10YFP Network in Action: Programme Portfolios
Key principles and approaches

Background

- One of the objectives of the 10YFP is to "reduce fragmentation and support synergies" as stated in the adopted text establishing 10YFP.
- The 10YFP programmes bring together actors, expertise and resources to deliver SCP by building synergies and cooperation, bringing together existing initiatives, leveraging them towards common objectives, scaling up and replicating best practices.
- The meeting of the 10YFP programme coordination desks in May 2017 highlighted that different approaches have been adopted by the 10YFP programmes in developing their portfolio of work. To increase coherence and ensure a harmonised approach across the 10YFP, the Coordination Desks requested that the 10YFP Secretariat develop key principles to guide the 10YFP programme portfolios. This document responds to this request.
- The approach outlined comprises the definition of: i) a limited set of key principles common to all 10YFP programmes to define portfolios; ii) key tools that support the development and implementation of programme portfolios, iii) terminology used in portfolios. It does not include methodology for the programme portfolios, as the methodological approach will need to remain flexible to meet the different needs of the programmes.

Programme Portfolios

> Programme portfolios, and the initiatives and resources they include, can be considered as the products or the solutions the programme offers (or is developing) to support countries[1] in the shift to SCP

- The programme portfolio is the programme network in action; it is the collection of a programme's network activities and resources that contribute to the objectives and aligns with the principles of the 10YFP[1]. A portfolio that has a partner-based approach is essential to reduce fragmentation and support synergies, to build on existing initiatives, to operate at scale, to replicate, to build cooperation, to leverage resources towards common objectives – all of which are key objectives of the 10YFP.
- Scaling-up, synergies and collaboration can only be developed on the basis of an overview of initiatives and resources within the programme network. Therefore the programme portfolio development may be envisaged as a dual approach: i) engagement of actors on the basis of their

---

[1] Support countries in the shift to SCP includes any of the stakeholder groups: Government, Civil Society, International Organisations, Research, Business

contribution to the programme's objectives, ii) supporting collaboration of actors, scaling-up and replication of initiatives.

- The portfolio approach helps structure, organize and manage the activities of the network within a specific programme, and potentially also across Programmes. It supports strategic alignment, improved effectiveness of the different activities and increased realization of benefits.

Key principles of 10YFP programme portfolios

- Programme portfolios consist of initiatives and resources that contribute to the programme's objectives (or any other strategic document adopted by the programme), as well as to the 10YFP Indicators of Success
- **"Initiatives" include projects, activities resources and products which may be diverse in nature and scale.** The 10YFP Indicators of Success provides the framework which further defines the nature of activities (e.g. training, outreach, communication, knowledge products, technical tools, policy instruments, reporting systems, education, changes in practices, etc).
- Broadly, programme portfolios may include two types of initiatives:
  i) **Core initiatives: are the principal initiatives of the programme** and are activities initiated, developed or implemented collaboratively under the programme.
     Core initiatives are characterised by the fact that they:
     - Address a core problem/issue;
     - Are developed and implemented jointly by two or more programme actors (co-lead, MAC, partner) and/or funded by the programme;
     - Include innovations and/or elements of scaling up and replication;
     - Aim to support national efforts in shifting to SCP (e.g. supporting implementation national SCP action plans);
     - Should build upon existing experience and/or start-up (co-)funding.
     - Examples include: working groups or projects developed/established by the programme, collaborations on or scaling-up of existing initiatives facilitated by the programme, activities developed and implemented by the co-leads of the programme, Trust Fund projects, etc.
     - Whereas this document mainly outlines the principles around the initiatives included in the portfolio, the activities undertaken by programme co-leads specifically to advance the programme are also considered "core activities". Programme co-lead organisations may also have initiatives that are not specifically designed to advance the programme, in this case the definitions of core and affiliated initiatives will apply.
  ii) **Affiliated initiatives: activities of the programme actors** (co-leads, MAC or partners) which contribute to the objectives of the programmes and its work areas. Affiliated initiatives are characterised by the fact that they:
     - Are relevant projects, activities and tools of programme actors
     - Are activities of programme actors, implemented by at least one programme actor;
     - Are promising practices with high replication and scaling-up potential;
     - Make a contribution to the shift to SCP at global, regional, national or local level;
     - Should only be initiatives that are already being implemented or have secured full (or at least partial) funding and which are already under implementation.
     - Examples include: tools developed by partners, successful practices developed or tested by partners; successful policies designed and implemented by partners, etc.

The overview of affiliated initiatives may also enable the programme to identify practices that can be scaled-up, highlighting potential areas of collaboration between programme actors and identifying key gaps in advancing the programme's objectives.

- **Scaling up and fostering best practices within the portfolio** is further defined in Annex I.
- **The criteria and methodology for inclusion of initiatives in the programme portfolio are defined by the programmes**. The Criteria defined by the Sustainable Food Systems programme are provided in annex 2, as an example.
- Relevant resources, products and practices that were developed before the programme was launched but that are in use during its lifetime can be included in the portfolio, in particular for those with a strong replication and scalability potential (e.g. SCP practices, training modules, etc.).
- Portfolio initiatives report annually on the 10YFP Indicators of success on SCP. The methodology and reporting process defined in the 10YFP Indicators of Success framework will apply. This includes that programme actors report on their relevant initiatives and resources; the programme coordination desk quality control the reports; and the secretariat collects and analyses the data at 10YFP-wide level.
- Portfolio initiatives may contribute to several 10YFP programmes; in this case it will always have a primary link to 1 programme (the programme under which the initiative was developed and under which it is implemented) and secondary links to other programmes (if and as approved by the concerned programme) to avoid double counting.
- The programme co-leads and MAC have a key role in structuring, filtering and organizing initiatives within the programme portfolio.
- The principles and terminology will apply in particular for communications between programme coordination desks, secretariat and beyond. Flexibility and adapted terminology may be envisaged for different or specific audiences.
- The principles can be revised as needed in a coordinated effort of the programme coordination desks and the secretariat.

Key tools to support programme portfolios

Tools that support the portfolio development:
- 10YFP indicators of success help to frame and harmonise the portfolios;
- The annual reporting ensures the minimum yearly contribution of partners and monitors overall progress;
- The SCP clearinghouse provides the platform to manage the portfolio and to offer visibility to the initiatives and programme actors;
- The inventory of national SCP action plans and regional roadmaps on SCP provides the information on national priorities in the shift to SCP.

In consideration that the "10YFP is the network", all 10YFP actors are expected to contribute to the objectives of the 10YFP and the shift to SCP. The tangible contribution is determined through their initiatives included in the portfolios. 10YFP actors are expected to report annually on their initiative(s) through the 10YFP indicators of success reporting system.
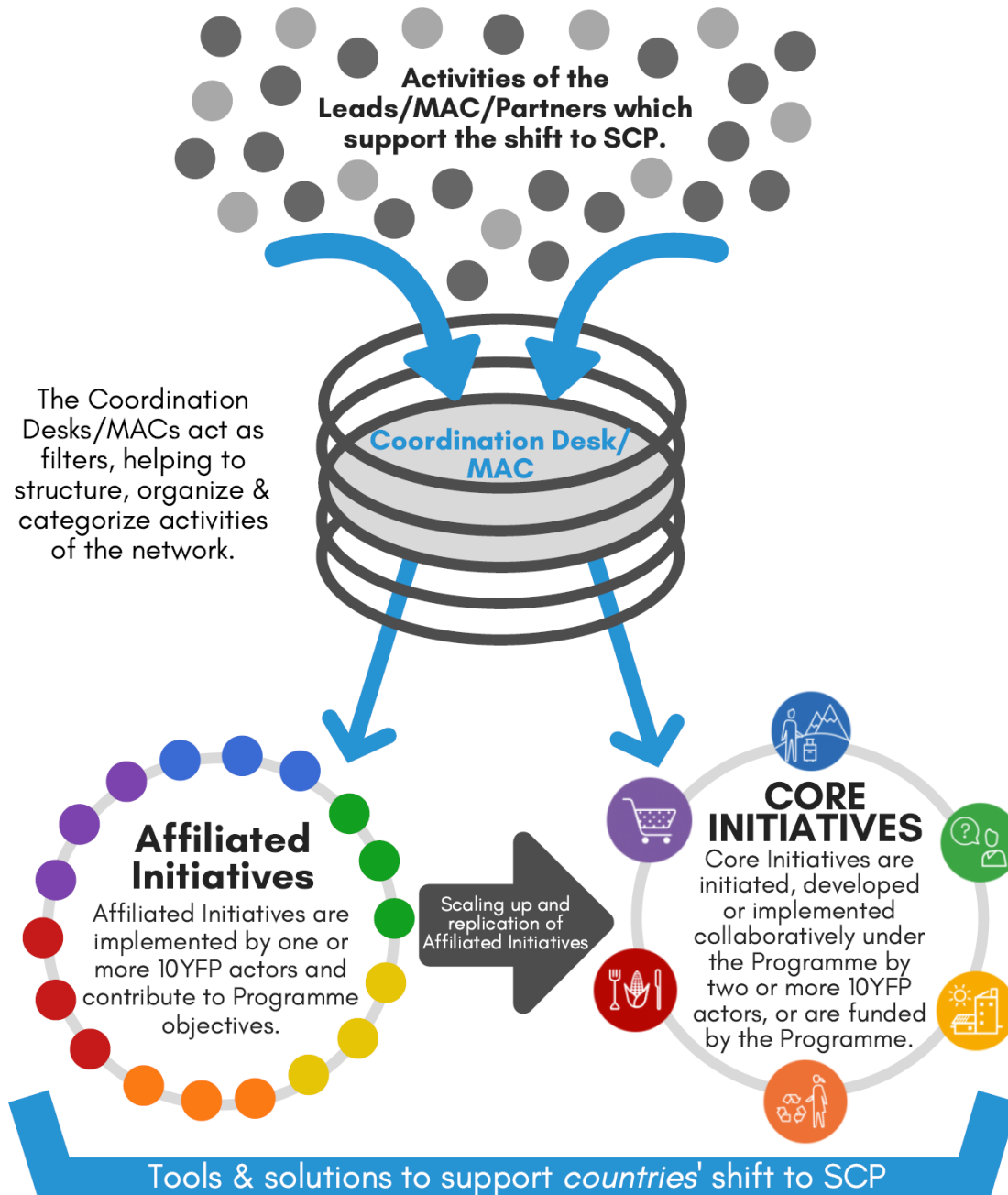
Figure 1: Programme portfolios: the 10YFP network in action

The programme co-leads, coordination desk and MAC have a key role to play in identifying synergies, supporting collaboration, scaling-up and replication; including by:

- Facilitating the inclusion of relevant initiatives in the programme portfolio, as per the relevant programme specific processes;
- Include relevant initiatives from their own organisations in the programme portfolio, in line with the relevant programme specific processes;
- Jointly with the MAC, organise overview of the portfolio, identify synergies and facilitate cooperation between different initiatives or programme actors, identify gaps and facilitate the initiation of working groups or initiatives led by programme actors.
- A number of programme coordination desks have highlighted that there is a responsibility of the programme in keeping track of the global trends related specifically to the programme objectives. Whereas it is acknowledged that the coordination desk, with support from other actors, cannot track exhaustively all ongoing activities globally, it may be relevant to consider future activities such as the "Global review of SPP policies" as part of the programme core activities.
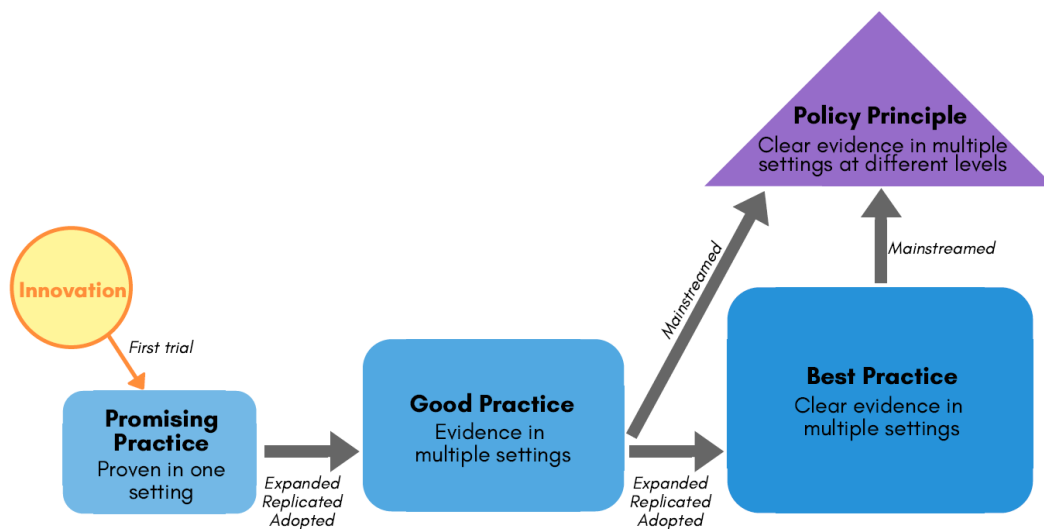
Benefits in contributing to the programme portfolio

Value for actors in contributing to the programme portfolio through their activities include:

a) Directly contribute to an implementation mechanism of Agenda 2030 on Sustainable Development;
b) Include their tools and practices as part of the tools and solutions that the programme network can offer to support countries in the shift to SCP;
c) Receive early access to the deliverables of the programme;
d) Influence sustainable consumption and production approaches, policies and practices;
e) Apply practices with the support of communities of practice that drive change in this area;
f) Participate in regional and global Sustainable Consumption and Production communities;
g) Strengthen visibility of initiatives;
h) Benefit from the programme network's support – for instance in facilitating collaboration, networking, offering technical advice, etc.

Annex I - Scaling up and fostering best practices within the portfolio – Adapted from the Sustainable Lifestyles and Education draft guidance document.
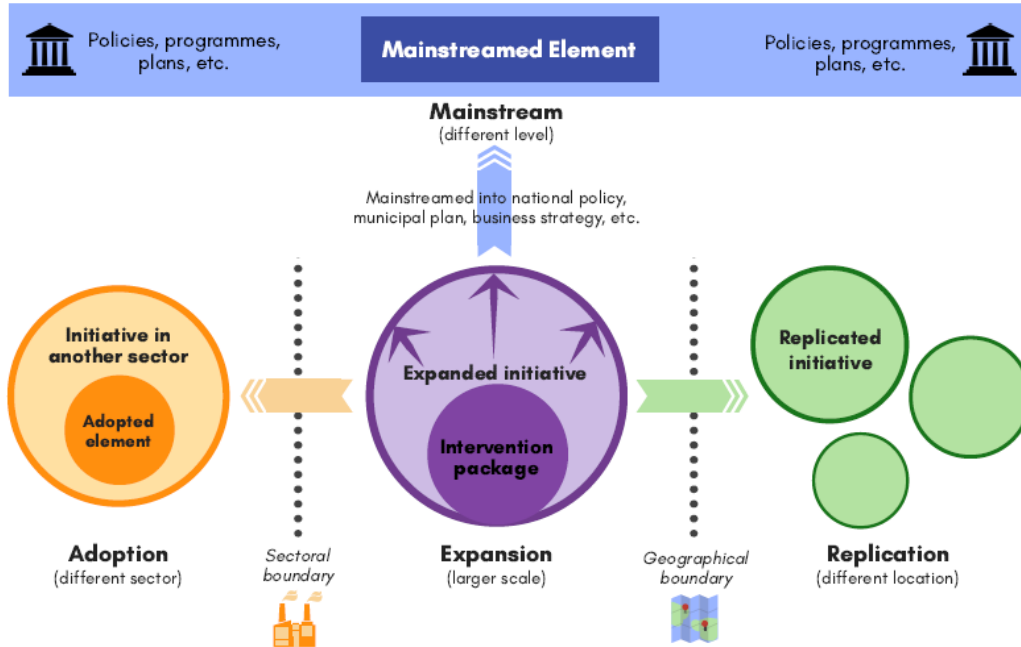
Understanding the initiatives being implemented within a network is essential in identifying, replicating and scaling-up best practices leveraging and building on capacities already existing. The programme portfolio provides the basis for the identification of best practices (e.g. within core and affiliated initiatives) that can be scaled-up or replicated through the Programme.

Programme portfolio initiatives may be innovations (completely new ideas), promising practices (proven in one setting) or even good practices (proven in multiple settings) – by building on and leveraging the expertise of partners such initiatives may be replicated or scaled up in collaboration with other partners in the network to become best practices or implemented as policy principles. It is the programme's function to identify such opportunities to further develop innovations, promising and good practices into best practices and policies that are more widely implemented, providing clear evidence in multiple settings and at different levels of the initiatives influence and potential in shifting towards SCP.

Figure 2. From innovation to Best Practices and policy principles (Source: Watabe & Koide "A Framework for Assessment of Impacts and Scalability of Projects Contributing to Sustainable Societies", in press)

Core and affiliated initiatives may be scaled up in different ways depending on the relevance of that specific initiative, either by adopting the initiative into a different sector, replicating it in another location, expanding the initiative to have impact on a larger scale, or by mainstreaming the initiative into policies, programmes or plans at a more structural level of governments and organisations.

Figure 3. Four dimensions of scaling-up (source: (Source: Watabe & Koide "A Framework for Assessment of Impacts and Scalability of Projects Contributing to Sustainable Societies", in press)

Annex 2 – 10YFP Sustainable Food Systems programme project types and criteria – November 2016

The SFS programme has two different categories of projects: core initiatives and affiliated projects/activities.

<u>Core Initiatives</u>
Core initiatives are the principal projects of the SFS programme. They contribute to the SFS programme objectives, are in line with its work areas and priority activities and are developed and implemented jointly by a group of two or more Programme members (co-lead, MAC member or Partner). Core initiatives use the 10YFP SFSP programme logo, and are included in the Programme's work plan.
The criteria for the identification and selection of core initiatives are:
1. Address a core problem related to sustainable food systems: fall under the focus themes as agreed on by the MAC and be cross-cutting among different work areas, linking several elements of food systems from production to consumption.
2. Need to have levers of change: the potential to be a game changer (have the potential for scale).
3. Preferably be of relevance to both developed and developing countries and address several national or regional contexts (or have the potential to be transferred to other national or regional contexts)
4. Develop and/or disseminate innovative solutions through multi-stakeholder collaborations
5. Build upon existing experience and/or start-up (co-) funding from the alliance developing the proposal.

Project proposals for the core initiatives are screened by the Coordination Desk according to these criteria. Subsequently, the proposals will be technically evaluated and endorsed by the Multi-stakeholder Advisory Committee (MAC). Project lead organisation of core initiatives report regularly to the Programme's Coordination Desk and MAC on the implementation status and Progress.

<u>Affiliated project/activity:</u>
Affiliated projects/activities contribute to the SFS Programme objectives, are in line with its work areas and priority activities and are implemented by at least one programme member. Affiliated projects/activities (such as projects, activities, events, publication, etc) will be allowed to use the 10YFP SFS Programme logo and are included in the annex of the Programme work plan.
Project proposals for affiliated projects/activities are evaluated by the Coordination Desk, according to the evaluation criteria for the use of the 10YFP logo, and approved by the MAC, based on the Coordination Desk's recommendation. Only projects/activities that are already being implemented or have secured at least partial funding allowing them to be readily implemented, can become affiliated.

Annex 3 – Examples of efforts that may strengthen the engagement of programme actors in the programme portfolio

Efforts that may strengthen the engagement and buy-in of current actors, include:
- Joint development and implementation of the workplan, identifying synergies, facilitating cooperation;
- Demonstrate that initiatives in the portfolio are part of a broader UN mandated framework;
- Provide visibility through various means, including the use of the logo, the SCP clearinghouse and relevant publications;
- Tailor language and demonstrate the value of joining the programmes;
- Work with the network to understand what solutions are available and where there are gaps;
- Encourage programme actors to lead working groups they initiate or have expertise on;
- Identify synergies and encourage cooperation between different programme actors;
- Enhance cooperation with 10YFP National Focal Points to recruit partners nationally and to gain more insights into national level networks;
- Portfolio initiatives and resources are granted the use of the 10YFP logo
- Portfolio initiatives and resources reported by programmes actors through the 10YFP indicators of success system are included in the 10YFP report to the High-Level Political Forum on Sustainable Development.
- Best practices identified may be further highlighted in other fora.

Annex 4 – Programme portfolio definitions

- Portfolio: Programme portfolios, and the initiatives and resources they include, can be considered as the products or the solutions the programme offers (or is developing) to support countries in the shift to SCP. It is the collection of a programme's network activities that align with the principles and contribute to the objectives of the 10YFP. The portfolio approach helps structure, organize and manage the activities of the network.
- Initiatives: individual initiatives of one or more programme actors which contribute to forming the programme portfolios. Initiatives within programme portfolios include: projects, activities, resources and products; which may be of diverse nature and scale. The 10YFP indicators of success provide the framework which define further the nature of activities. There are two types of initiatives in programme portfolios: core initiatives and affiliated initiatives.
- Core initiatives: are the principal initiatives of the programme and are activities initiated, developed or implemented collaboratively under the programme. They address a core problem/issues and include innovations and/or elements of scaling up and replication.
- Affiliated initiatives: activities of the programme actors (co-leads, MAC or partners) which contribute to the objectives of the programmes and its work areas.
- 10YFP programme actors or members: all actors or members of the programme network, including leads, co-leads, coordination desks, multi-stakeholder advisory committee and partners
- 10YFP network: the "10YFP is the network" - the network of the 10YFP consists of all actors involved in the programmes, the national focal points, the interagency coordination group, the Board and the Secretariat.

- If necessary and to ensure flexibility, the terminology defined for these key principles may be adapted by for different audiences or for external communication purposes, with the understanding that the above terminology and definitions will apply in communications between programme coordination desks, secretariat and beyond.