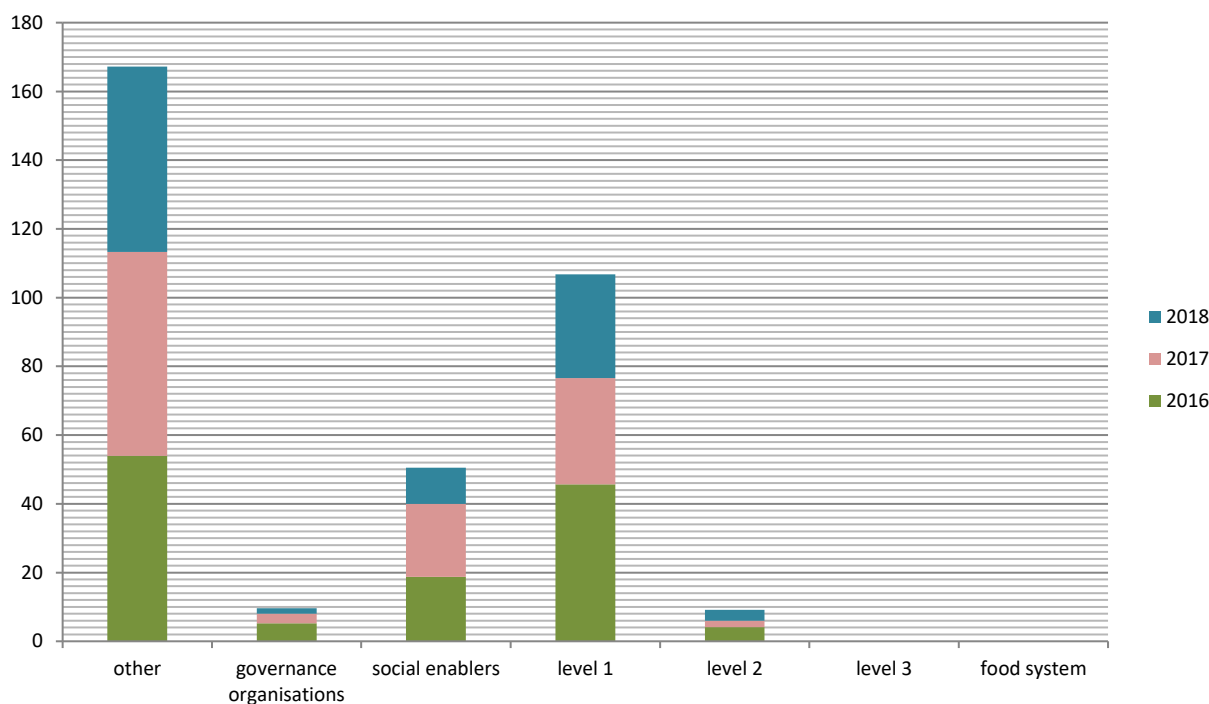


Table 3 - Total investments in USD (EU to FAO, IFAD, WFP)

Category	2016	2017	2018	Total
Other	53,974,670	59,267,860	53,952,060	167,194,600
Governance organisations	5,251,277	2,803,077	1,577,452	9,631,807
Social enablers	18,751,220	21,264,740	10,509,420	50,525,370
Level 1	45,628,120	30,965,670	30,214,690	106,808,500
Level 2	4,119,966	1,821,148	3,221,853	9,162,966
Level 3	0	0	0	0
Food system change	0	0	0	0
Totals	127,725,200	116,122,500	99,475,470	343,323,200

Total investments have decreased per year, reflecting the overall trend of declining official development assistance across the OECD donor countries²². Figure 5 illustrates the annual investments per category.

Figure 5 - Total investments in USD million per year, per category (EU to FAO, IFAD, WFP)



²² See, for example, official communication from the OECD: <https://www.oecd.org/newsroom/development-aid-drops-in-2018-especially-to-neediest-countries.htm>

Examining total EU investments channelled via each partner organisation shows that all projects at Level 2 are implemented by the FAO. Figure 6 shows the total channelled via each organisation to the different categories of projects.

Figure 6 - Total investments 2016-2018, per organisation, per category, in USD million (EU to FAO, IFAD, WFP)

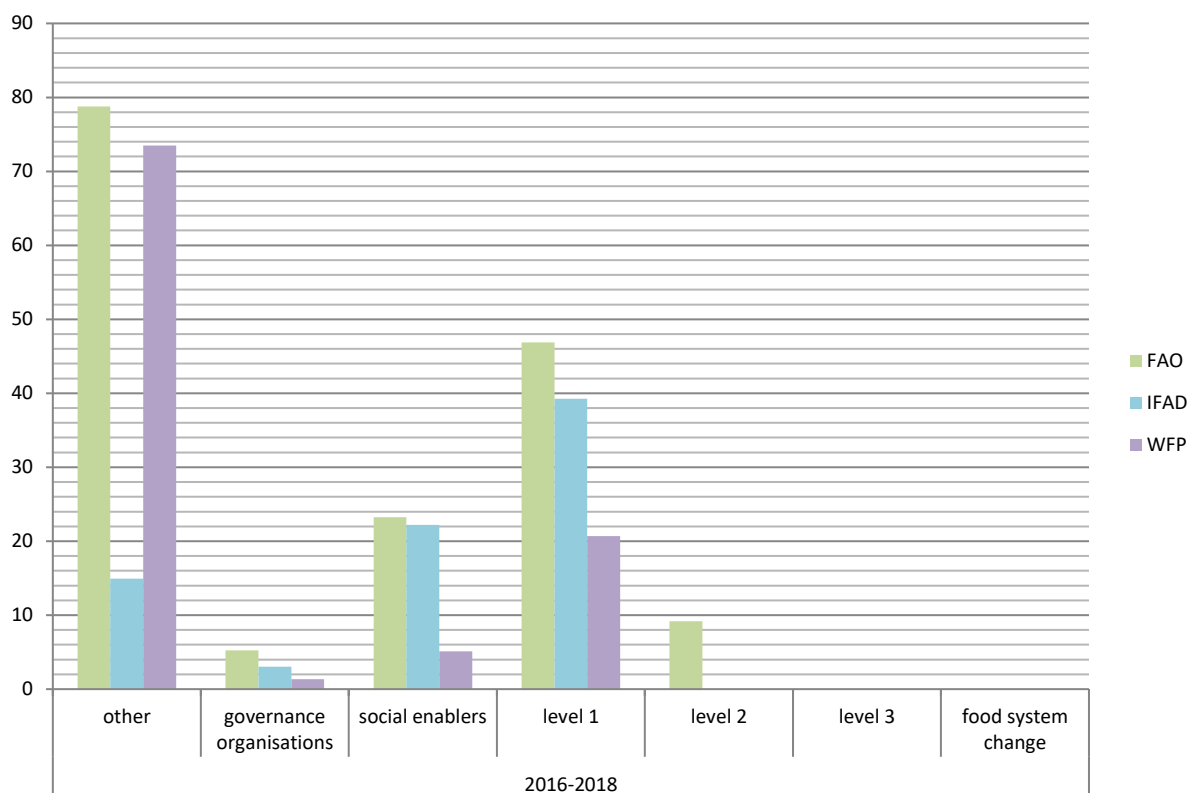


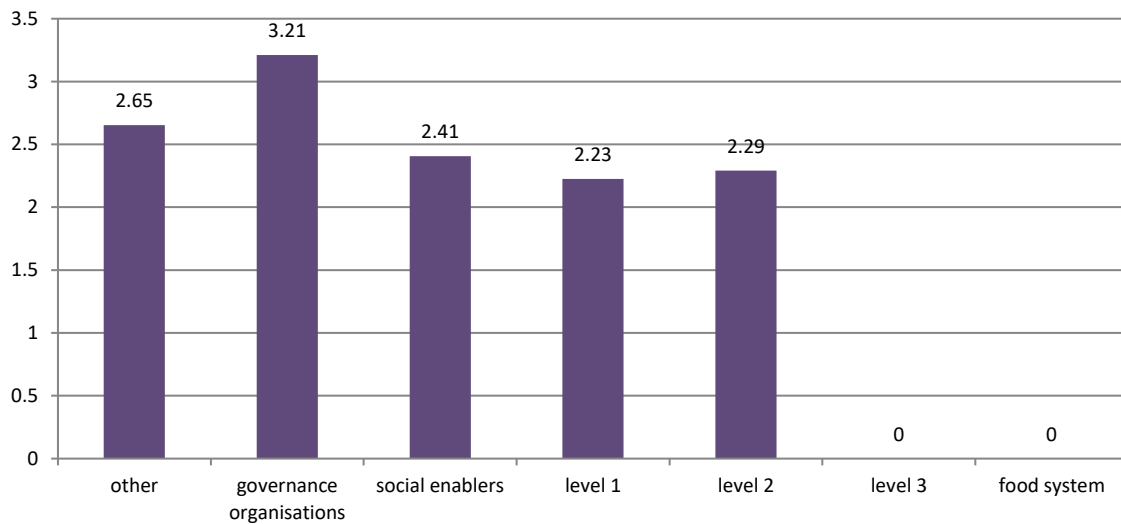
Table 4 below lists precise investments made to each category according to the partner organisation which channelled the funds.

Table 4 - Total investments per category, per organisation, in USD (EU to FAO, IFAD, WFP)

Category	FAO	IFAD	WFP
Other	78,752,180	14,932,210	73,510,200
Governance orgs	5,251,277	3,036,506	1,344,024
Social enablers	23,239,360	22,189,930	5,096,082
Level 1	46,881,730	39,244,900	20,681,850
Level 2	9,162,966	0	0
Level 3	0	0	0
Food system change	0	0	0
Total	163,287,500	79,403,550	100,632,200

While average spending per project per category lies around USD 2.5 million for most categories (see Figure 7), a slightly higher amount, USD 3.2 million, is on average disbursed to international governance organisations.

Figure 7 - Average investment per project, per category in USD million (EU to FAO, IFAD, WFP)



It is interesting, and laudable, that examining average investments in different project categories by organisation reveals that FAO projects receive, on average, higher investments at Level 2 than Level 1 (see Figure 8). IFAD's high average investments in Level 1 projects are due to a small number of highly doted CGIAR projects which are funnelled through IFAD, and may not be representative of other years than the ones examined here.

Figure 8 - Average investment per project, per category and organisation, in USD million (EU to FAO, IFAD, WFP)

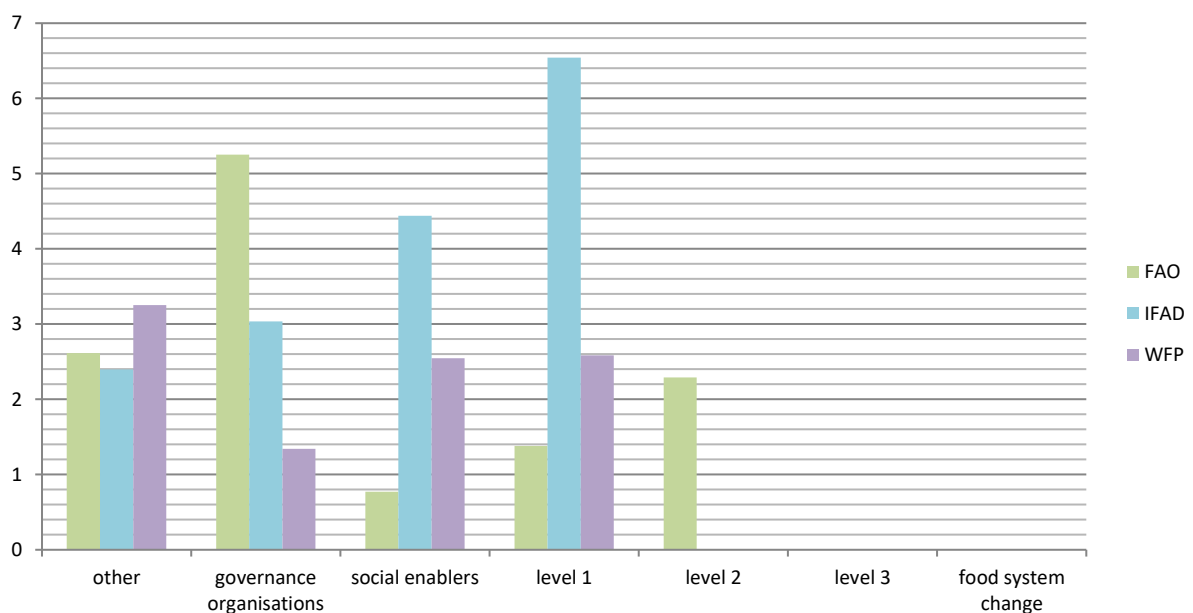
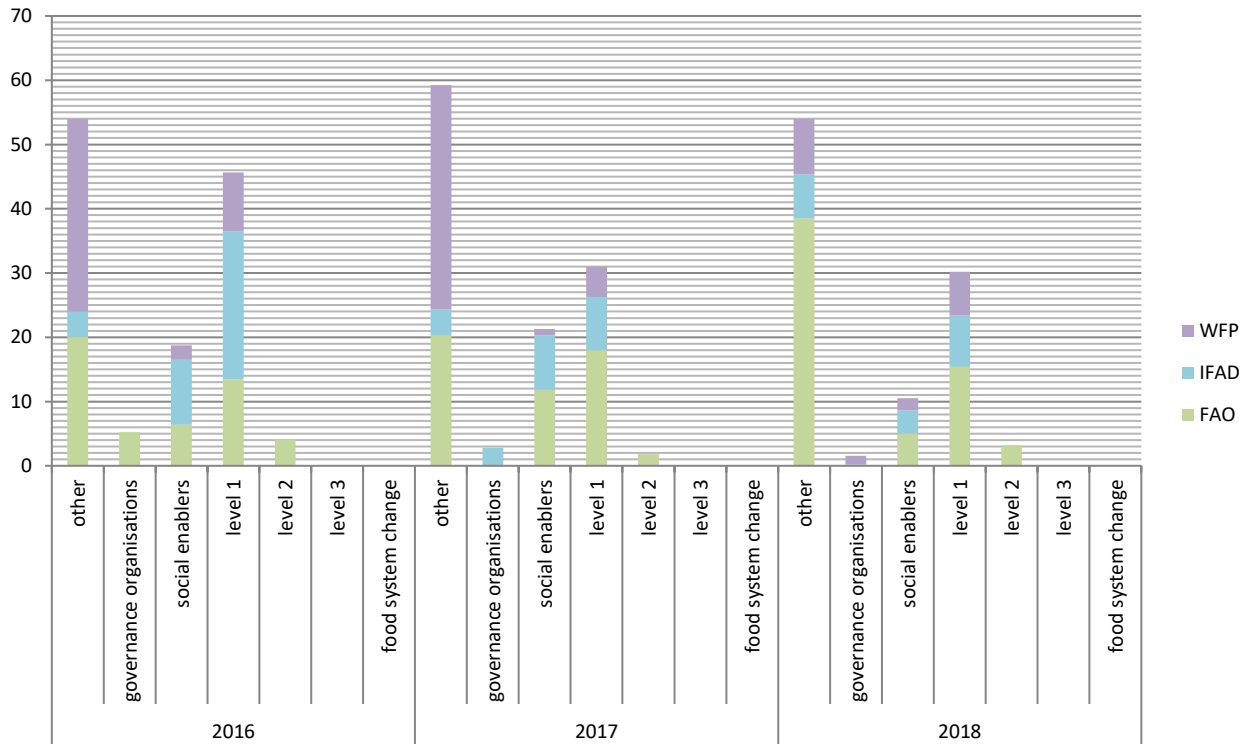


Figure 9 shows variance in total investments over the years, but this should not be taken to indicate a trend, such as that, for example, investments in Level 1 projects are declining over time. The period of time analysed here (3 years) is too short to draw such conclusions without further data.

Figure 9 - Total investments per year, per organisation, per category, in USD million (EU to FAO, IFAD, WFP)



Further data and figures detailing total and average investments for each partner organisation, per project category, per year are presented in the next section.

1.3. EU monetary flows to individual Rome-based partner agencies

This section presents, in figures and tables and with minimal discussion, the results of the analysis of funding flows from the EU budget toward agroecology associated with each of the partner organisations. Section a) focuses on flows from the EU via FAO; section b) focuses on IFAD; and section c) concerns financial flows via WFP.

a. FAO flows only

Figures 10 and 11 visualise respectively: number of projects, and investments in USD million per project category as a proportion of the whole. It may need reminding that FAO is the only Rome-based agency with projects at Level 2. It should be noted that the category 'other' includes 34.5 projects – one project is represented here as a 'half project' (0.5) as funding to it was split between FAO and IFAD.

Figure 10 - Number of projects (EU to FAO)

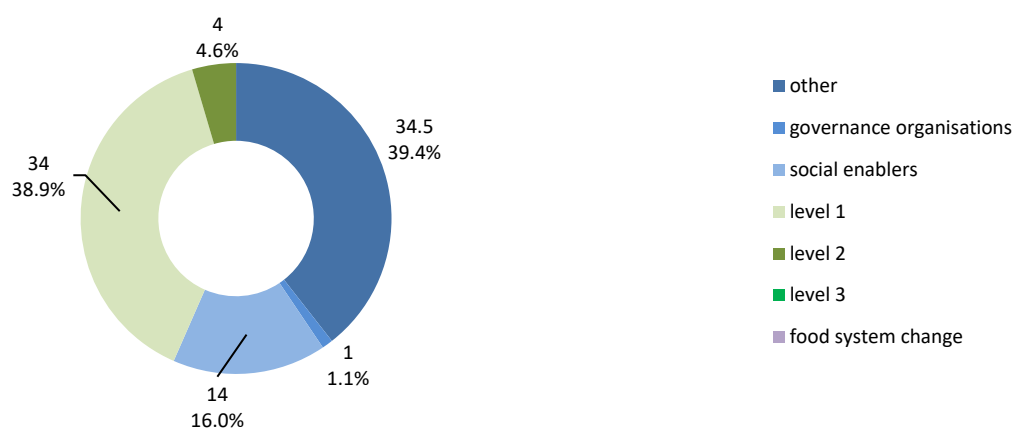


Figure 11 - Total investments, in USD million (EU to FAO)

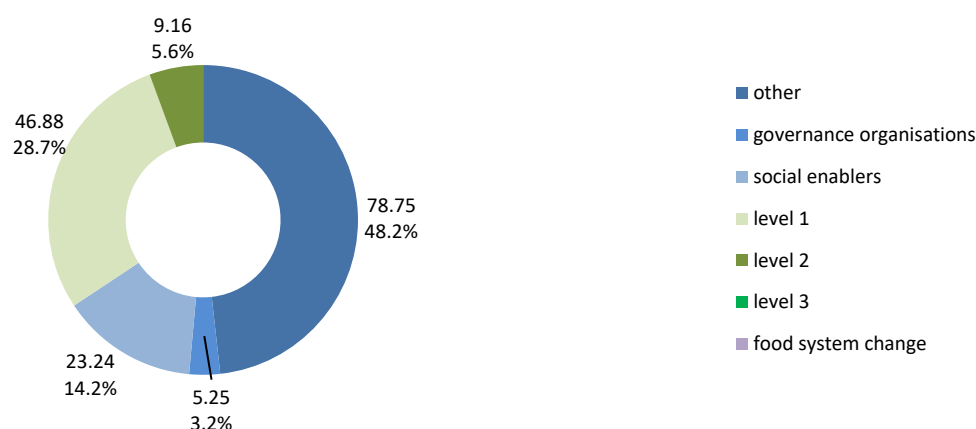
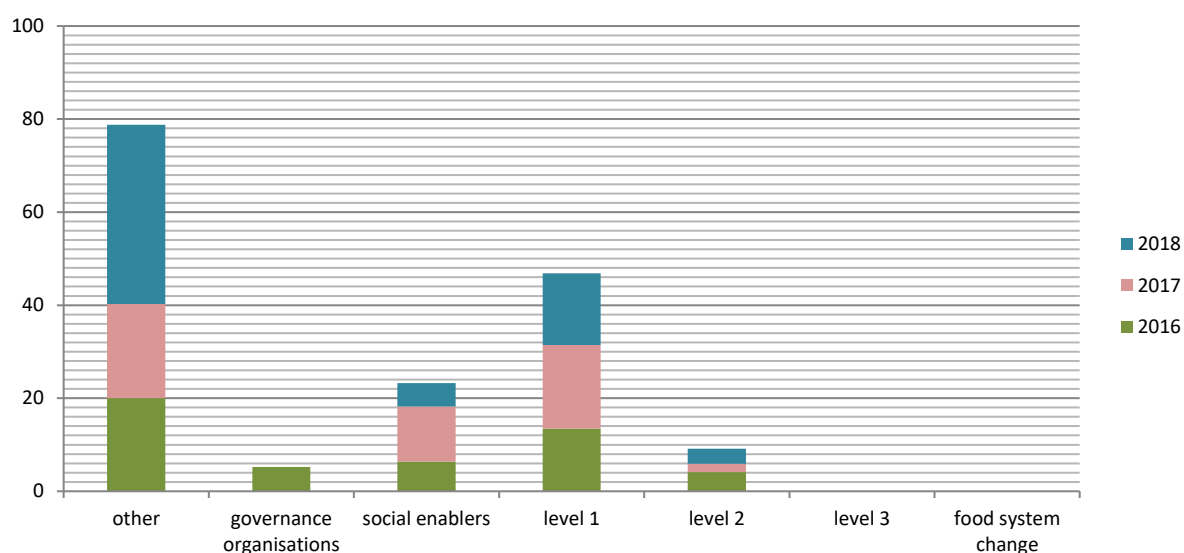


Table 5 lists precise investments per category, per year, showing that disbursements were highest in 2018, despite the overall decline in spending over time which was underlined above.

Table 5 - Total investments per project category per year, in USD (EU to FAO)

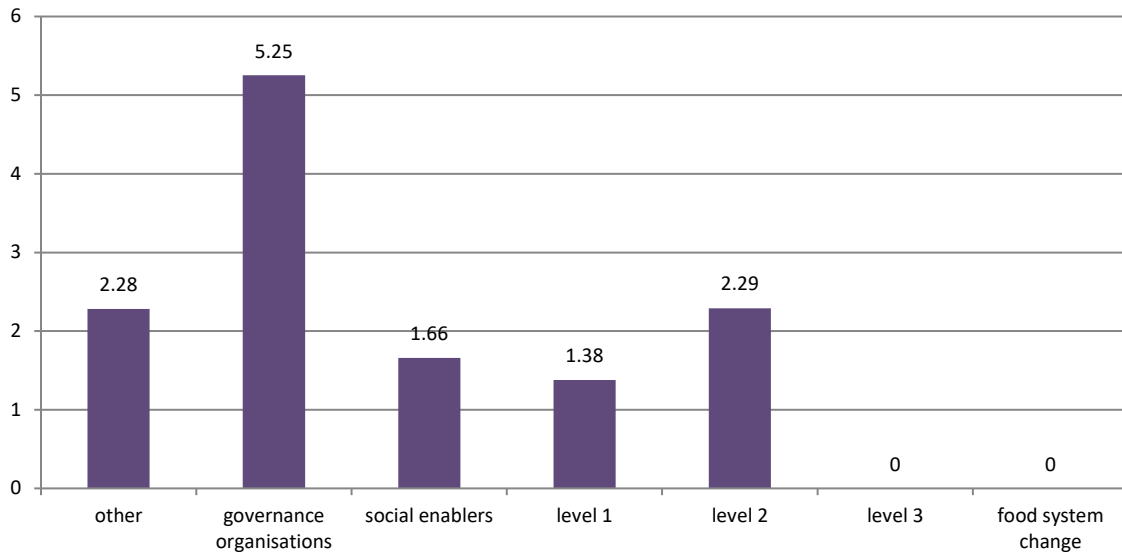
Category	2016	2017	2018	Total investment 2016-18
Other	20,014,100	20,237,550	38,500,530	78,752,180
Governance orgs	5,251,277	0	0	5,251,277
Social enablers	6,387,203	11,807,110	5,045,044	23,239,360
Level 1	13,466,020	18,000,080	15,415,630	46,881,730
Level 2	4,119,966	1,821,148	3,221,853	9,162,966
Level 3	0	0	0	0
Food system change	0	0	0	0
Total	49,238,570	51,865,890	62,183,060	163,287,500

Figure 12 - Total investments per project category, per year, in USD million (EU to FAO)



Average investments per project channelled via FAO are higher for projects under Level 2 than for projects under Level 1.

Figure 13 - Average investments per project (EU to FAO)

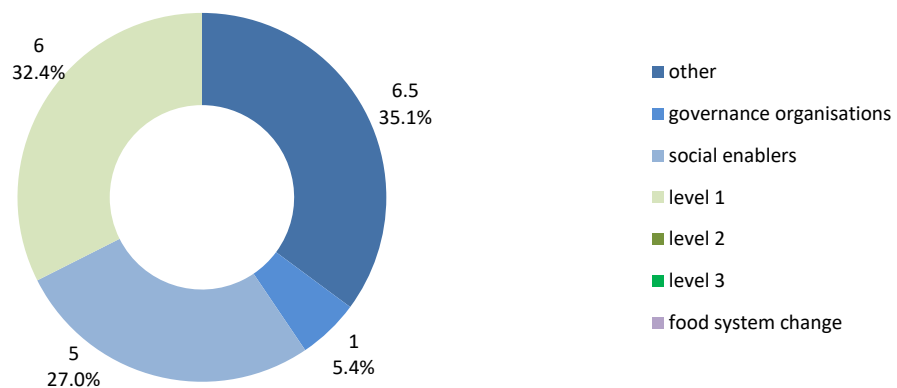


b. IFAD flows only

Figures 14 and 15 visualise respectively: number of projects, and investments in USD million per project category as a proportion of the whole. Investments in projects at Level 1 total USD 39.2 million and thereby make up almost 50% of all EU-IFAD investments. It bears mentioning that three of these six projects, totalling USD 38.4 million, represent support to CGIAR programmes. A range of projects and CGIAR centres are funded through these programmes, but a more detailed analysis of these funds was beyond the scope of the present study. Our review suggests that not all of this money actually contributes to Level 1 – several CGIAR programmes that were funded through the EU-IFAD partnership between 2016 and 2018 would be more appropriately categorised as ‘other’. This also reflects the analysis of CGIAR programmes by Biovision and IPES-Food in their Money Flows report²³.

The ‘half project’ (0.5) of the 6.5 projects under the category ‘other’ corresponds to a project for which funding was split between FAO and IFAD.

Figure 14 - Number of projects (EU to IFAD)



²³ Biovision & IPES-Food (2020) op.cit.

Figure 15 - Total investments per project category, in USD million (EU to IFAD)

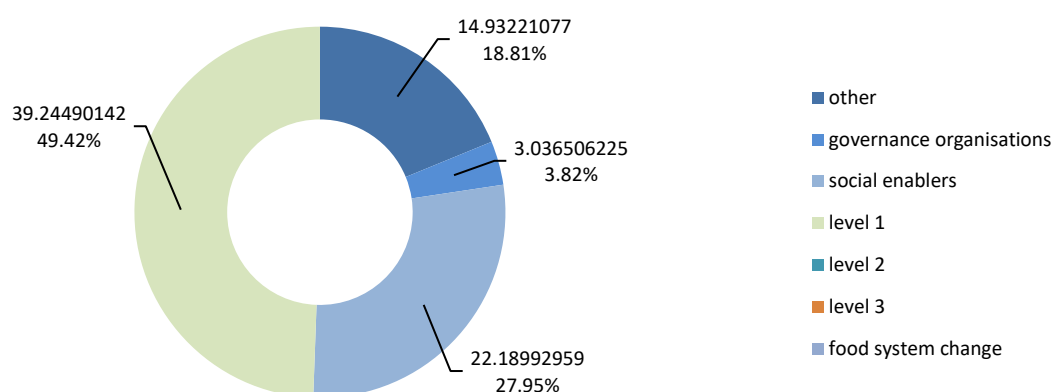
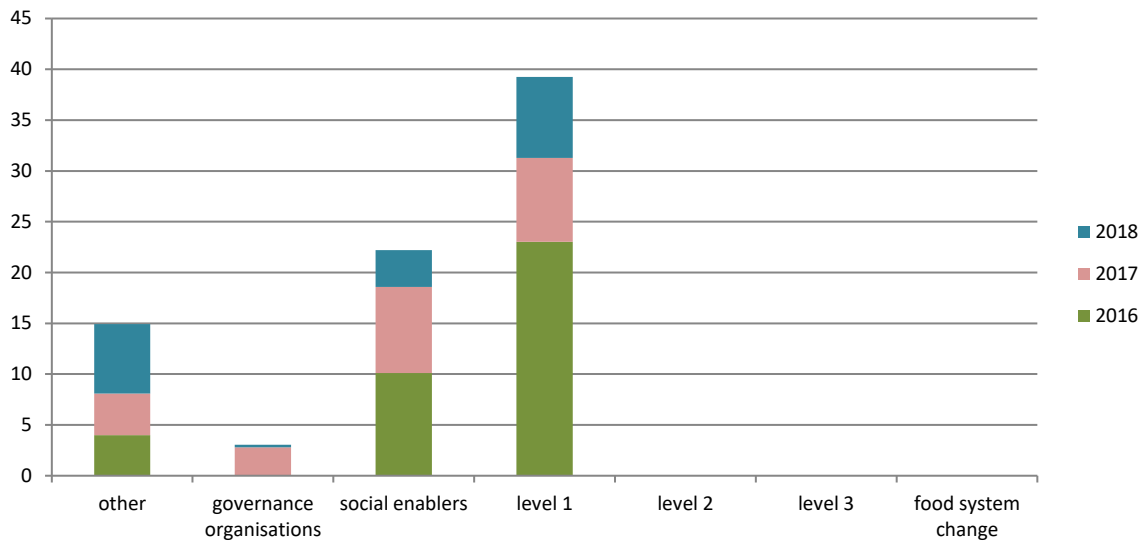


Table 6 lists precise investments per category, per year, showing that disbursements were highest in 2016 and then declined progressively, echoing the overall decline in spending which was underlined above.

Table 6 - Total investments per year, in USD (EU to IFAD)

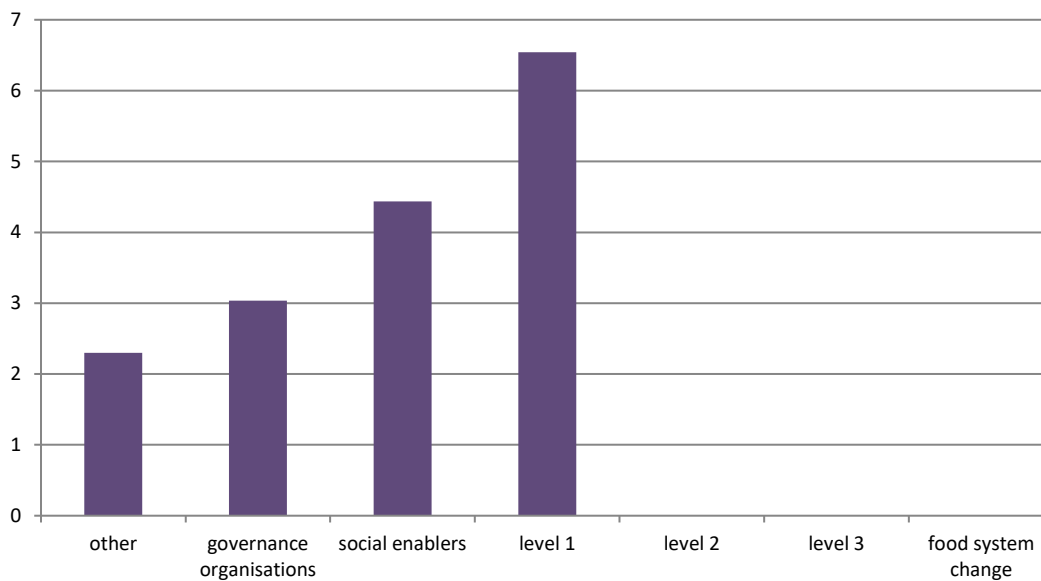
Category	2016	2017	2018	total investment 2016-18
Other	3,995,807	4,098,377	6,838,027	14,932,210
Governance orgs	0	2,803,077	233,429	3,036,506
Social enablers	10,106,310	8,477,973	3,605,642	22,189,930
Level 1	23,014,100	8,276,158	7,954,643	39,244,900
Level 2	0	0	0	0
Level 3	0	0	0	0
Food system change	0	0	0	0
Total	37,116,220	23,655,590	18,631,740	79,403,550

Figure 16- Total investments per year, in USD million (EU to IFAD)



Average investments per project channelled via IFAD are highest for projects under Level 1 (see Figure 17). This is again due to the fact that CGIAR projects fall under this category and have received large investments.

Figure 17 - Average investment per project, in USD million (EU to IFAD)



c. WFP flows only

Figures 18 and 19 visualise respectively: number of projects, and investments in USD million per project category as a proportion of the whole. WFP receives by far the highest amount of ODA from the EU. Of the total USD 1.26 billion which have flowed from the EU budget to the Rome-based agencies between 2016 and 2018, USD 940 million have flowed to the WFP, compared with USD 242 million and USD 79 million flowing to the FAO and IFAD respectively. The majority of these flows to the WFP (a total of USD 836 million) fall under ‘Emergency response’ and have hence been excluded from this analysis.

Figure 18 - Number of projects (EU to WFP)

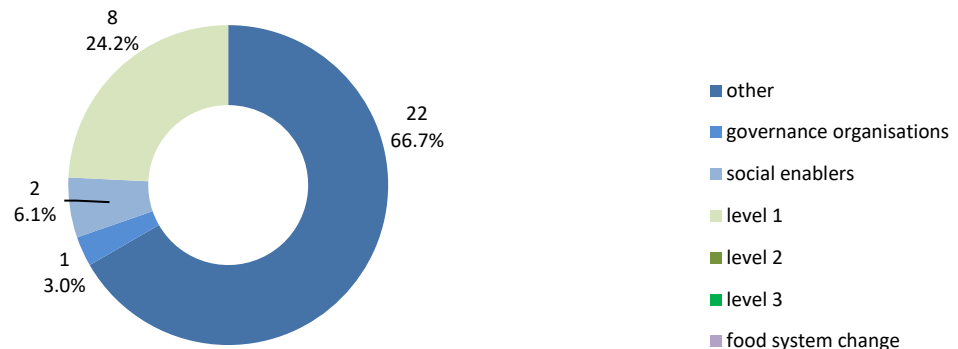


Figure 19 - Total investments per project category, in USD million (EU to WFP)

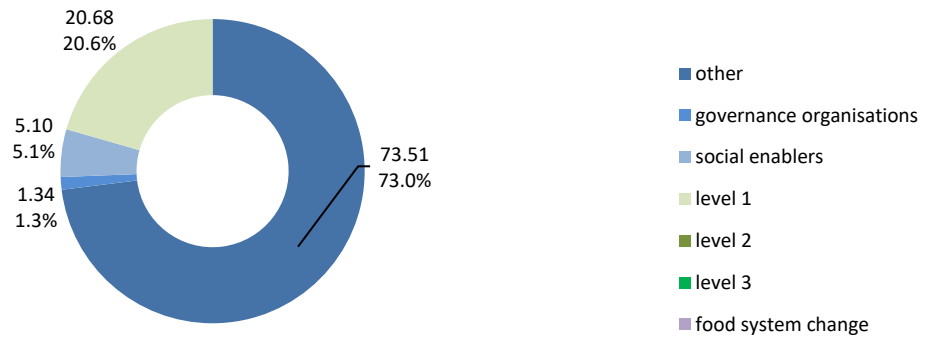
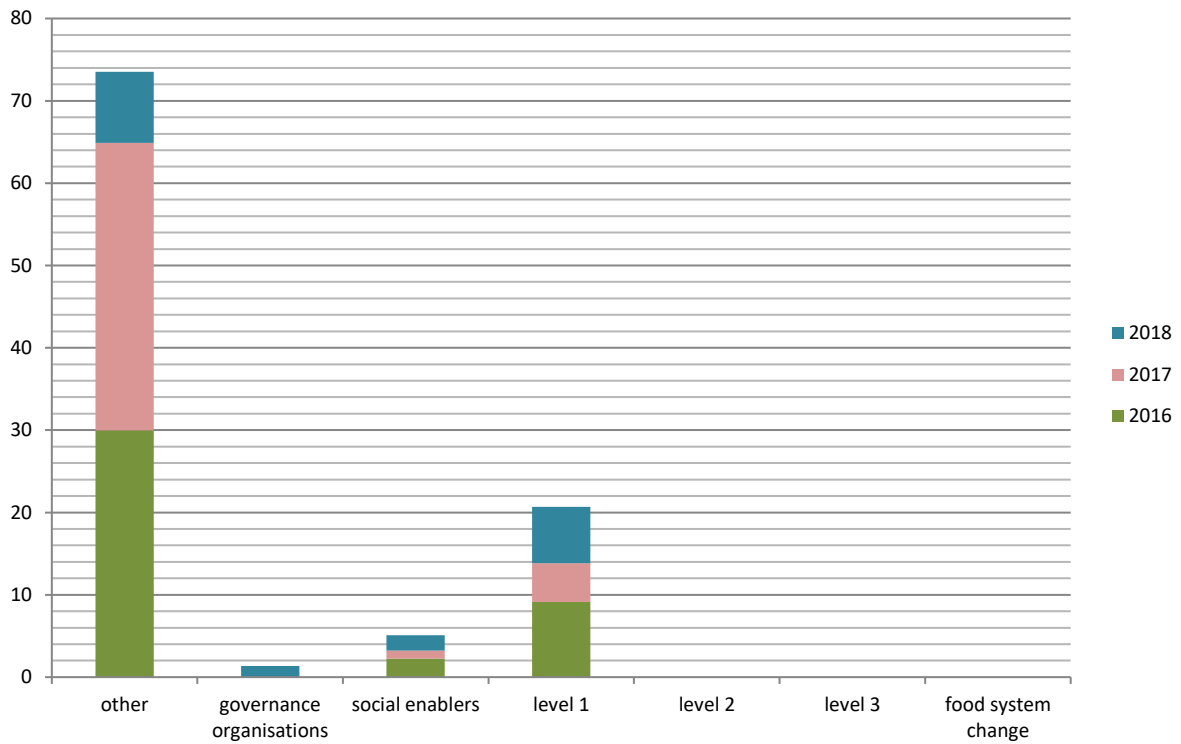


Table 7 lists precise investments per category, per year, showing that disbursements were highest in 2016 and then declined progressively, echoing the overall decline in spending which was underlined above.

Table 7 - Total investments per year, in USD (EU to WFP)

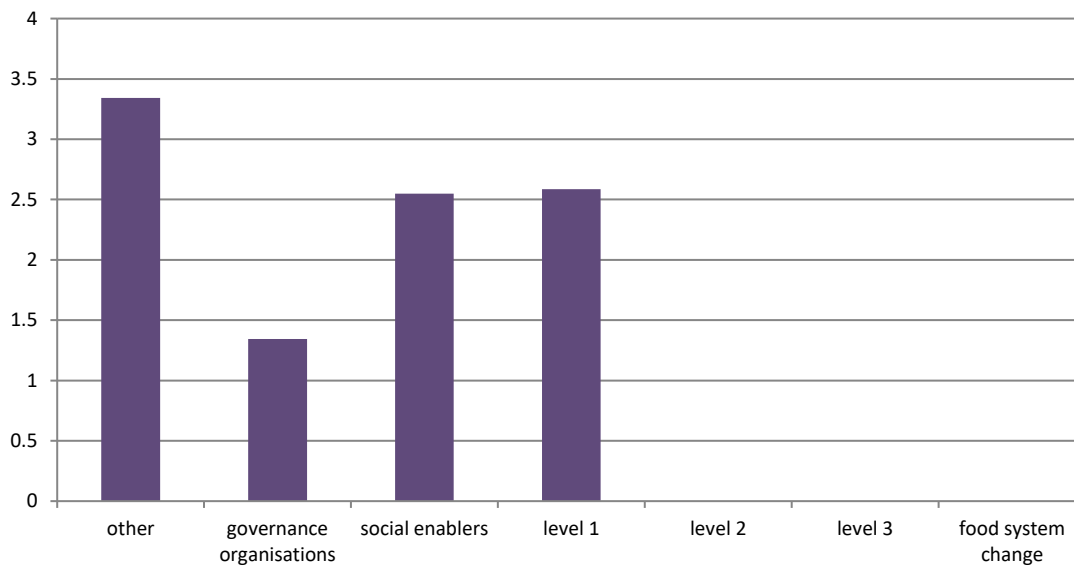
Category	2016	2017	2018	Total investment 2016-18
Other	29,964,760	34,931,940	8,613,501	73.5102
Governance orgs	0	0	1,344,024	1.344024
Social enablers	2,257,698	979,653	1,858,731	5.096082
Level 1	9,147,999	4,689,437	6,844,415	20.68185
Level 2	0	0	0	0
Level 3	0	0	0	0
Food system change	0	0	0	0
Total	41,370,460	40,601,030	18,660,67	100.6322

Figure 20 - Total investments per year, in USD million (EU to WFP)



Average investments per project channelled via WFP are highest for projects under the category 'other', as illustrated by Figure 21.

Figure 21 - Average investments per project, in USD million (EU to WFP)



Part II

Green Climate Fund monetary flows

2.1. Methodology

Box 4: Summary description of methodological approach

The entire portfolio of projects approved since the launch of the Green Climate Fund up to and including December 2019 was analysed. The GCF project portfolio is publicly accessible online. Four of the 126 projects had lapsed and were excluded from the calculations.

Funding proposals for each project are publicly available on the GCF website and were used as basis for the analysis. Projects were triaged first according to their agricultural relevance. Then, project documents were assessed in a minimum of two iterations through keyword searches and textual analysis, and projects classified according to Gliessman's five levels.

Once projects were categorised, total investments were calculated per category, per funding modality (grants, loans, other) and per climate action modality (adaptation, mitigation). Final figures are based on GCF commitments to the overall project budgets in USD. Figures thus represent projected rather than actual GCF spending per project, over the entirety of the project period (i.e. several years). Figures exclude co-financing by other organisations, and hence do not represent the full project costs.

a. Analysing the dataset

The full project portfolio of the Green Climate Fund, accessible on the GFC's own website²⁴, contained 126 projects on February 1st, 2020. These 126 projects had been approved by the GCF Board up to and including December 2019. Four of these projects had by that time lapsed and were hence excluded from further analysis. However, it bears mentioning that all four projects would have been excluded in any case, based on the first triage criteria of agricultural relevance (see below). A total of 122 projects was thus analysed through an iterative process of assessment, comprising: keyword searches; analytic examination of project documents (i.e. approved funding proposals), that is, investigative reading, text coding, summarising; and one or two rounds of pre-categorisation.

Keyword searches, using 'regular expressions' in a Python script, were performed on each of the 122 project documents (see keyword list as Regular Expressions in Table 1, section 1.2.b.). Keyword results guided but did not determine the qualitative assessment of projects performed by reading through all project documents, coding text passages and summarising key elements of the project with a view to agroecological import.

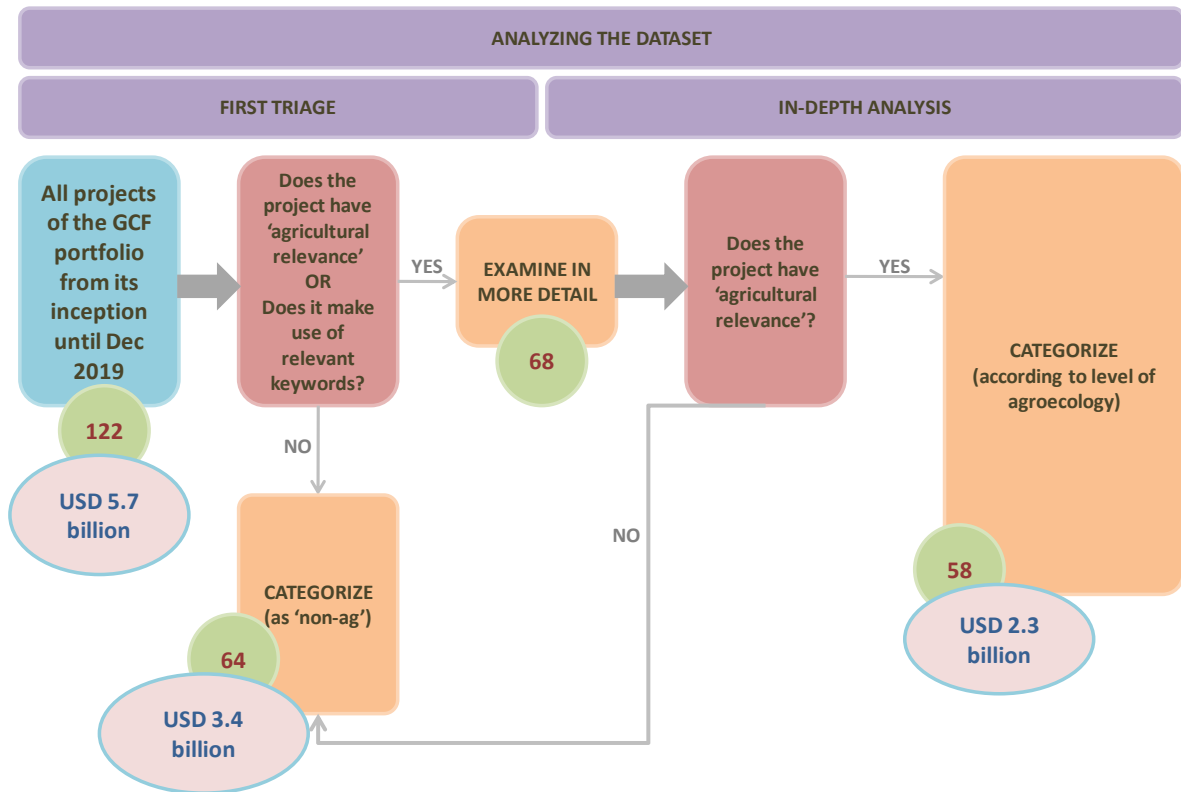
Projects were then categorised in a first iteration according to Gliessman's five levels. A second iteration of the assessment ensured that categories were applied consistently and borderline cases were clarified.

As for the EU data, the second iteration involved using the HLPE's 'multi-dimensional continuum' of approaches to sustainable food systems as a basis for decision-making.

The various methodological steps and guiding questions in building the dataset for this study are visualised in Figure 22 below. Green circles represent the number of projects included or excluded at the various stages of the process, with corresponding total projected investments in USD given in the connected ovals.

²⁴ <https://www.greenclimate.fund/projects>

Figure 22 - Methodology flow chart (GCF analysis)



Agricultural relevance of projects was judged based on the presence of the following terms in the project summary: Agriculture, agricultural practices/techniques; agricultural livelihoods/sector/value chains; smallholder; farmers; farming communities/households; food/crop production; livestock; agroecosystems; food security of rural communities; Landscapes; ecosystems; forests/forestry; natural resources; biodiversity; and use/management; soil conservation; water conservation/efficiency; irrigation. A total of 54 projects were thus categorized as ‘non-agricultural’ during the first triage. 68 projects were included in more detailed examination of the entire project document to assess, once more, agricultural relevance. Ten projects were categorized as non-agricultural after this second iteration. Four of these concerned disbursement of REDD+ Results-based Payments and were counted as non-agricultural.

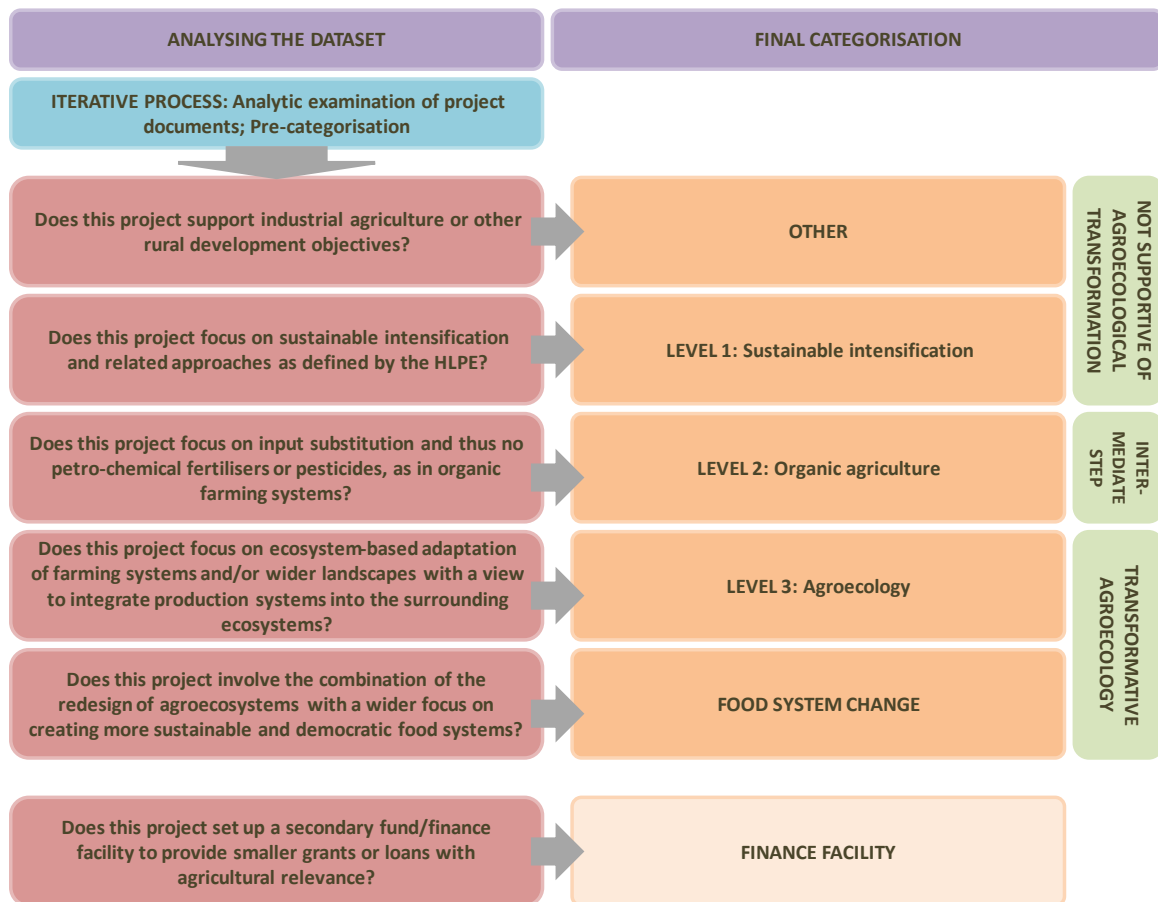
b. Categorisation of projects

As for the EU data analysis, projects were categorised according to Gliessman’s five levels (see Box 1 above in section 0.2. and Table 8 below) with Levels 4 and 5 merged into a single category on ‘food system change’.

Figure 23 below illustrates the questions guiding the categorisation adopted. It is important to note that nine projects with agricultural relevance stood out for a particular reason: through these projects, GCF investments were funnelled into the establishment of secondary funds or ‘finance facilities’ with the mandate of supporting, through loans and/or grants, smaller projects in beneficiary countries or regions. These projects and related investments were tagged as ‘finance facilities’ in order to show the

proportion of total investments per Gliessman Level which flows into these kinds of secondary funds. Table 8 defines in more detail the criteria for categorisation. Project examples to illustrate the different categories are found in Annex 2.

Figure 23 – Analytic flowchart and guiding questions (GCF data)



c. Criteria for categorisation

Table 8 - Criteria for categorisation (GCF portfolio)

Category	Criteria for categorisation
NON-AG	<ul style="list-style-type: none"> • Non-agricultural projects
OTHER	<ul style="list-style-type: none"> • Wider agricultural sector support, e.g. through improved information or early warning systems • Other rural development objectives, e.g. agricultural infrastructure incl. for irrigation and access roads;
LEVEL 1: Efficiency improvements	<ul style="list-style-type: none"> • Efficiency-oriented approaches • Projects in this category involve a focus on sustainable intensification and related approaches as defined by the HLPE. This includes projects implementing precision agriculture, conservation agriculture, climate-smart agriculture or nutrition sensitive agriculture. • Climate-smart projects with a simplistic understanding of agroforestry (e.g. single species plantations; trees along field boundaries) without any additional elements are also included here. • Nutrition sensitive projects implementing kitchen gardens for household food security without any additional elements are also included here.
LEVEL 2: Input substitution	<ul style="list-style-type: none"> • Input-substitution as in Organic agriculture • Projects in this category should ideally involve input substitution and thus no petro-chemical fertilisers or pesticides, as in organic farming systems. However, as this could not always be determined, the intensity of focus on creating significant change in the sustainability of farming systems (as opposed to productivity) was taken into account. • Multi-pronged approaches under the umbrella of climate-smart agriculture or conservation agriculture are also included here (e.g a project that includes planting trees, as well as kitchen gardens for household food security with a focus on compost and manure addition for soil fertility)
LEVEL 3: Agroecology	<ul style="list-style-type: none"> • Redesign of the agroecosystem as a whole and focus on making use of and enhancing ecological processes. • Projects in this category involve an ecosystem-based adaptation of farming systems and/or wider landscapes with a view to integrate production systems into the surrounding ecosystems. • Systemic and/or landscape approaches; Ecosystem-based adaptation; Biodiversity-enhancing initiatives • If the context of the project is a traditional (peasant or indigenous) system, then the project should be focusing on enhancing (rather than re-designing) the agroecosystem according to ecological principles and processes.
FOOD SYSTEM CHANGE (Levels 4 & 5)	<ul style="list-style-type: none"> • Projects in this category would involve the combination of the redesign of agroecosystems (Level 3) with a wider focus on creating more sustainable and democratic food systems, for example through enhancing the connectivity of producers and consumers, stimulating local markets, diversifying production and emphasising dignity of work. • Local food system change; Focus on local market/farmers' markets; Local processing; Shortening of the food chain; Global policy changes enabling such shortening; Food justice • This category corresponds to Gliessman's Levels 4 and 5
FINANCE FACILITY	<ul style="list-style-type: none"> • Creation of secondary funds or finance facilities in beneficiary countries, which is designed to fund projects under one of the other categories. • For those secondary funds falling under Level 2 or 3, there is a hence a future potential for the investment to contribute to agroecological development. This potential is enhanced when these funds are aimed at community-based organisations or micro-enterprises.

d. Caveats and data limitations

Again, the theoretical and methodological choices of this study carry certain limitations. The following caveats need to be taken into account in the understanding of the data presented here. They repeat three of the caveats highlighted as part of the analysis of EU data.

1. Focus on transformative agroecology

The focus on transformative agroecology that this study adopts means that meeting the criteria to qualify as an agroecological project requires a strong commitment to a paradigmatic shift in food systems, which may be perceived as too demanding a requirement for development projects which may need to fulfil a number of different, even contradictory aims at the same time – such as productivity gains as well as environmental sustainability advances. The study adopts this focus due to a perception of the urgency and scale of required change that is shared by many actors (REFS). Moreover, the study is based on the understanding that transformative agroecological approaches are feasible and practicable. Other conceptualisations of agroecology, other understandings of the necessary changes, and other views on the feasibility of different approaches to sustainable food systems are of course possible.

2. Qualitative assessment and interpretation

The analysis presented here is based on a qualitative assessment of a large number of project documents which differ in quality, detail and language. The final categorisation of projects depends to an important degree on a textual interpretation of goals, aims, objectives, and planned activities of individual projects. Alternative interpretations are always possible, and it is thus important to note that a different categorisation of projects than the one presented here is conceivable. As a general rule, this study errs on the generous side and has consistently categorised borderline cases at the higher Gliessman level.

It needs to be underlined that the present study examines mostly project proposals that have been submitted to the donor, or project presentations to the wider public. It is not based on monitoring and evaluation reports, nor on an examination of which project activities have actually been carried out, and in which ways, as would have been possible through ethnographic or interview studies. As such, the present analysis leaves aside the question of the actual impact ‘on the ground’ of the investments made. In their implementation, projects may realise more or less agroecological changes than they profess in their funding proposals. Future research would usefully involve ethnographic components and work with project beneficiaries to investigate actual impact in the environmental, social, economic and political dimensions.

3. Focus on total investments rather than by component

The study focuses on total committed investments for each project approved by the GCF by December 2019, without consideration of the differing costs of project sub-components. That is, the study ignores the question of whether the total commitments to an individual project or only a fraction thereof support agroecology. This leads to the overestimation of total flows in support of agroecology: actual flows are likely to be smaller.

2.2. Green Climate Fund project portfolio investments

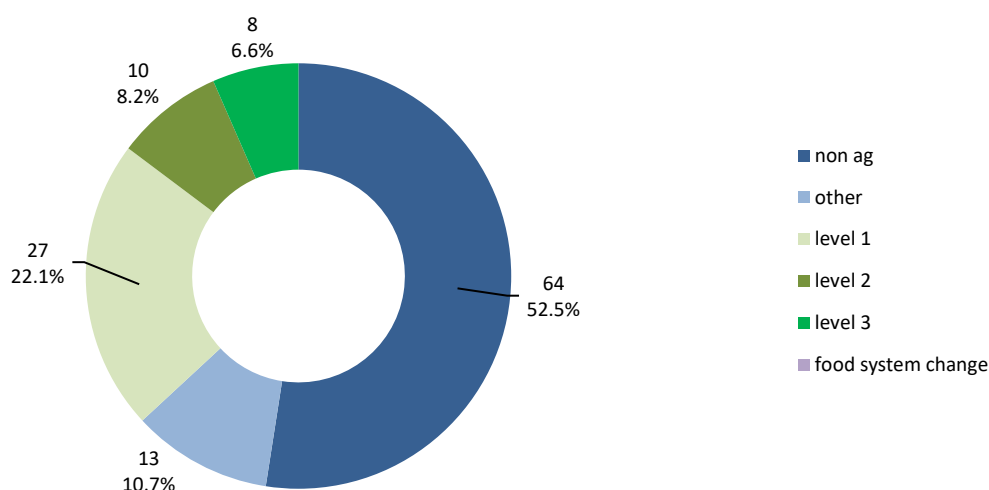
All figures and tables in this section are based on an analysis of the Green Climate Fund’s project portfolio. First funding proposals were approved in February 2017. Projects analysed in this study were approved up to and including December 2019²⁵. The investments analysed are commitments to each project for the entire project period, and not disbursements that have already been made, as is the case with the EU data. The figures presented can hence not be used in a straightforward comparison with the figures presented in the last section. GCF figures – including average investments per project – are proportionately higher as they refer to investments planned over the entirety of a project’s lifespan, and not only to a distinct time period.

All figures in this section are based on an analysis of 122 projects and associated investments totalling USD 5.68 billion. As described in section 2.1. above, four of the 126 projects approved by December 2019 had lapsed and were excluded from the analysis.

Data is presented for the whole project portfolio, as well as for the projects with agricultural relevance only. Data is also presented by investment modality – grants, loans and other forms of investment – as well as by climate action modality – focused on adaptation, mitigation or cross-cutting.

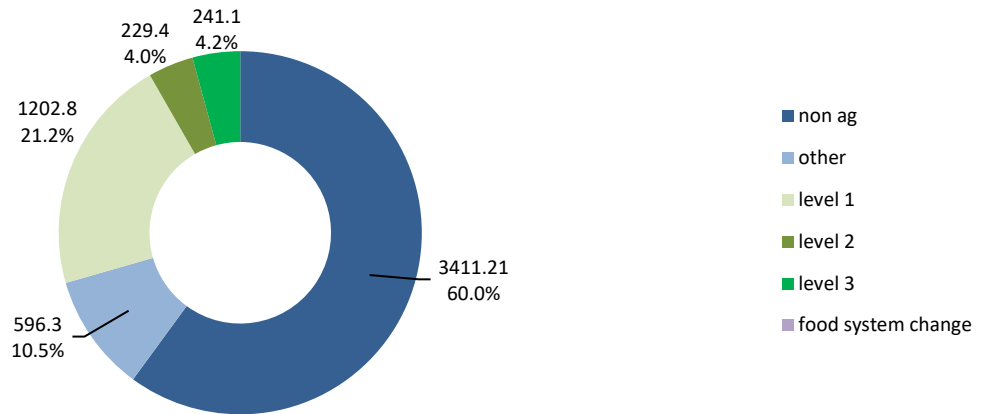
As Figures 24 and 25 show, none of the projects funded in the GCF project portfolio qualifies as addressing food system change. However, eight projects, totalling USD 241.1 million, have been categorised as contributions to ‘transformative agroecology’. A further 10 projects, and associated investments of USD 229.4 million, fall under Level 2 approaches, and thus represent an intermediate step between efficiency-oriented approaches and transformative agroecology. 27 projects, totalling over USD 1.2 billion, contribute to sustainable intensification approaches at Level 1, and 13 projects, for a total of USD 596.3 million, represent wider agricultural sector support under the category ‘other’, and thus serve to strengthen dominant agricultural practices. 64 projects with associated GCF investments of over USD 3.4 billion are non-agricultural, focusing on energy, transport and infrastructure sectors amongst others.

Figure 24 - Number of projects, entire portfolio (GCF)



²⁵ At the time of writing, in September 2020, a further 21 projects had been approved by the GCF Board.

Figure 25 - Total investments, entire portfolio, in USD million (GCF)



Over half of all agriculturally relevant investments flow into Level 1 projects oriented towards efficiency improvements and sustainable intensification, and over a quarter towards conventional agriculture and other rural development objectives (see Figure 27). A tenth of all GCF investments in agriculture flows towards projects focused on substituting harmful inputs, and the remaining 10% are supportive of transformative agroecology.

Figure 26 - Number of projects with agricultural relevance (GCF)

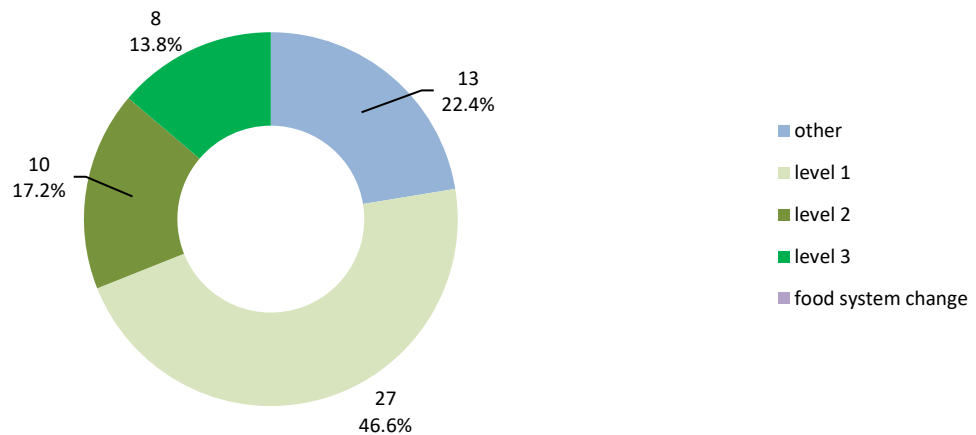
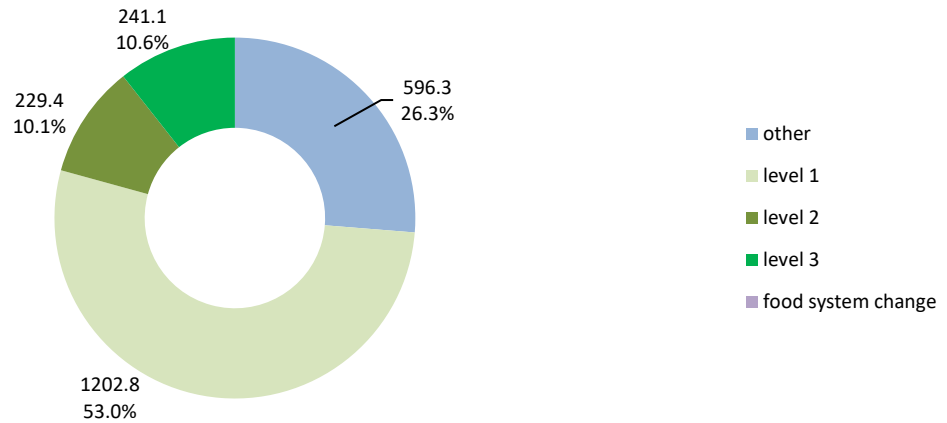
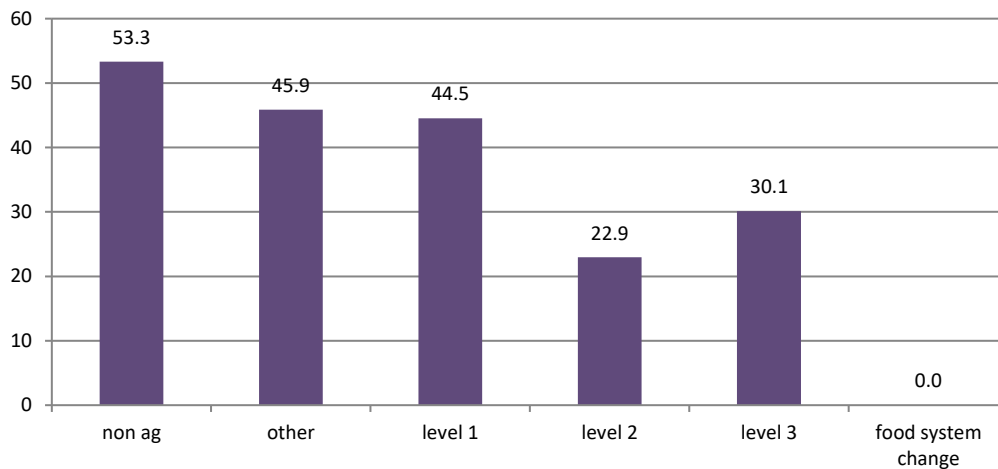


Figure 27 - Total investments of agricultural relevance, in USD million (GCF)



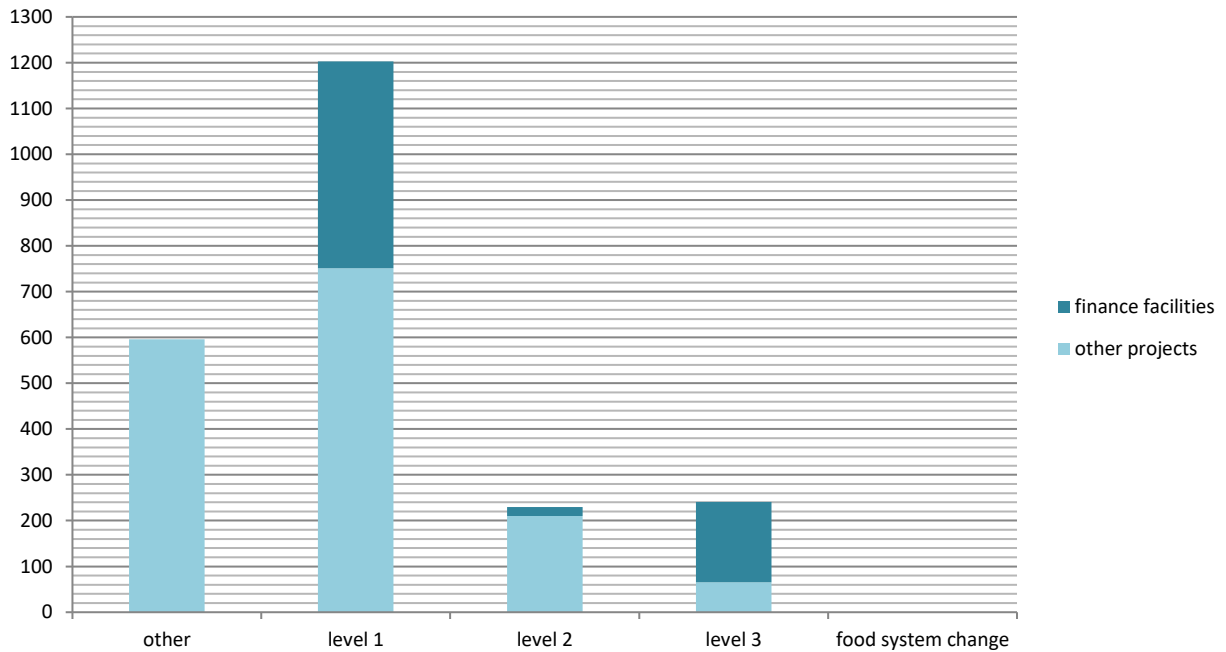
It is noteworthy that Level 3 projects receive higher average investments than Level 2 projects, at USD 30.1 million as opposed to USD 22.9 million (see Figure 28). This is due to the relatively high proportion of projects setting up secondary finance facilities at level 3 (see Figure 29). Finance facility projects, establishing secondary funds for smaller scale investment projects in beneficiary countries or regions, are generally higher doted than other projects.

Figure 28 - Average investments per project, per category, in USD million (GCF)



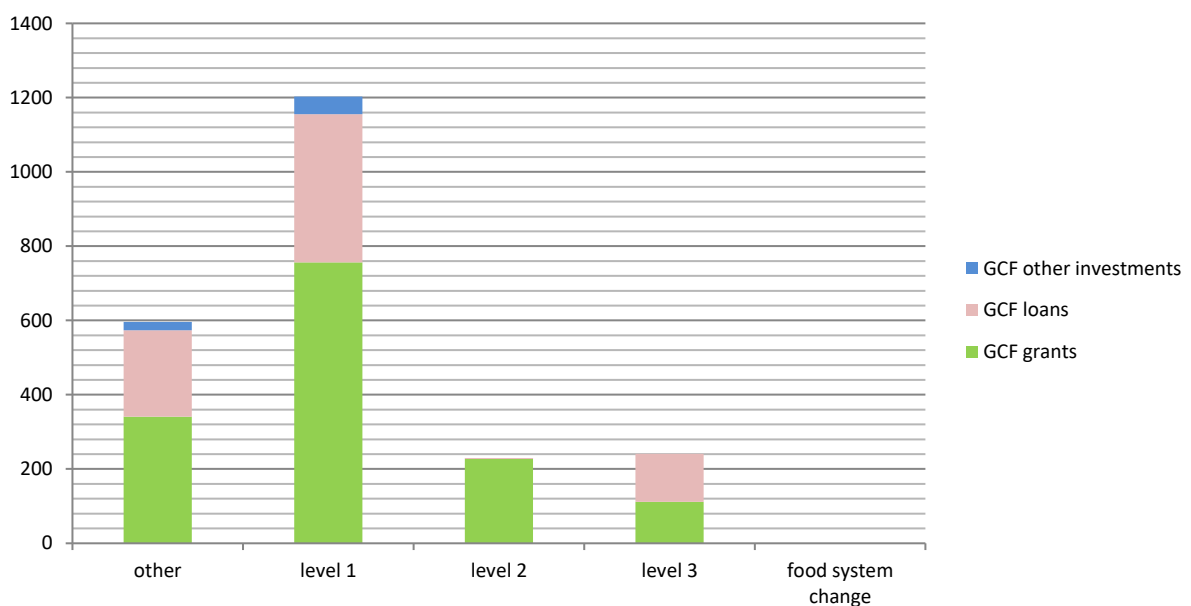
Five out of the eight projects at Level 3 aim to set up secondary funds ('finance facilities') and invest in smaller scale projects proposed by community-based organisations or micro enterprises. While such projects raise questions of oversight and accountability, they are nonetheless promising avenues to channel resources to small organisations otherwise excluded from GCF finance flows.

Figure 29 - Proportion of finance facility investments per project category, in USD million (GCF)



It is important to recognise that the GCF invests in projects through a number of different investment modalities: grants and loans above all, but also through Equity and Guarantee investments and Results-based Payments to REDD+ projects. Figure 18 shows total investments per project category by investment modality for all agriculturally relevant projects. The high proportion of loans to grants at Level 3 is again due to the higher number of 'finance facility' projects in that category, all of which receive a greater share of loans.

Figure 30 - Total investments of agricultural relevance, per category, per investment modality, in USD million (GCF)



It is interesting to note, as it is commendable, that, excepting 'finance facility' projects, projects at Level 1 and above receive almost entirely only grants from the GCF (see Table 9).

Table 9 - Total investments by investment modality, in USD million (GCF)

Category	Number of projects	GCF grants	GCF loans	Results-based payments	GCF Equity	GCF Guarantee	Total GCF investment
Non ag	64	914.1	1781.9	228.7	408.4	78.1	3411.2
Other	13	341.1	232.2	0	23	0	596.3
Level 1	27	756.6	398.7	0	46	1.5	1202.8
<i>of which finance facility</i>	3	54.6	349.4	0	46	1.5	451.5
Level 2	10	227.5	1.9	0	0	0	229.4
<i>of which finance facility</i>	1	19	0	0	0	0	19
Level 3	8	112	129.1	0	0	0	241.1
<i>of which finance facility</i>	5	46.7	129.1	0	0	0	175.8
Food system change	0	0	0	0	0	0	0
Total	122	2351.3	2543.8	228.7	477.4	79.6	5680.8

In terms of climate action modality, all projects with agricultural relevance are either focused on climate adaptation or cross-cutting both adaptation and mitigation. Projects focused only on mitigation are all non-agricultural projects – see figures 31 and 32 respectively. Table 10 below lists precise investments per climate action modality in each project category.

Figure 31 - Total investments of agricultural relevance per category and climate action modality, in USD million (GCF)

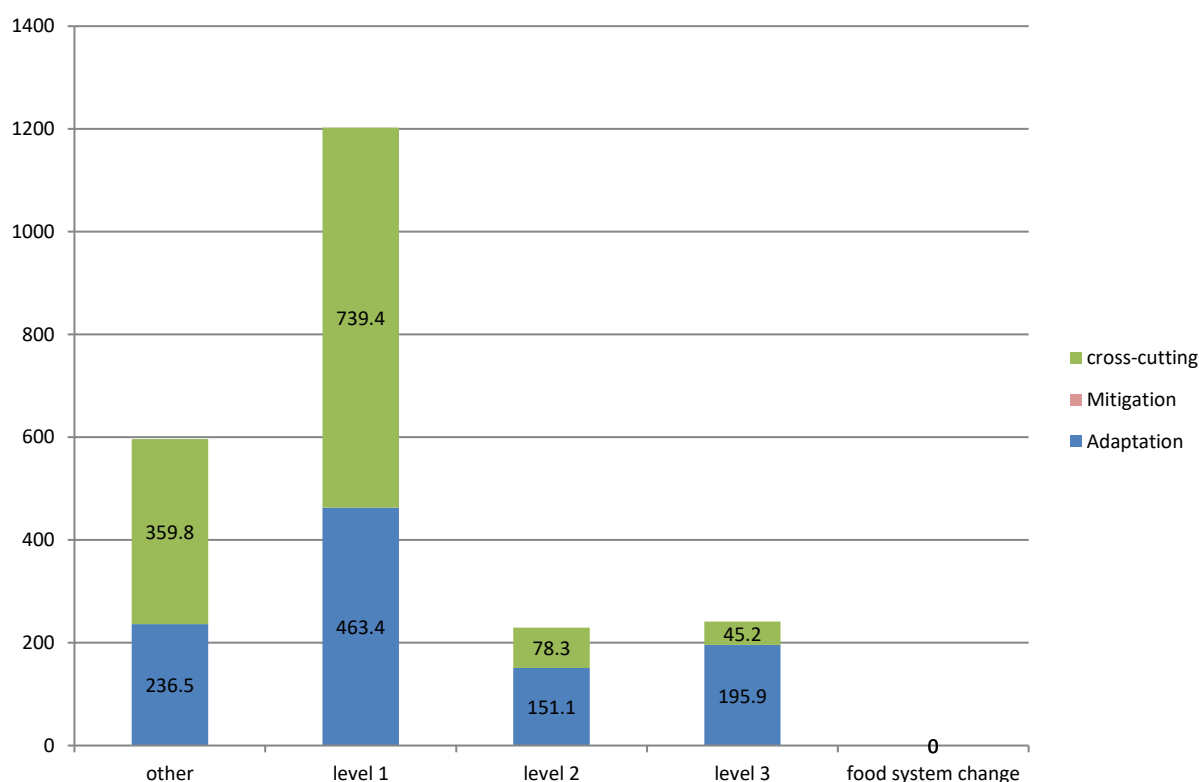


Figure 32 - Total investments (entire portfolio) per project category and climate action modality, in USD millions (GCF)

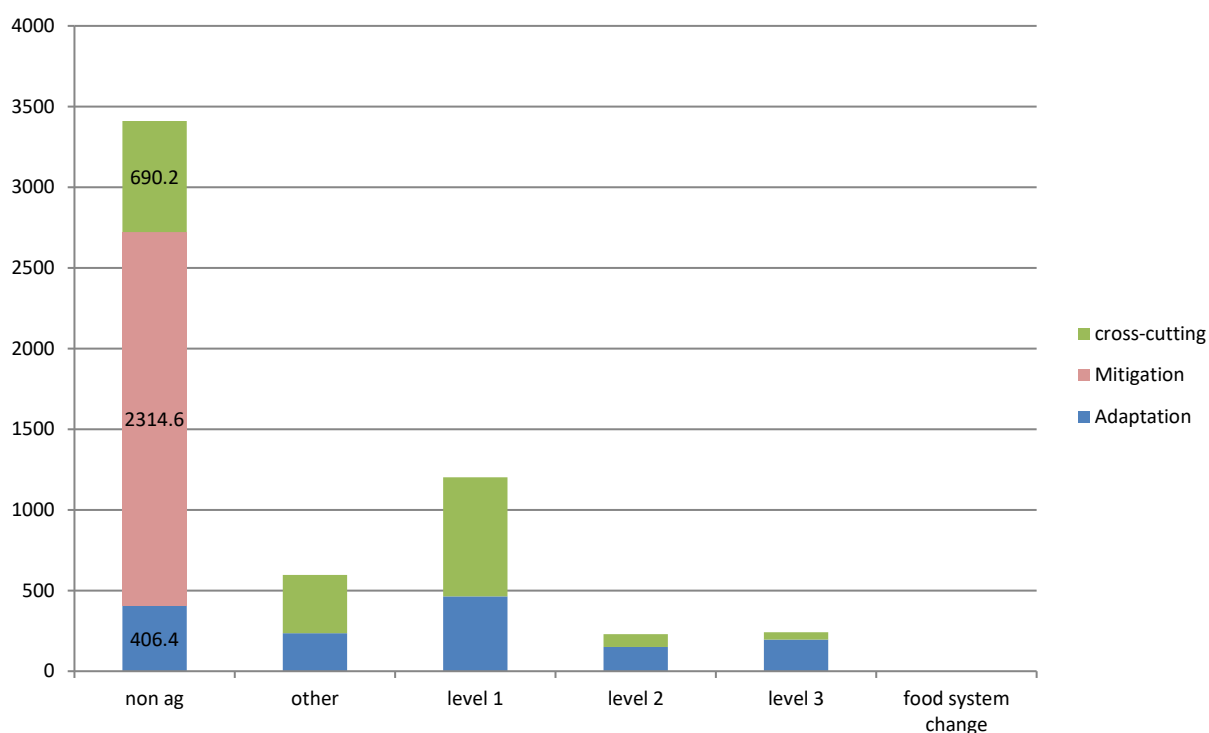
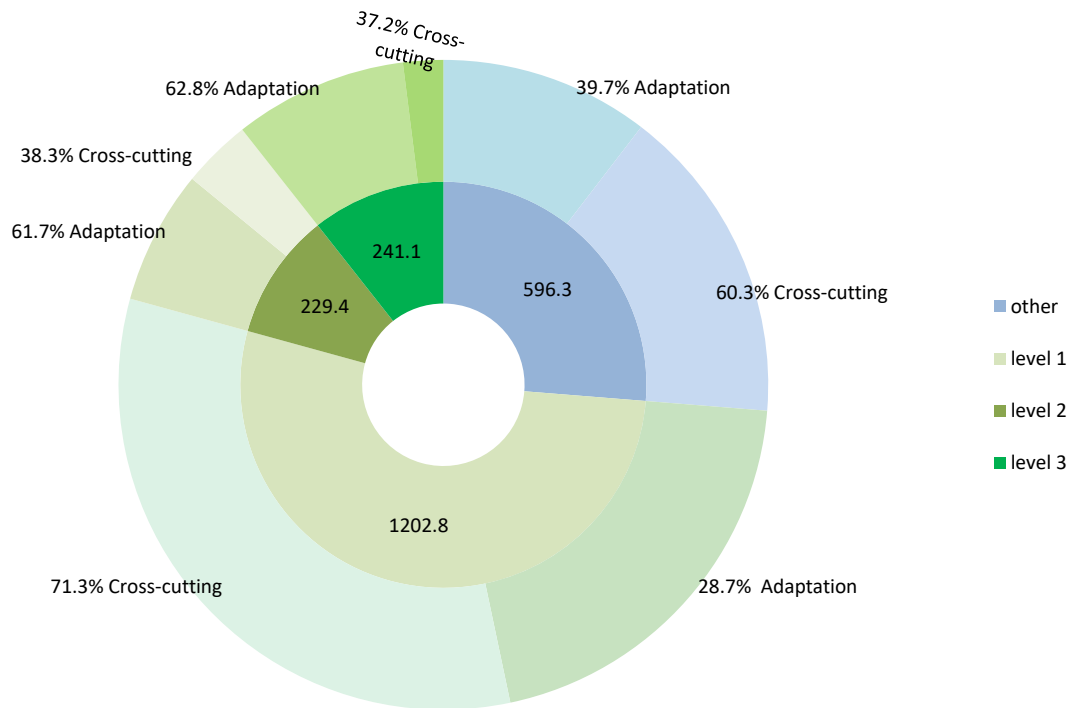


Table 10 - Total investments per project category by climate action modality, in USD million (GCF)

Category	Adaptation	Mitigation	Cross-cutting	Total investments
Other	236.5	0	359.8	596.3
Level 1	463.4	0	739.4	1202.8
Level 2	151.1	0	78.3	229.4
Level 3	195.9	0	45.2	241.1
Food system change	0	0	0	0
Ag-relevant totals	1046.9	0	1222.7	2269.6
Non-agricultural	406.4	2314.6	690.2	3411.2
Totals	1453.3	2314.6	1912.9	5680.8

Figure 33 visualises the percentage of investments in each category that flows towards adaptation or to cross-cutting climate action modality (i.e. adaptation and mitigation relevant). The figure shows that the more agroecological projects of Level 2 and Level 3 are predominantly adaptation-focused (over 60% of investments goes to adaptation-oriented projects), whereas projects at the other end of the spectrum – categorised as Level 1 and ‘other’ – predominantly focus on cross-cutting themes, with only 30-40% flowing to adaptation only.

Figure 33 - Proportion of investment flows to different climate action modalities, per project category (GCF)



3. Conclusion

Despite its many pages, this report reaches a simple conclusion: the financial contribution of the EU-FAO, EU-IFAD, and EU-WFP partnerships, as well as the financial contribution of the Green Climate Fund, toward agroecological transformation of food and farming systems is minimal.

With only 2.7% of all disbursements from the EU budget to the Rome-based agencies between 2016 and 2018 flowing towards approaches aiming to substitute harmful agricultural inputs and practices with more environmentally sound ones (Level 2), and no funds at all flowing towards transformative agroecology (Level 3), there is much scope for boosting financial support for agroecology at the EU level. There are indications that some change has already occurred, with agroecology and related approaches gaining more prominence under the European Green Deal. The present analysis should be seen as a baseline study providing a benchmark for monitoring and evaluating future EU food and agriculture spending.

With 10.6% of all agriculturally relevant investments of the Green Climate Fund flowing towards transformative agroecology (Level 3), and another 10.1% flowing towards intermediate, input-substitution approaches (Level 2), almost 80% remain in support of conventional agriculture and sustainable intensification. A firm focus on agroecology in the GCF's sector guidance currently being developed, however, could increase the number of agroecological projects being proposed and funded.

The argument on which this report is based is straightforward: Humanity is facing multiple, interconnected crises which result from socially and ecologically destructive modes of production and consumption. Agroecology has the potential to restore, regenerate and enhance the socio-ecological systems upon which life depends, allowing us to address these crises at their roots. ODA and other investments need to be channelled away from petrochemical and carbon-heavy food systems, towards agroecology, lest it continue to be undermined where it is being practiced and prevented from taking hold elsewhere. The evidence presented here underlines that urgent action is needed in order to shift funding priorities and investment realities.

ANNEX 1 – Project examples (EU budget)

For clarity and illustrative purposes, this Annex lists project examples for each of the project categories under which EU budget flows to FAO, IFAD and WFP were classified. All four projects under Level 2 have been listed.

CATEGORY	OTHER
Typical project focus	Generally: information systems without on-the-ground support or changes; agricultural infrastructure incl. access roads; food fortification; maximizing impact of remittances; conventional agriculture
Project example	SCR.CTR.306513 Georgia: Support for achieving sustainable livelihoods through agricultural cost shared investments in IDP settlements and Constraint Returnee Area
Short project description, with key text passages highlighted	1. To increase the food production and income generation of the Internally Displaced Population through cost-shared support to agricultural investments ; 2. To improve the capacity and knowledge of the Ministry of Internally Displaced Persons from the Occupied Territories, Accommodation and Refugees of Georgia and enable it to develop and implement livelihood support programmes .
Sample notes from qualitative assessment	Result 1: Increased ag productivity of IDP people and increased employment and income generation of the targeted IDP population; Result 2 Ministry of IDP from the Occupied Territories, Accommodation and Refugees of Georgia capable of replicating ag and livelihood cost-shared support activities, evaluating micro projects and distributing resources in favour of IPD -- Once a year application for cost-shared support for subsistence farming or small business type of initiative can be submitted up to 2500 USD per household for support for ag inputs (BAU: fertiliser, seeds, tools) – support for larger investments
CATEGORY	GOVERNANCE ORGANISATIONS
Typical project focus	Support to Committee on World Food Security CFS, Global Forum on Ag Research GFAR, and the International Treaty on Plant Genetic Resources for Food and Agriculture
Project example	SCR.CTR.400146 Developing countries, unspecified: Strengthening governance of food security and nutrition through the Committee on World Food Security (CFS)
Short project description, with key text passages highlighted	The Action will support the activities of three CFS components, namely the CFS Secretariat, the High-Level Panel of Experts on Food Security and Nutrition (HLPE) and the Civil Society Mechanism (CSM) to support CFS as the foremost inclusive international, intergovernmental and multi-stakeholder platform on food security and nutrition (FSN) in the world.
Sample notes from qualitative assessment	Support to governance – potential support for agroecology through CFS efforts, but incidental rather than intended
CATEGORY	SOCIAL ENABLERS
Typical project focus	'Other' projects (as per category above), but with elements of empowerment or inclusion in decision-making of smallholders (e.g. financial capacity building of CBOs), or policy development with a focus on an enabling environment for smallholder-focused agriculture and land tenure.
Project example	SCR.CTR.308200 South of Sahara, regional: Support to Farmers Organisations in Africa Programme (SFOAP) - main phase
Short project description, with key text passages highlighted	This is a follow up of the SFOAP pilot phase (148-722). The components/outcomes are: (i) Strengthen FOs Institutional and Organizational capacities (ii) Enable FOs at different levels to influence policies on priority subjects (iii) Improve FOs entrepreneurial capacities and participation in value chains (iv) Strengthen the capacity of the Pan-African Farmers' Organization.
Sample notes from qualitative assessment	general support to and strengthening of FOs - supportive of enabling conditions, but also enabling for ag business as usual – no focus on ag practices or environmental conditions

CATEGORY	LEVEL 1
Typical project focus	Sustainable intensification; efficiency-oriented; productivity-focused
Project example	SCR.DEC.039195 Nicaragua: Boosting Rural and Rurban Economy in Times of Crisis and Beyond (BOOST)
Short project description, with key text passages highlighted	<p>Mitigate the impacts of the 2018 crisis on food production and consumption in targeted areas of the country specifically, promote sustainable agri-food systems in rural and rurban areas, addressing the effects of crisis in targeted areas of Nicaragua</p> <p>This action aims to mitigate the impacts of the looming crisis on food production and consumption in targeted areas of Nicaragua. This will be achieved by providing incentives to sustain value chains related to the School Meals Programme in the context of a protracted socio-political crisis. -- This action will include three expected results/outputs: prioritized value chains are strengthened, mainly grain production, with focus on the economic empowerment of women in targeted rural areas (R1); market access is increased for the smallholder farmers related to the School Meals programme, and (R2); the economic and climate resilience of rurban families is enhanced in targeted areas. (R3). -- The programme will promote cleaner production and natural resource efficiency with organizations along prioritized value chains. This includes good farming practices (GFP), good manufacture practices (GMP) and the establishment of infrastructure for food transformation. The GFP will permit to improve soil fertility and will increase agrobiodiversity, especially in peri-urban agriculture, where diversification of diets is identified as one of the objectives. Better access to and management of water will also be considered. As regards GMP, special attention will be focused on technology for efficient use of water and waste (liquid and solid) management, the use of sustainable local materials and the use of renewable energy resources, etc.</p>
Sample notes from qualitative assessment	GFP only refer to minor conservation ag elements – climate resilience discussed only in terms of economic sustainability – overarching focus on productivity and efficiency
CATEGORY	LEVEL 2
Typical project focus	Input substitution; organic practices; but also a strong focus on environmental sustainability through multi-pronged approaches
Project 1	SCR.CTR.381338 Pakistan: Improved Land Tenancy in Sindh
Sample notes from qualitative assessment	<p>The objective of the FAO-implemented Action is to "improve and formalise land tenancy, while restoring and protecting rural livelihoods, especially for women and vulnerable groups (dependent on traditional landholding and farming systems and affected by droughts, floods, insecurity and malnutrition) by adhering and promoting the principles of VGGT in Dadu, Jamshoro, Larkarna, Matiari, Mirpur Khas, Sujawal, Tando Allahyar and Tando Muhammad Khan Districts of Sindh Province.</p> <p>Expected Result No. 1: Legal, institutional & administrative framework for responsible land & water governance, including environmental aspects, is implemented by considering local requirements. Expected Result No. 2: Enhanced capacity of stakeholders in land management from Sindh Province and targeted districts in order to promote VGGT [Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security] and improve landholding security of men and women peasant farm and haris [tenant peasants, sharecroppers, bonded labour]. Expected Result No. 3: Enhanced capacity of district authorities, local institutions FOs, and CSOs to promote and contribute to transparent and rights-based land governance (VGGT and community-based disaster risk reduction - DRR). -- activities under Result 2 include FFS for nutrition-sensitive climate smart agriculture, agro-forestry, conservation agriculture, efficient irrigation water management, farm forestry, improved animal health and production, integrated crop-livestock systems, integrated homestead farming [In partnership with EU-funded project, "Improved Nutrition in Sindh"], integrated pest and disease management, rainwater harvesting, range management, soil conservation, soil fertility management and introduction of pulses and other nutritious foods into cropping systems. -- The expected Result No. 2 would also focus on the reduction of post-harvest losses, value addition of agricultural produce and enhancement of household income generating</p>

	opportunities of vulnerable peasant families through improved post-harvest management PHM and small agri-business development
Sample notes from qualitative assessment	CSA/conservation ag, agroforestry, integrated soil and pest management might include external inputs, but focus also on crop-livestock integration, plus strong focus on land access of most vulnerable (haris); use of FFS and capacity building of FOs
Project 2	SCR.CTR.334315 Zimbabwe: FORESTS FORCES - Forests sustainably managed for communities, environment and shocks resilience
Short project description, with key text passages highlighted	<p>The overall objective of the action is: To improve food security of vulnerable rural communities through participatory sustainable forest management and valorisation of forest products, diversified livelihoods strategies and enhanced capacity to deal with shocks. This will be achieved through a mix of four distinct strategies, which are: (i) Participatory sustainable forest management; (ii) Valorisation of forest products; (iii) Diversification of livelihoods strategies; and (iv) Building innovative partnerships -- In this context, valorisation means enabling a mechanism, usually market-based, which will engender payments for forest products which would otherwise be consumed on a subsistence basis or wasted. The concept of valorisation should ideally extend to increasing levels of value-added and employment. -- (i) Policy & Legal Framework Reform – supporting the development and implementation of policies and legal frameworks that enhance the rights of communities to forest resources, increase their security of tenure and foster the participation of communities in sustainable forest management (SFM) (ii) Unlocking the livelihood potential of forests - increasing and diversifying the sources of food and income of rural populations through better forest management and development of sustainable income-generating activities based on forest products ((The action will support and develop innovative, locally owned non timber forest products (NTFP) initiatives. The Action will support communities to diversify agriculture by incorporating forest resources into their livelihood systems, expanding the range of non-timber forest products both for immediate consumption and for income generation, value addition and strengthening market linkages. Diversification of agriculture will be achieved through agroforestry, trees outside forests and timber out-grower initiatives. Existing forest-based enterprises on honey production, marula oil extraction, baobab fruit processing, mopane worms packaging, etc. will be strengthened and new ones developed to high quality standards that will attract higher prices on the market. The Action will support procurement of processing technologies for NTFP, strengthen market linkages with the private sector, facilitating the development of contracts and agreements to ensure sustained business between communities and the private sector.)) (iii) Livelihoods based on Capacity and Ability - building capacity at all levels on SFM, forest protection through fire and pest management, and the forest product value chains, including primary products harvesting, processing and marketing. (iv) Building Innovative Partnerships - developing sustainable community-based forest management in line with Public-Private-Community Partnership (PPCP) principles. –</p>
Sample notes from qualitative assessment	NTFP and agro-forestry, no evidence of organic vs synthetic inputs, community participation-focused but no evidence of how participation will be ensured.
Project 3	SCR.CTR.363113 Burundi : Appui à l'amélioration des capacités de résilience des populations les plus affectées par les effets de la crise multifactorielle de 2015 au Burundi
Short project description, with key text passages highlighted	<p>Objectif spécifique : Renforcer les moyens d'existence et la résilience des communautés a travers l'amélioration de la disponibilité et accessibilité à une alimentation régulière diversifiée ainsi qu'à travers un réseau d'organisations locales dynamiques, solidaires et responsables vis-à-vis de l'environnement. Résultats : 1. La sécurité alimentaire et nutritionnelle des familles individuelles retournées et locales vulnérables est améliorée. 2. La résilience des membres des OP (organisations de producteurs) et AF (association féminines) est améliorée afin de mieux gérer les risques et tirer profits des opportunités locales en vue d'une meilleure sécurité alimentaire et nutritionnelle. 3. L'information sur la sécurité alimentaire et nutritionnelle par un système d'alerte précoce à base communautaire est adaptée, l'évaluation des performances agricoles est renforcée. -- Familles individuelles de retournés et familles individuelles locales vulnérables bénéficieront dès la première année d'intrants productifs et au cours des</p>

	<p>deux années suivantes d'un processus d'intégration socio-économique progressif avec les membres des OP et AF. -- formations, encadrement des groupes, surveillance nutritionnelle et conseils techniques ou sociaux. Travaux à haute intensité de main-d'œuvre HIMO. Champs Ecole Paysans CEP. "Caisses de Résiliences" - soutien technique, social, et financier. Système de crédit et épargne communautaire SCEC. Activités : foires aux semences, fourniture de petit élevage, initiation des jardins de case, formations, capitalisation des SCEC via HIMO. Multiplications de semences. Intégration sociale au niveau des OP et AF, surveillance nutritionnelle communautaire. -- jardins de case : production de légumes, fertilisation organique (compost) et lutte phytosanitaire biologique simple mais efficace. – CEP : conservation des eaux et du sol, lutte biologique, techniques culturelles, productions alimentaires hors sol (apiculture, myciculture), alimentation animale, soins vétérinaires de base, lutte biologique –</p>
Sample notes from qualitative assessment	Kitchen gardens and conservation ag with focus on biological pest control and organic fertilisation. FFS, focus on most vulnerable.
Project 4	SCR.CTR.359831 Malawi: STRENGTHENING COMMUNITY RESILIENCE TO CLIMATE CHANGE IN BLANTYRE, ZOMBA, NENO AND PHALOMBE DISTRICTS
Short project description, with key text passages highlighted	<p>The Strengthening Community Resilience to Climate Change project will directly work at the community level, and there are four activity sets which if successfully implemented and if the appropriate incentives are in place, will lead to improved uptake of good practices and technologies for greater resilience to climate change, HIV and gender-sensitive nutrition practices improved, diversity of sustainable livelihoods and regularity of income sources increased, and enhancement and safeguarding of conservation and biodiversity. In turn, assuming the improvements made are of significant magnitude and the enabling contextual conditions are supportive, lead to poverty alleviation and adaptation.</p> <p><i>internet search resulted in:</i> The GCCA programme (link is external) was designed to increase resilience of communities, by adopting climate smart agricultural practices and technologies and to strengthen the capacities at district levels with regard to designing and implementing climate resilient development plans. -- Using the Farmers Field School approach, the project is providing knowledge and hands-on skills on several technical aspects including soil and water conservation, conservation agriculture, agroforestry, natural tree regeneration, gully reclamation, basin planting, post-harvest handling, bio-intensive backyard gardening, and food safety. In addition, the project also focuses on the social and financial dimensions within communities (providing support on common savings mechanisms, entrepreneurial skills, income generating activities, group cohesion and gender mainstreaming).</p>
Sample notes from qualitative assessment	CSA and conservation ag but with strong elements of agroforestry, backyard gardens. Use of FFS and participatory video.

ANNEX 2 – Project examples (Green Climate Fund portfolio)

For clarity and illustrative purposes, this Annex lists project examples for each of the project categories under which GCF investments were classified. Level 3 examples include one ‘ordinary’ project and one tagged as ‘finance facility’, which aims to set up a secondary fund to finance small projects by community-based organisations.

CATEGORY	NON-AG
Typical project focus	Energy, transport and infrastructure projects with no agricultural relevance
Project example	FP010 (Armenia) De-risking and scaling-up investment in energy efficient building retrofits in Armenia (total budget USD 29.8 million of which USD 20 million from GCF)
Short project description, with key text passages highlighted	<p>Improving energy efficiency (EE) in Armenia through building retrofits, addressing high levels of energy poverty and high use of imported fossil fuels for heating.</p> <p>The project will build the market for EE building retrofits in Armenia, leading to sizeable energy savings and GHG emission reductions (up to 5.8 million tCO₂ of direct and indirect emission savings over the 20-year equipment lifetimes), green job creation and energy poverty reduction. It will directly benefit over 200,000 people and will catalyse private and public sector investment of approximately USD 100 million.</p> <p>GCF will invest a USD 14M loan to make EE loans for building retrofits more affordable. The Municipality of Yerevan will add USD 8M in co-financing. In addition, GCF will provide USD 6M in technical assistance to remove market and policy barriers to building retrofits, with UNDP providing USD 1.4M and the Ministry of Nature Protection USD 0.4M co-funding. The technical assistance will seek to overcome lack of information and awareness about the benefits of retrofitting through the establishment of measurement, reporting and verification measures, the development of policy frameworks. The cost-effective combination of policy and financial de-risking instruments and targeted financial incentives will address market barriers and achieve a risk-return profile for EE building retrofits that can attract private investments.</p> <p>The project has an estimated lifespan of 20 years.</p>
Sample notes from qualitative assessment	No agricultural relevance
CATEGORY	OTHER
Typical project focus	information systems without on-the-ground support or changes; agricultural infrastructure
Project example	FP119 (Palestine) Water Banking and Adaptation of Agriculture to Climate Change in Northern Gaza (total budget USD 49.7 million of which USD 26.3 million from GCF)
Short project description, with key text passages highlighted	<p>Developing a low-carbon water management scheme and increasing water availability for sustainable agriculture.</p> <p>The water level of the coastal aquifer in Gaza, the region’s only freshwater resource, is declining rapidly, resulting in the intrusion of seawater. Agricultural inefficiencies lead to the overuse of water and high evaporation.</p> <p>This project creates a closed cycle of reusing treated wastewater for irrigated agriculture. This multiplier effect will alleviate pressure on the coastal aquifer and improve the climate resilience of local populations. It will also enhance the institutional and operational capabilities for integrated water management.</p>
Sample notes from qualitative assessment	Large-scale infrastructure and technology intervention – focus on large, irrigated ag

CATEGORY	LEVEL 1
Typical project focus	Sustainable intensification; efficiency-oriented; productivity-focused
Project example	FP058 (Ethiopia) Responding to the Increasing Risk of Drought: Building Gender-responsive Resilience of the Most Vulnerable Communities (total budget of USD 50 million, of which USD 45 million from GCF)
Short project description, with key text passages highlighted	<p>Providing rural communities with critical water supplies for year-round drinking water and small-scale irrigation to address risks of drought and other climate impacts.</p> <p>Ethiopia is projected to experience drought conditions worsened by climate change, and the country's exposure to drought and floods is heavily influenced by the El Niño/La Niña phenomenon. In 2015 to 2016 Ethiopia experienced one of its worst droughts in decades. Climate change impacts are likely to increase temperatures, create greater rainfall variability with more frequent extremes, and change the nature of seasonal rainfalls.</p> <p>Introducing improved water supply and management systems will increase local communities' productive capacity as well as the water ecosystem's carrying capacity. The three main activities will be introducing solar-powered water pumping and small-scale irrigation, the rehabilitation and management of degraded lands around the water sources, and creating an enabling environment by raising awareness and improving local capacity. Over 50% of the beneficiaries will be women, with 30% of households being female-headed.</p> <p>The project has an estimated lifespan of 5 years.</p>
Sample notes from qualitative assessment	Water-efficiency focus, mostly infrastructure and technology, but includes minor aspect of afforestation/tree planting on degraded land near water sources
CATEGORY	LEVEL 2
Typical project focus	Input substitution; organic practices; but also a strong focus on environmental sustainability through multi-pronged approaches
Project example	FP072 (Zambia) Strengthening climate resilience of agricultural livelihoods in Agro-Ecological Regions I and II in Zambia (total budget USD 137.3 million, of which USD 32 from GCF)
Short project description, with key text passages highlighted	<p>Increasing the climate resilience of smallholder farmers in specified regions of Zambia.</p> <p>Zambia, a landlocked country with approximately 70 percent of the workforce dependent on rain-fed agriculture, is highly vulnerable to climate-induced precipitation variability. While floods often result in immediate disasters, the increased frequency of drought is expected to present a longer-term threat to Zambia's agricultural livelihoods.</p> <p>This initiative focuses on smallholder farmers in two agroecological regions covering the five provinces of Eastern, Lusaka, Muchinga, Southern and Western. It will take a value-chain approach and help to provide a number of benefits, including increased access to climate information services, support for climate-resilient agricultural inputs and practices, sustainable water management, and alternative livelihoods. The project has an estimated lifespan of 7 years.</p>
Sample notes from qualitative assessment	Output 1 is focused on the generation and dissemination of climate information; Output 2 focuses on resilient agricultural livelihoods; Output 3 focuses on improving access to markets. Output 2 includes introduction of resilient seed and community multiplication/dissemination, soil kits, and improved storage, irrigation and water storage, and practices such as: intercropping, crop rotation, manure and compost management, cover cropping, minimum tillage and simple agroforestry (trees in fields) – includes some participatory elements
CATEGORY	LEVEL 3
Typical project focus	Systemic and/or landscape approaches; Ecosystem-based adaptation; Biodiversity-enhancing initiatives; Integration of production systems into the surrounding ecosystems

Project example 1	FP011 (Namibia) Large-scale Ecosystem-based Adaptation in the Gambia River Basin: developing a climate resilient, natural resource based economy (total budget USD 25.5 million, of which USD 20.5 million from GCF as grant)
Short project description, with key text passages highlighted	<p>Restoring degraded forests and agricultural landscapes in The Gambia with climate-resilient plants, establishing natural resource-based businesses, and strengthening capacity and policies to implement eco-based adaptation systems.</p> <p>Climate change is exacerbating the effects of poverty in The Gambia, which is one of the poorest countries in Africa. Large-scale ecosystem adaptation is necessary to build climate resilience of rural Gambian communities, whose livelihoods are threatened by the impacts of climate change. In order to respond to this threat, The Gambia is transitioning towards a sustainable green economy based on climate-resilient livelihoods and rigorous, evidence-based management of natural resources.</p> <p>Implementing Ecosystem-based Adaptation (EbA) is a significant part of this strategy, and its implementation will be enabled through the GCF investment. EbA will both protect the environment and facilitate the development of the sustainable, natural resource-based economy to the benefit of local communities. EbA will be integrated into planning at national, district and village levels. Agricultural landscapes and degraded ecosystems including forests, mangroves and savannahs will be restored using climate-resilient tree and shrub species across an area of at least 10,000 hectares. This will be complemented by the establishment of natural resource-based businesses managed by local communities.</p> <p>The project has an estimated lifespan of 6 years.</p>
Sample notes from qualitative assessment	<p>Component 1 - large-scale EbA interventions (landscape level) incl to increase supply of timber, fuel wood, fruit, honey, medicines, fibre, fodder, handicrafts; this component includes adoption of climate resilient ag techniques such as conservation farming, locally adapted varieties, biodiverse agroforestry and home gardens with local and exotic species; Component 2 Establishment and strengthening of natural resource based businesses (esp. timber, fuel wood, honey and fruit), incl capacity building, tech support, business plans, market and financial analyses etc. installations for ecotourism, wood processing and food processing. Component 3 - policy support, institutional strengthening and knowledge generation</p>
Project example 2 (finance facility)	FP087 (Guatemala) Building livelihood resilience to climate change in the upper basins of Guatemala's highlands (total budget USD 37.7 million, of which USD 22 million from GCF as grant)
Short project description, with key text passages highlighted	<p>Protecting ecosystems and livelihoods in the highlands of Guatemala through better watershed management.</p> <p>Increasing global temperatures change the composition of ecosystems. In Guatemala, particularly in areas higher than 1,800 meters above sea level, it is projected that the changing climate will drastically affect ecosystems resulting to hydrological cycle changes, increases in invasive species, and higher frequencies of fires, pests, and diseases. This is especially difficult for highland communities who depend on a balanced ecosystem for their livelihoods such as farming.</p> <p>This project aims to reduce the impacts of climate change on the hydrological cycle in target highland watersheds through improved land use practices. It will introduce physical and technical capacities to better equip government and target communities to make climate-smart decisions and to conduct restoration interventions at the landscape level. These will lead to improved water recharge and will contribute to the people's resilience to climate change.</p> <p>The project has an estimated lifespan of 7 years.</p>
Sample notes from qualitative assessment	<p>includes agroforestry/silvo-pasture aspects, rainwater harvesting, restoration of riparian forests, soil conservation practices (not specified), potentially more serious AE projects may be funded under facility established – criteria include forest restoration and conservation, agroforestry systems, restoration of degraded lands, EbA and other adaptation measures</p>