Chapter 2

MULTI-STAKEHOLDER POLICY FORMULATION AND ACTION PLANNING ON URBAN AGRICULTURE

Introduction

Multi-stakeholder processes are increasingly considered to be an important element of policy design, action planning and implementation. By involving multiple stakeholders in decision-making, it is much more likely that policies and programmes will be developed that are more inclusive and more successful in their implementation. This chapter seeks to describe the characteristics, benefits and challenges involved in setting up and managing multi-stakeholder processes and will illustrate the approach taken and lessons learned by RUAF partners in 20 cities who have been involved in such processes in the past five years (2004–2008).

Characteristics of multi-stakeholder policy formulation and action planning

When a government collaborates – preferably from an early stage – with other stakeholders such as citizens, farmers, civil organizations, private sector companies and other governmental entities in the preparation, implementation and evaluation of policies and related action plans, we speak of participatory and multi-stakeholder policy and action planning (MPAP).

Our municipal administration assumed from the start the challenge to fight against poverty and create new policies and programmes based on consultative, participatory and democratic processes of policy formulation. The policies and programmes that have been developed respond to the needs expressed by the population to combat hunger,
environmental degradation, analphabetism and urban violence. One of the programmes created is the Zero Hunger programme. Also, a municipal sub-department of urban agriculture was created to promote urban agriculture in the municipality. I would like to reaffirm our commitment to keep working together with our citizens, community-based organizations, and public and private institutes towards the further development and modernisation of urban agriculture to improve our municipality and, most importantly, the quality of life and well-being of its population (Dr. Washington Ipenza Pacheco, Mayor of the Municipality of Villa Maria del Triunfo, Lima, Peru, 2006).

The multi-stakeholder policy formulation and action planning approach was developed in the 1990s in the context of the UNEP Local Agenda 21 programmes and the UN Habitat city consultation strategies (UN Habitat and UNEP, 1999).

The concept of stakeholders has emerged in recent decades as crucial for understanding decision-making and policy formulation on a wide range of issues. It supplements (and to a certain extent supplants) the related concept of actors. ‘Stakeholders’ refers to all individuals, groups and organizations that play a role in a policy process and have an interest in the policies or plans that are to be developed, either as individuals or as members of a group or organization. This includes people who influence a decision, or can influence it, as well as those affected by it.

If a participatory and multi-stakeholder approach is chosen, action plans and policies are formulated in collaboration with and interaction between a local (or national) government and other relevant stakeholders, including citizen groups, community-based organizations (CBOs), non-governmental organizations (NGOs), municipal departments, regional or national governmental organizations, credit institutions, private enterprises, etc. This collaboration must surpass ‘window-dressing’ and mere informative or consultative forms of participation. Instead, the goal is to establish ‘partnerships where degrees of decision-making are increased, trade-offs are made and responsibilities shared; decision-making capacities are transferred to non-governmental groups; and where community groups share control of all stages of planning, policy-making and management, including funds’ (Arnstein, 1969).

In this perspective, multi-stakeholder policy and planning processes are characterized by the following:

• participation of both governmental and a variety of non-governmental actors in joint policy-making and action planning;
• a variety of non-governmental actors are given an equal chance to contribute to the preparation, implementation and evaluation of a policy and related action plans;
• an open and transparent process;
• final decisions honour – to the greatest extent possible – the contributions from the various actors involved.
For sustainable urban agriculture development, such multi-stakeholder participation is particularly important, since urban agriculture involves a large diversity of direct actors (e.g. input providers, vegetable producers, fish or livestock farmers, micro-entrepreneurs, traders and retailers) and touches on a large number of urban management areas (e.g. land use planning, environmental and waste management, economic development, public health, social and community development, housing programmes and management of parks and green structures). Urban agriculture can thus be understood as a cross-cutting issue involving a wide range of often disconnected actors or stakeholders. To be effective, any urban agriculture policy or programme should address the needs and specific conditions of the different stakeholders as well as the specific socio-economic and political-institutional context in which it will have to operate.

The multi-stakeholder planning process is normally built around the following phases (UN Habitat and UNEP, 1999):

- diagnosis, assessment and stakeholder inventory;
- consultation to confirm political support and consolidate stakeholder participation;
- joint strategy development and action planning;
- implementation;
- follow-up and consolidation;
- integrated monitoring and evaluation.

Benefits of the application of a participatory and multi-stakeholder approach include the following (Hemmati, 2002; Partners and Propper, 2004). A multi-stakeholder approach contributes to more participatory governance, encourages public–private partnerships, and helps overcome distrust and bridge the gap between citizen groups and the government. The approach improves the quality of the diagnosis of the actual situation and the decision-making on the courses of action needed. This comes about through a better understanding of priority issues and the needs of different stakeholders involved and a better linking of different sources of knowledge, information and expertise. Moreover, there is a greater likelihood of success and sustainability of implementation through enhanced acceptance and ownership.
of the policy, improved mechanisms and processes for coordination of the implementation and by mobilizing and pooling scarce human, technical and financial resources. Finally, the approach strengthens the problem-solving and political lobbying capacities of the participating institutions and contributes to the empowerment of citizens’ groups (in this case especially resource-poor urban producers).

A major aim of the application of the multi-stakeholder approach is to contribute to building participatory and democratic governance in cities. Multi-stakeholder policy and planning processes are based on principles of participation, ownership and commitment, mutual trust and collaboration (in planning, decision-making and control). They are thus, in fact, political processes through which power relations are redefined and (if well organized) lead to a more participatory governance and increased participation of civil society in decision-making. But even in cases when the multi-stakeholder process does not lead to a stronger role of civil society in decision-making, it may well prove to have very positive impacts. For example, in China, evaluation of the MPAP process on urban agriculture in three cities showed that although the direct involvement of the urban producers in the planning process was minimal, it was positively evaluated by all concerned since it was particularly instrumental in enhancing a higher participation of civil servants and a better coordination within the government sphere: among the various government sectors that play a role in urban agriculture (urban planning, agriculture, land and water management, recreation and parks, etc.) and between the various tiers of government (local, regional, central).

Participatory and multi-stakeholder processes of policy formulation and action planning also present some challenges, which should not be underestimated. Such processes require skilled facilitators and sufficient financial means; they also may require more time than conventional approaches, not least to allow for changes that may be required in institutional cultures. They may also lead to an undue increase in the influence of some stakeholders, for example, those that have a higher capacity to actively participate in the process and to convince other stakeholders. It may prove difficult to build true participation among stakeholders who may never have worked together, have had conflicts in the past, hold strongly differing views on the key issues at stake or are not interested in new forms of collaboration and management.

Moreover, the experiences gained to date point out that the results of multi-stakeholder policy and planning processes can be disappointing if the MPAP process is not properly managed. Causes of a low degree of success of a multi-stakeholder process that are often mentioned are the following:

- insufficient preparation and planning of the process;
- insufficient embedding of the process in participating institutions; and
- lack of transparency and communication throughout the process.
That is to say, municipal authorities planning to engage in an MPAP process will require well-designed methods and tools and trained staff to successfully implement a multi-stakeholder policy and action planning process.

**Important elements of a successful MPAP process**

Analysis of the experiences gained in UNEP Local Agenda 21 programmes and the UN Habitat city consultation strategies (UN Habitat and UNEP, 1999) demonstrate that successful multi-stakeholder policy and planning processes should integrate the following elements:

**Enhancing awareness in participating organizations**: before starting a multi-stakeholder policy and action planning process, one should first reflect on the following questions.

Is there sufficient room for new ideas and for a style of working that is different from the current style of operation within the local government and the other organizations that will be involved in such a process? In other words, is there really room to develop plans and policies in a participatory way together? Are the stakeholders prepared to engage in dialogue and to change their current ideas and plans based on inputs provided by other actors? Are they committed to implement the outcomes of the joint planning process? Is there sufficient trust among the different stakeholders? Is the government involved willing to cede part of its ‘power’ and allow for public participation in policy making?

If such questions cannot be answered positively, one should first undertake activities to build up mutual trust and to create more ‘room for manoeuvre’ and commitment for the multi-stakeholder process as described below (or abstain from the plan to engage in such a process).

**Capacity building** among stakeholders for the development of participatory processes of diagnosis, problem identification and the implementation of solutions according to previously established priorities, conflict mediation and negotiation, policy design and joint implementation of actions, systematization, monitoring and control of municipal policy changes.

**Continuous building of trust and cooperation** among the main actors during the process (building commitment). Permanent and transparent information flows among the different stakeholders is crucial in this respect, as is communication on the implementation and results of agreements that are made. Commitments among different actors can be formalized by means of an inter-actor agreement or any other formal arrangement for promoting transparency and institutionalization of the process.

**Policy making as well as joint action planning and implementation**: efforts to establish policies before initiating action planning/implementation often result in policies that do not work due to lack of political will, lack of resources or severe distortions during translation into actions later on in the process. On the other hand, actions that are not translated into
adequate guiding/facilitating policies tend to stay rather localized with few or less sustained impacts on the livelihoods of larger segments of the population.

**Shared budgeting and resource mobilization** through incorporation of priority actions into the operational plans and budgets of the various participating organizations and institutions. For example, the inclusion of urban agriculture in the municipal budget was an essential component in the promotion of urban agricultural activities in Rosario (Argentina), where the City Council guaranteed resources for promotion, training, and marketing activities (Cabannes et al., 2003). Dependence on external (project) funding will severely limit, delay or even inhibit the possibility of implementing the developed action plans, leading in turn to conflict, distrust, de-motivation and finally a break-up of the entire process.

**Early implementation of initial actions (such as pilot projects, new techniques) at local level**: actions that produce tangible results help to reinforce the commitment and participation of those involved and inform public policy-making. It is useful to develop, from the outset of the process, pilot projects or actions that produce outputs or have an impact in the short term, in order to create a positive environment for more complex and long-term processes.

**Multi-stakeholder policy formulation and action planning on urban agriculture**

Based on a systematic review of the earlier experiences developed by UNEP and UN Habitat, RUAF partners have over the past years developed their own methodology for multi-stakeholder policy formulation and action planning for urban agriculture. Urban agriculture MPAPs have been undertaken in 20 cities in 17 countries. The process they followed has been built around the following phases (see also Figure 2.1):

1. preparatory activities;
2. situation analysis;
3. broadening commitment and participation;
4. establishment of a multi-stakeholder forum on urban agriculture;
5. development of a City Strategic Agenda on urban agriculture;
Preparatory activities. Within the RUAF partner cities (mainly capital cities or other large cities) a municipality (or district) was identified that was interested to undertake a multi-stakeholder planning process on urban agriculture. The territory of that municipality would be selected as the focus area for the MPAP. A basic agreement was established between a restricted number of organizations committed to jointly implement the MPAP process in this municipality regarding the main principles of the MPAP, working procedures, communication strategies and staffing and financial aspects. A facilitating team (or MPAP core team) was established and the participating staff were trained in the MPAP process and tools and a work plan was made for the team.

Situation analysis. The facilitating team (sometimes with the support of contracted university staff or consultants) reviewed available secondary data, made an inventory of the main stakeholders in urban agriculture and analysed their main interests in and views on urban agriculture as well as their actual and planned activities in this field. Existing agricultural land use was mapped and available open spaces in the city were identified and classified. After identification of the main urban farming systems in the city, participatory rapid analysis techniques were applied to identify main problems and potentials of each of these farming systems. Also, the existing policies, norms and regulations regarding urban agriculture were critically reviewed. To some extent also the local and regional economic, political and funding environment was analysed. On the basis of the situation analysis the key issues to be addressed in policies and programmes on urban agriculture could be identified as well as potential courses of action.

Broadening commitment and participation. In this phase the findings of the situation analysis were shared with a wider group of stakeholders and actions were undertaken to involve them in the MPAP process and/or strengthen their commitment.

Establishment of a multi-stakeholder forum on urban agriculture. A multi-stakeholder forum on urban agriculture was established in each partner city. The forum provides a mechanism to bridge the communication gap between the direct stakeholders in urban agriculture and the institutional actors. In the platform the dialogue on the actual situation of urban agriculture and the policies and programmes needed were taking place and the platform coordinated the next steps in the process of policy development and action planning and implementation, with the support of the core team. The platform was also instrumental in mobilizing resources for the realization of the concerted plans, the integration of these plans within the programmes of the participating institutions and the coordination and monitoring of the implementation of the concerted city agenda on urban agriculture. The relation between this forum and the municipal authorities was different in each city.
Development of a City Strategic Agenda on urban agriculture. The multi-stakeholder forum partners, supported by the core team, developed a City Strategic Agenda on urban and peri-urban agriculture. The Agenda outlines policy objectives and key issues in urban agriculture on which the city wants to focus. It also describes proposed policies and intervention strategies needed for further development of safe and sustainable urban agriculture. The City Strategic Agenda forms the basis for the elaboration of new laws and regulations on urban agriculture and detailed action plans at a later stage. The level of detail and operationalization of the City Strategic Agenda varied greatly.

Operationalization. In this phase the forum members (in various sub groups) further developed the project profiles included in the City Strategic Agenda operational project plans, including the budget. The required changes in the actual policies, by-laws and norms and regulations on urban agriculture were prepared in detail. Also, the sustainability and consolidation of these projects and policies was sought through their inclusion into institutional programmes, and their integration into existing plans (e.g. city strategic development and zoning plans) and budgets. Such ‘institutionalization’ of urban agriculture often also included the establishment of specific urban agriculture programmes or unit within the municipality and other institutions and the development of new mechanisms for the allocation of resources (e.g. inclusion of urban agriculture in the ‘participatory budgeting’ scheme of the municipality or creation of specific tax regulations for urban agricultural producers). These activities were coordinated in periodic multi-stakeholder forum meetings (or with the core team).

Implementation and monitoring; adaptation/innovation. The various stakeholders, each according to their mandate and resources, took responsibility for implementation of the various planned activities and the monitoring of their results.

During periodic meetings of the multi-stakeholder forum or its core team, progress regarding the implementation of the City Strategic Agenda is reviewed and monitoring results are shared. Where needed, the strategies of the City Strategic Agenda are adapted or new elements are added. The degree of implementation of the City Strategic Agenda varies from city to city.

The duration of the MPAP process varies widely and is influenced by the degree of commitment of the forum members, the complexity of the issues and other factors. Sometimes tangible results become visible within a relatively short time period, whereas in other cases it may take some time before things start falling into place. In Accra, Ghana, for example (see the ‘Gradual institutionalization of urban agriculture in Accra, Ghana’ case study in Chapter 3), it took two years to create a sufficient basis for policy change and the development of the Strategic Agenda. It was only in the third year that bye-laws on urban agriculture were actually revised and changes were made in land use plans, integrating urban agriculture within the zoning plan as a legitimate urban land use.
Each of the seven MPAP phases are described in further detail below and experiences are provided from the RUAF partner cities.

**Phase 1: Preparatory activities**

**City and MPAP focus area selection**

Selection of a partner city and MPAP focus area was carried out by preparing a short ‘City Dossier’ on potential partner cities. Basic selection criteria include: 1) The current presence of urban agriculture and the availability of vacant land for urban agriculture; 2) The potential for urban agriculture to contribute to food security, poverty alleviation, local economic development and improved environmental management and adaptation to climate change; 3) The presence of good local MPAP partners (with organizational expertise in urban agriculture, in participatory action-research, in policy design and project formulation etc.); 4) Initial local government interest and commitment to participate in and contribute to an MPAP on urban
agriculture; and 5) A period of at least two years before the next governmental elections (so that at least a City Strategic Agenda can be formulated and approved and a multi-stakeholder forum put in place that will be strong enough to continue working and to lobby for new political support after possible changes in government take place following the elections).

Especially when working in a larger city or metropolis, which often consists of various municipalities, or when working in a larger municipality consisting of different municipal departments or administrative zones, it proved important to select one focus area (preferably independent, with its own decision-making structure and budget) for the MPAP. It proved difficult to implement an MPAP directly at the level of the metropolis (like in Hyderabad, India or Lima, Peru) and far easier to start working at a lower and smaller level of administration, and undertake upscaling activities at a later stage, backed by the experiences and results gained in the selected focus area (see, for example, the ‘Enhancing urban producers’ participation in policy making in Lima, Peru’ case study in Chapter 3). In view of future upscaling it is important that, in the selection of the focus area, its degree of representativeness of the whole city is taken into account in terms of its population density, types of urban agriculture encountered, and socio-economic status of its population, etc.

**Establishment of a local MPAP facilitating team**

To start the MPAP in the selected city or focus area, a local MPAP core or facilitating team was formed. This team is responsible for coordinating, planning, organizing and implementing the MPAP process and facilitating and strengthening dialogue with the larger group of stakeholders who will become involved in further communication, analysis, action planning and policy design. Most local MPAP teams integrated community members/urban producers, NGO or University staff and (local) government representatives from the start. Representatives of urban producers provided insights into their experiences, views and needs, and facilitated the identification of the urban agriculture systems in the city. NGO and University staff brought in action-oriented research tools and methods and often facilitated the dialogue between producers and government representatives. Local government representatives helped with access to certain information (for example, statistics on food production, land use maps, laws and regulations related to urban agriculture) and provided support in describing and analysing the legal and institutional context in which urban agriculture is taking place or will take place in the near future (depending on strategic city development plans, for example). Choosing a small and manageable team composed of one or two representatives of each one of the main categories of actors has proven the most appropriate. The team members liaised with other staff in their organization.

In some cities, such as Cape Town, South Africa, a separate management committee has been set up – next to the MPAP team – made up of directors/coordinators of the institutional partners and governmental administration involved. This committee acted as an overall
supervising body and ensured institutional commitment and institutional backing for the staff in the core team.

The MPAP teams agreed on meeting schedules to regularly discuss implemented activities, progress, problems encountered, lessons learned and recommendations. Minutes were made on decisions taken and actions planned in each MPAP team meeting and were shared among all team members and with their organizations. This facilitates monitoring of team performance and stimulates implementation of the agreed activities by team members.

**Awareness raising and formalizing commitments**

Awareness raising might be needed regarding the multi-stakeholder approach itself (process, costs and benefits) as well as urban agriculture (its presence, potential and constraints, and the need for policy intervention). Awareness raising will especially be directed to councillors and other political leaders, heads of municipal departments and senior staff of support organizations and opinion leaders (university, press). RUAF partners paid a lot of attention to such awareness raising on urban agriculture by providing adequate data and information on the role of urban agriculture in sustainable city development, its potential positive and negative impacts (fact sheets) and its contributions to existing policy goals (policy briefs), as well as by providing examples of policies and programmes of urban agriculture implemented by other cities. Policy awareness seminars to brief local councillors, heads of departments and other key stakeholders turned out to be a very effective instrument. Additionally, taking such persons to the field to meet with urban farmers, organizing city to city exchanges or study visits on urban agriculture and publishing on urban agriculture in the local media (newspaper article, video on TV, radio programme) are other effective strategies that have been used.

In some cities, the heads of the organizations participating in the local MPAP team and/or a main decision-maker (e.g. the Mayor) made a formal statement laying out their policy intentions regarding urban and peri-urban agriculture and their support to the formulation of an urban agriculture policy and action programme on urban agriculture through a participatory and multi-stakeholder process (see, for example, the declaration formulated by the programme committee in Serilingampally, Hyderabad, India (Box 2.1)).
Box 2.1 Declaration on promotion of urban and peri-urban agriculture in Serilingampally, Hyderabad, India

Our vision is to contribute to the reduction of urban poverty and food insecurity through sustainable urban- and peri-urban agriculture (UPA) and to stimulate participatory and gender-inclusive governance for the municipality of Serilingampally, Hyderabad.

We acknowledge that:

- UPA is a widely practised activity in and around towns and cities within the region on parcels of land with alternative competing uses;
- UPA has generally been practised informally without appropriate policy, legislative and institutional frameworks;
- UPA will continue to play a significant role in addressing food security, employment creation and income generation, health and nutrition and improving the economies of urban areas; some governments in the region have made significant progress in incorporating UPA in their urban development plans, and others are now beginning to rise to the challenge.

Recognizing the existence and increasing practice of UPA and also noting the many challenges that it faces, including:

- the absence of, inadequacy of and / or inconsistency between the policies, legislation and institutional arrangements for regulating UPA;
- the limited availability of and access to resources;
- the lack of sufficient research, documentation and information-sharing, both nationally and regionally;
- the need for environmental sustainability.

Accepting, that the foregoing challenges require immediate and prudent reform of policies, legislative and institutional arrangements in order to effectively integrate UPA into planning activities in the municipality of Serilingampally, Hyderabad.

We therefore,

call for the promotion of a shared vision of UPA that takes into account the specific needs and conditions in the municipality of Serilingampally, Hyderabad, and accordingly commit ourselves to developing policies and appropriate instruments that will create a gender-sensitive enabling environment for integrating UPA into our urban planning processes.

Signed by:
Mr. S.A. Kadhar Saheb, Municipal Reform Officer (SWM) Hyderabad;
Mrs. Gayatri Ramachandran, DG EPTRI;
Ms. Anna Matthew, Principal Ruda Mistry College;
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Source: International Water Management Institute, 2006
Training and work planning

Once the local MPAP teams had been put in place, team members as well as representatives of the different key stakeholders who were to take part in the MPAP process were trained in principles, process and methods of the MPAP process.

RUAF applied a two-tier approach to MPAP training. First, regional Training of Trainers (ToT) workshops were organized to train selected regional and local trainers in the various subjects. The ToT also served to harmonize understanding of the various definitions, concepts and frameworks used, as well as to strengthen capacities of the trainers on adult-learning methods. The trainers who were trained were made responsible for organizing the MPAP training/planning workshops for the core teams in each of the RUAF partner cities. They also translated the various training modules and adapted these to the local conditions.

The MPAP training and planning workshops for the core teams were split into blocks. In most cases, the first block dealt with a general introduction to urban agriculture and to the MPAP process and methods, with emphasis on situation analysis and stakeholder motivation. During the following training and planning workshops the other phases of the MPAP process, such as the setting up of a multi-stakeholder forum, development of a City Strategic Agenda on urban agriculture, operationalization (project planning, revision of norms and regulations) and implementation/monitoring were dealt with in detail. In each workshop the training on a specific phase was directly linked to the planning of the work to be done by the core team to prepare and implement each phase of the MPAP process, identifying the activities to be implemented, roles and responsibilities, time-schedules, budgets, monitoring and communication procedures.

Lessons learned regarding the preparatory phase

Need for clarity on expected results and decision-making procedures. From the very start of an MPAP, there should be clarity regarding the results expected from the process and what will be done with these results. What will the MPAP, in a specific time-period, realistically achieve in a given local situation? To what extent will it be possible to advance in the formulation and adoption of revised or new bye-laws or regulations, or in the setting up of a new urban
agriculture programme or unit? How will the City Strategic Agenda be implemented and with what sources of funding?

It will also be important to clarify how and by whom formal decisions regarding adoption and implementation of proposed policies and action plans will be taken. In Bulawayo (Zimbabwe), for example, it was agreed that the City Strategic Agenda would be developed by the multi-stakeholder forum on urban agriculture. The Agenda was then presented to one of the Municipal Council Committees that reviewed the proposals and made certain adaptations and subsequently presented the plan to the full Municipal Council for its approval and formalization. The council approved the plan and made a budget available for its implementation (see the ‘Joint action planning on urban agriculture in Bulawayo, Zimbabwe’ case study in Chapter 3).

Importance of organization, building trust and mutual respect. The MPAP process should be well organized from the start with a clear time-schedule, division of labour and agreements on funding. The MPAP core team should ensure that sufficient financial and human resources are made available for the realization of the MPAP process (including local coordination, situation analysis, team meetings, forum meetings, monitoring). Preferably, some funds should also be made available for the implementation of some ‘early implementation’ activities during the planning process in order to enhance credibility and participation of the urban producers and show concrete results early on in the process.

It is important to work with a committed and capable core team with good skills in facilitation, conflict resolution and inter-institutional coordination.

Institutional commitments and contributions to the process should be clarified and – whenever possible – formalized. Minutes on discussions held, agreements made and results obtained should be shared among all stakeholders to continuously build trust, cooperation and commitment. Mutual understanding and respect should be seen as a basis for dialogue and negotiation.

Specific attention has to be paid to facilitating the participation of the urban producers. Urban farmers are often not at all or only loosely organized and rarely participate in representative bodies. Hence, special efforts are needed in order to involve urban farmers, especially poorer and female farmers, in the multi-stakeholder policy formulation and action planning process. Informal farmer groups and leaders have to be identified and existing farmer groups have to be brought into contact with each other, to present their proposals to the policy formulation process. Moreover, leadership training is required.

In Villa Maria del Triunfo, Lima, Peru, a key factor for the success of the MPAP was the establishment of the Villa Maria urban producers’ network, as further described in the ‘Enhancing urban producers’ participation in policy making in Lima, Peru’ case study in Chapter 3. That
organization proved to be a crucial partner in lobbying for continued local government support for urban agriculture, after a new Mayor had been elected. Unless urban producers groups are organized and obtain some form of formal recognition, it will be very hard for them to make claims on public resources or participate in policy decisions which impact on them.

**Phase 2: Situation analysis**

Before being able to plan for the development of urban agriculture in a given city, it will be important to better understand the present state, potentials and constraints of urban agriculture in that city. In RUAF partner cities qualitative and quantitative information on urban agriculture was collected to better understand:

- the local socio-economic, institutional and legal context in which urban agriculture takes place;
- the variation in urban agriculture farming types, their functions and impacts (positive or negative); and,  
- the locations where urban agriculture already takes place or can take place and its characteristics.

Different tools and techniques were applied to collect the necessary data and information, including:

- analysis of existing literature and research reports and review of available statistics;
- analysis of city maps and available Geographic Information System (GIS) materials, including visits to various parts of the city and its surroundings;
- identification and mapping (e.g. with GIS and local observations) of agricultural activities in the city and of available open spaces that could be used for urban agriculture, and classification of the suitability of those areas according to various criteria;
- interviews with key informants and meetings with representatives of the various stakeholders and farmers;
- Participatory Rapid Appraisal (PRA) exercises (e.g. focus group interviews with different types of urban producers) in selected areas.

In most cases, the initial situation analysis was followed by more focused in-depth studies of specific problems and potential solutions in later stages of the planning process.

The information collected served as a basis for the identification of the main key issues (needs, problems, potentials and opportunities) to be addressed for the development of safe and sustainable urban agriculture in the city, as well as the identification of possible strategies and interventions (information campaigns, training, research, projects, changes in norms and regulations, etc.) to respond to those problems and opportunities and to enhance the contributions of urban agriculture to urban poverty alleviation, urban food security, local economic development, and creation of a better living environment.
The joint situation analysis also contributes to building up the mutual understanding, dialogue and collaboration between different stakeholders in urban and peri-urban agriculture (various types of urban farmers, food vendors, community organizations, NGOs, municipal authorities, urban planners, health authorities, water and waste management authorities, etc.) and to enhancing their commitment to participate in concerted actions regarding urban agriculture.

The situation analysis included four main components, each of which will be further described below:

1. stakeholder inventory and analysis;
2. land use mapping;
3. participatory farming system analysis; and
4. critical policy review.

**Stakeholder inventory and analysis**

The identification of the stakeholders to be involved in the MPAP is crucial. To be effective, as far as possible all institutions, organizations and groups that have a stake in urban agriculture should be identified, including categories of the population involved in urban agriculture and organizations with a regulatory mandate or with relevant technical knowledge. The type of stakeholders involved in urban agriculture and their level of participation in the process will vary depending on local circumstances. It is important to identify (by means of literature and web searches, questionnaires and interviews) organizations that can contribute to solving problems encountered by urban farmers and to realizing the development potentials in urban agriculture (see Box 2.2).

In RUAF, the stakeholder inventory is mainly focused on the indirect stakeholders in urban agriculture: institutions, organizations and networks that have expertise and/or resources that can be mobilized for the development of urban agriculture in the city. The analysis of the direct stakeholders (the urban producers) was undertaken in the context of the participatory appraisal of selected urban and peri-urban farming types.

Key questions to identify and analyse the indirect stakeholders in urban agriculture included:

- Which institutions/organizations do play and can/should play a role in the development of urban and peri-urban agriculture? What is their mandate? Where do they work and with whom?
- What are their views on urban and peri-urban agriculture?
- What type of services do they provide (or could they provide) to urban producers?
- What contributions (human and/or financial) can they provide to the MPAP and the future implementation of the City Strategic Agenda?
Box 2.2 Stakeholders in urban agriculture

Local, provincial and national governments play a key role in urban agriculture and are engaged in many areas of service provision and regulation, such as urban planning, land use zoning, water treatment, waste collection and management of green spaces, which have direct interactions with urban agriculture. Therefore, it is essential to involve government representatives in the discussions throughout the MPAP process, in order to acknowledge their opinion and suggestions, overcome possible resistance and gain support for policy review and formulation. An MPAP process that does not involve those who influence decision-making (Mayor, council members, heads of departments, policy advisers) may achieve little in the long term.

Special attention has to be paid here to the different levels of responsibility and decision-making.

The main focus should be on the municipal level. However, the involvement of key actors from other levels may be crucial. For example, the Government of Senegal regulates and controls land use in the cities and its lack of participation in the local MPAP process in Pikine, Dakar, proved to be an obstacle. On the other hand, participation of representatives of the Provincial Government has facilitated the local MPAP process in Gampaha, Sri Lanka and, in addition, allowed for quick upscaling of initial project activities from the municipal to the provincial and even national level.

Interaction between different levels of government is especially important where urban agriculture ‘crosses political boundaries’. Often the peri-urban interface is a highly contested political arena with a wide range of interests vying for influence and resources. At the same time this zone has confusing administrative competences and responsibilities which can easily be exploited. For example, in the case of Lima, there is overlap and ambiguity in the responsibilities of Lima Metropolitan Municipality and of the local district municipalities with regard to land use planning. In this situation it was important that the poverty alleviation and environmental benefits of urban agriculture were constantly communicated to local and metropolitan decision-makers alike (Gonzales et al., 2007).

On the other hand, overdependence on government support should also be avoided. In Gampaha the MPAP has so far been driven mainly by local and provincial government actors, and there the challenge remains to strengthen civil society participation in the MPAP process and encourage stronger participation of the urban producers in the multi-stakeholder forum.

NGOs, community-based organizations and universities

Urban producers may lack expertise regarding specific aspects of urban agriculture (i.e. specific production or processing techniques). Universities and research centres can support the development of appropriate technologies for urban food production and processing and provide methodological and technical support in the situation analysis, planning, and monitoring activities. NGOs and community-based organizations can play a crucial role in organizing the urban producers, linking them with governmental authorities or research institutes, and supporting them during the MPAP process. Such organizations often also play an important role in the design and implementation of specific action projects with the producers. For example, in
Bulawayo, Zimbabwe, various NGOs are active members of the forum and are implementing urban agriculture projects, mainly using their own resources (see the ‘Joint action planning on urban agriculture in Bulawayo, Zimbabwe’ case study in Chapter 33).

Private sector and support organizations
The private sector and support organizations can play a role in facilitating access to inputs and services (e.g. marketing). In Villa María (Lima, Peru), for example, an agreement was signed with the National Electricity Company, whereby the company took responsibility to lease institutional land (lying under power lines) to vegetable farmers free of charge. Also, the participation of financing institutions (including micro-finance institutions and credit-cooperatives) should be considered.

Commercial and subsistence farmers and gardeners and their organizations
It should be borne in mind that urban producers do not form a homogeneous group. Livestock farmers have different interests from horticulture or aquaculture farmers. Commercial farmers differ in their interests from subsistence or hobby farmers. Promotion of different urban agriculture production systems therefore requires different policies and interventions (see the ‘participatory farming system analysis’ sub-section below). Taking into account the expertise, local knowledge and views of different producers and producer groups is important in this regard. As direct stakeholders, urban farmers should also play a key role in project management and coordination, and in the evaluation and control of the activities carried out.

The stakeholder analysis helps to decide which organizations should be involved in the MPAP and to develop a strategy to motivate these organizations to participate in the planning process. It also helps to identify their potential roles in and contributions to the planning process and the future implementation of the City Strategic Agenda on Urban Agriculture.

Land use mapping
Land use mapping in RUAF partner cities was undertaken with a view to answering the following questions:

- What types of urban agriculture are currently undertaken in and around the city (or the MPAP focus area)?
- Where are these various types of urban agriculture practised? Under which tenure systems?
- Are there any vacant open spaces where urban agriculture could possibly take place? What is their accessibility and suitability for urban agriculture?
- What changes in land use are expected or being planned that may affect agriculture in and around the city?

By analysing existing maps and GIS materials the location of the land that is currently in agricultural use (both formal and informal land use) was identified. Then an identification was made of the location and characteristics of available open spaces in and around the city that might be used for urban agriculture (permanent or temporary).

Land is of course a basic requirement for urban food production. Improved access to land for production and more secure land tenure is therefore a primary requirement for urban
producers. The first reaction of many local government officials is that there is no land for urban agriculture available in the city due to high competition from other uses. But analysis of the vacant open spaces in a city normally clearly shows that there is far more land available than is recognized by the city officials. Land that can be used for urban agriculture is not limited to communal or private farms and gardens. For example, riverbanks and roadsides, parks, land under high-voltage electrical towers, flood plains and other areas that are not fit for construction, public and semi-public land around schools and hospitals, empty lots due to speculation and abandoned industrial sites may all be used for urban agriculture (eventually under certain restrictions).

Identification, mapping and analysis of both productive as well as vacant land areas will provide important data such as the area of land already under cultivation, the presence of certain types of urban agriculture, the area of vacant land that potentially can be used for urban agriculture, and its characteristics. The mapping will visualize the presence of urban agriculture, which is important for awareness raising, and will facilitate discussion on the problems and potentials of urban agriculture in various locations. It also provides a basis for enhancing access to land for the urban poor that want to engage in food production and for the integration of urban agriculture into municipal physical planning policies.

**Box 2.3 Mapping urban agriculture land use in Bogota, Colombia**

In Bogota, Colombia, the mapping included identification of:

1) non-built up areas where different types of urban agriculture already take place (crop production, tree production, livestock, aquaculture);

2) open or vacant land areas and water bodies that can potentially be used for urban agriculture.

For each of the identified areas of land, information was collected on its property and tenure status, such as: private land; institutional land (belonging to schools, hospitals etc); and public land.

Urban agriculture in Bogota was found to take place in and around the house (in backyards and patios), on institutional land (for example, school-gardens), on open areas of land in the city and on larger areas of land surrounding the city.

But it was also found that urban agriculture is also very much present on Bogota’s rooftops in the more densely populated low-income areas. It was therefore decided to also map available rooftop areas and analyse their potential for food production. This formed the basis for a pilot project regarding the design and running of rooftop gardens in a later stage of the MPAP process.
Through field visits the information obtained from topographical and GIS maps was checked on the ground through field visits and ‘community mapping’: the drawing of maps indicating agricultural land use in a certain area by some residents of that area.

**Participatory farming systems analysis**

In order to better understand the problems encountered by different types of urban producers and their development potentials and to more strongly involve the direct stakeholders in the MPAP process, a participatory rapid appraisal was implemented in selected areas where urban agriculture is practised.

Firstly, on the basis of the information collected from secondary sources and the mapping exercise, the main types of urban agriculture present in this city, as well as their main locations, were identified.

Although the RUAF partners often started from the global classification of farming types, in each city or focus area this is further specified according to the local insights. When making the classification it is important to bear in mind that the identified urban farming types should be meaningful for planning purposes and preferably should be rather homogeneous internally but differ strongly from other types in their main production characteristics, the types of actors involved and their motivations, main problems and development potentials (see Box 2.4).

Secondly, for each main type of urban agriculture a representative area was selected in which a participatory situation analysis was undertaken with the urban producers, applying focus group interviews, transect walks and other participatory techniques. Special attention was given to gender differences in interests and needs of men and women (including the gender division of labour and differences in position of men and women in the given society). For further information on the use of gender sensitive PRA techniques and gender mainstreaming in urban agriculture, see the Resources section following Chapter 4.

The PRA in the selected areas of the main urban farming types provided valuable insight in the characteristics of the urban producers, the problems and potentials of the main urban farming systems, and the viewpoints of the urban producers on required policy measures and support strategies. The participatory analysis also gave insights into the social, economic, health/nutrition and ecological benefits and risks of each type of urban and peri-urban agriculture.
Box 2.4 Global classification of urban farming types

1. Micro-farming in and around the house: growing of food and herbs or keeping small animals (poultry, rabbits, grass-cutter) in front- and back-yard, patio, on rooftops, in cellar or barn, especially in marginal urban settlements, mainly for subsistence and some barter.

2. Community gardening: growing of food, fruits and herbs for subsistence and generation of some income through sale of surpluses, sometimes also provision of food for the needy in the community (soup kitchens).

3. Institutional gardens (at schools, hospitals, prisons): growing of nutritious food for the clients of these institutions (vegetables, poultry or pigs); school gardens have an educational function; hospital and prison gardens in addition have a function in recycling of food wastes and therapy.

4. Small-scale (semi-) commercial horticulturalists: mainly fresh vegetables production (but also other food crops, medicinal herbs, berries/fruit, plant seedlings) mainly for the market plus family self-consumption.

5. Small-scale (semi-) commercial livestock keeping and fish-farming: Zero grazing dairy units, poultry and pig raising units; fish farming in cages in open water bodies or in tanks/ponds.

6. Small-scale specialist producers: Small-scale production of mushrooms, pot plants, flowers (also for oil extraction), tree seedlings, earthworms, piglets and chicks and compost.

7. Larger scale agro-enterprises: Intensive larger scale livestock keeping, large nurseries or other intensive form of agriculture (e.g. irrigated and climate protected horticulture), often urban investors hire a manager and labour to work the farm.

agriculture in the city. It also helped to identify the main constraints and potentials for the development of each farming type.

Leading questions for the participatory analysis of each type of urban farming are the following:

• What is the pattern of production of this type of urban agriculture: crops grown, animals raised, inputs used (including recycling of organic wastes and wastewater); level of technologies applied and capital invested; what is the output produced and its use (auto-consumption, barter, market)?

• Who is involved in this type of urban agriculture: number of households and persons involved (male/female); their characteristics and socio-economic profile (level of income, origin, other jobs); their objectives for urban farming; land ownership and tenure situation; gender aspects; local leadership and factions; social networks of farming groups and coping mechanisms; and access to inputs, credit, extension services and business support services?

• What is the contribution of this type of urban agriculture to:
  – Income generation?
- Nutrition and food security (especially of low income groups and HIV-Aids affected families)?
- Recycling of urban organic wastes and wastewater and improvement of the urban climate (greening, capturing dust/CO₂, shade)?
- Community development and social inclusion (urban agriculture as a catalyser in run-down communities, creating access to productive inputs and new development chances to disadvantaged groups such as single women with children, youth without jobs, people with a handicap, etc.)?
- What are the health and environmental risks associated with this type of urban agriculture (e.g. evidence of incidence of diseases or environmental pollution due to urban agriculture)?

Critical policy review

For the multi-stakeholder planning process it is also important to develop a good understanding of the current legal and planning framework in which urban agriculture takes places:

- What are the city’s current main policy goals and priorities? How could urban agriculture contribute to them?
- Which are the actual policies, norms and regulations and urban development and zoning plans that effect urban agriculture? How successful and effective are these policies and instruments to date (do they have the intended effects; and if not: why not?)
• Are there any inconsistencies between the various sectors regarding their views on and treatment of urban agriculture (e.g. between economic and social development policies, public health or environmental management policies) or between policies at different levels (e.g. local versus national)?

• Do outdated or unnecessary restrictive norms and regulations regarding urban agriculture exist (in municipal bye-laws, ordinances, zoning regulations, etc.) that should be removed or adapted?

• Which needs and possibilities to improve the effectiveness of existing policies and plans on urban agriculture and/or their relevance for certain categories of the population (e.g. women, the poor) do you encounter?

• What opportunities exist to integrate urban agriculture better into the various sector policies and/or to harmonise better their treatment of urban agriculture?

• What are current decision-making structures of relevance for urban agriculture in the city? What are current forms and level of public participation in these structures? What is the most effective way to relate the multi-stakeholder forum on urban agriculture to these structures?

To be able to answer these questions, a critical policy review (through desk studies and interviews with key informants) of existing policies, plans, norms and regulations – of relevance to urban agriculture – was implemented. This analysis includes policies and plans that deal specifically with urban agriculture (a bye-law regulating livestock keeping in the city) as well as policies and plans that have a strong influence on urban agriculture (e.g. city and land use plans and zoning norms, health regulations). Although the focus of the policy review is mainly on the municipal level, influential national policies and regulations are also taken into account.

Box 2.6 Critical policy review in Accra, Ghana

A situation analysis on urban agriculture in the Accra metropolis was conducted from June to September 2005 also including a critical policy review. At that time no specific policies for urban agriculture existed in Accra, but several bye-laws and regulations of the Accra Metropolitan Area were found to be too restrictive regarding livestock production (due to health and environmental concerns). As part of the Strategic City Agenda, a reformulation of the existing livestock bye-laws and regulations were undertaken involving livestock and health specialists who removed ungrounded limitations and assisted in the development of new policies that promote the adoption of safe space, confined, and non-traditional livestock production systems (grass-cutters, rabbits, mushrooms and snails) and their integration within land use planning.
Integration of results and reporting

Finally, all information collected in the situation analysis was analysed to identify the local factors that facilitate or constrain the development of safe and sustainable urban agriculture in the city. These findings were then summarized and presented in the form of a short and concise ‘policy narrative’: a document that presents essential information on urban agriculture in the city, its presence, types, benefits and risks, development potentials and constraints, and possible course of action. The document will be used to share the results of the situation analysis with all stakeholders identified and to create a good starting point for the reflection, discussions, joint visioning and strategic planning in the multi-stakeholder forum (see further Phase 3 below).

The document contains the following information:

• presentation of key data regarding the presence and main characteristics of different types of urban agriculture. For each type of urban agriculture a brief analysis is presented of:
  - the main benefits and risks associated with this type of urban agriculture in the actual situation;
  - the main problems encountered by this type of urban producers (gender differentiated); and
  - the main potentials for the safe and sustainable development of this type of urban agriculture.

• the identification of current and potential relevance of urban agriculture for the various policy domains (health/nutrition, local economic development and poverty alleviation, urban environmental management, etc.);

• the identification of key issues for the development of safe and sustainable urban agriculture;

• presentation of possible strategies to reduce certain risks associated with urban agriculture, to overcome existing problems and to realize identified potentials;
• presentation of the results of the stakeholder analysis: institutional actors, their views on urban agriculture and their role in and possible contributions to the development of safe and sustainable urban agriculture and their activities;
• the identification of some specific ‘early implementation’ actions that might be undertaken already while developing the City Strategic Agenda on urban agriculture.

**Lessons learned regarding implementation of the situation analysis**

Develop the situation analysis in sub-teams instead of contracting it out to one organization. As it will be unlikely that one local partner organization has the required capacity and means to implement all components of the situation analysis, conformation of sub-teams of the local MPAP core team (each one with their own coordinator and each implementing one component of the situation analysis) has proven to be more successful. This also helps creating further interest in and commitment to the process. The local coordinator (or coordinating organization) will remain responsible for supervising the overall implementation of the situation analysis. Contracted consultants may play a role in data gathering but should act always in direct coordination with members of the core team.

Make optimum use of the limited financial means available. Generally, only limited (financial) means are available to conduct a situation analysis. Hence it is very important:

• to always keep in mind the main focus of the situation analysis: to collect information needed for preparing the City Strategic Agenda on urban agriculture. Avoid collecting information just because someone finds it ‘interesting’; and aim for information that enhances understanding of the main issues, trends and factors in urban agriculture;
• to apply a step wise approach: first the review of existing information and the land mapping. This will enable an identification of the main types of urban agriculture and its locations. This makes it possible to select smaller areas where a more detailed analysis of a certain type of urban agriculture can be implemented;
• to pay attention to the level of detail. Make maximum use of existing available information. If collecting additional data, use PRA (mainly qualitative) methods to deepen insight related to the main problems and potentials of the various types of urban agriculture in the city and keep the collection of quantitative data that are statistically representative for the whole city to a minimum (e.g. only for the number of farmers per type of urban agriculture and size of land holdings);
• to triangulate data: seeking verification of certain data by combining different sources of information (such as literature reviews, interviews with key stakeholders, use of maps and participatory farming system analysis);
• to motivate members of the MPAP core team to implement their part of the situation analysis as much as possible using their own resources, reserving available project funds for those costs that cannot easily be covered by the partner organizations.
Do not strive for a one-dimensional picture. Different viewpoints may exist of the same reality. It is therefore always important to make note of who provided specific information (person/organization), with what objectives and in what perspective, especially when it comes to the interpretation of certain ‘facts’ and the conclusions and recommendations that are derived from the information. For example, a health department will look differently at the reuse of urban wastes and wastewater in agriculture than an environmental officer or the officer in charge of poverty alleviation, let alone the poor urban farmers involved in these practices. It is important not to highlight only one opinion or viewpoint but to identify and show such different views on the existing reality, identified problems or potentials and desired developments.

**Phase 3: Broadening commitment and participation**

Once findings of the situation analysis have been synthesized in the form of a policy narrative, the results are shared more widely and activities are undertaken to involve new stakeholders, strengthen the commitment of existing partners and to establish a multi-stakeholder platform that will guide and coordinate policy design and action planning.

Before really starting the planning process, it is necessary to inform and motivate the stakeholders that have been identified during the situation analysis and to enhance their willingness to participate in the development of the City Strategic Agenda on urban agriculture.

RUAF partners have applied the following strategies for informing and motivating stakeholder participation:

Sharing of the ‘policy narrative’ (the synthesis document on the situation analysis) with all identified stakeholders to inform them of the present situation (presence, types, problems and potentials) of urban agriculture in the city and to provide a basis for the coming discussions in the stakeholder forum.

Organizing individual visits to important stakeholders in order to discuss in-depth the most important problems/issues identified in the situation analysis and to explore alternative solutions and intervention strategies. In these visits their possible role in – and available human and financial resources for – development of urban agriculture would also be discussed as well as the desired organizational set-up for the multi-stakeholder platform on urban agriculture.

Organization of policy awareness seminars to raise awareness among policy makers and high ranking officials of the benefits and risks of urban agriculture and the potential contribution of urban agriculture to the city’s policy goals and priorities. These seminars also help to raise motivation and commitment of the institutions to collaborate together in policy formulation and action planning on urban agriculture. Conclusions and agreements reached during the discussions can be summarized in an official declaration, agreement or memorandum of understanding. Such documents will provide a firm basis for follow-up (and may be used to help partners to remember their commitments where necessary).
Organization of study visits to more advanced cities. Such study visits can be very instrumental in raising the motivation of senior officers and officials to participate in the MPAP, enhance their understanding of the multi-stakeholder approach, and to broaden their knowledge on (certain types of) urban agriculture, and their potential for the realization of the City’s development objectives (e.g. policy alleviation, social inclusion, gender equity, local economic development, and waste recycling). The basic idea behind these study visits is that a policy maker or senior officer is more easily convinced by another policy maker or fellow senior officer than by other actors or sources of information. These visits can even result in long-standing relationships between cities and mutual co-operation programmes. Study visits may also involve other types of stakeholders (producers, researchers, entrepreneurs).

Taking high officials to field sites to expose them to urban producers, their interests and potentials and to make them reflect about the ways in which their institution might contribute to the development of safe and sustainable urban agriculture. Such a visit, if properly prepared, can be a very effective way of communicating a need and raising motivation to participate in the MPAP. It may show a policy maker that certain things are actually present (of which he or she may not have been aware), it will provide the agricultural producers (forming part of the policy makers’ constituency!) the opportunity to voice their concerns and proposals and will provide the policy maker with insight into what he or she may actually do to support these people. Such field visits are also a good opportunity to ‘boost’ public opinion on the policy makers’ involvement. However, the visit should be well prepared, with sufficient anticipation. The expectations of the persons in the locations to be visited should be clarified and they should be instructed on how to avoid potential conflicts with policy makers.

Developing policy briefings and other written and visual communication materials: briefing papers and other communication materials can be used as a general strategy to target a wider audience than the ones that can be reached through personal dialogue. These materials are less likely to be misquoted than oral presentations, and provide a readily available record that can be used whenever a staff member or policy maker needs to address the issue. But these materials offer fewer opportunities for interaction and dialogue, although they can also be used as the basis for a personal meeting or as background reading material. Such communication materials are generally short, illustrative, user-friendly and concise and aim to raise awareness and mobilize political support. The policy briefs present the key issues and
policy relevance of urban agriculture in a concise way and provide suggestions on how local governments may support the development of safe and sustainable urban agriculture. RUAF partners have also produced various short videos showing different types of urban agriculture and examples of successful governmental and civil society programmes and projects supporting the development of urban agriculture.

Involvement of press/media: RUAF partners have continuously informed the media (press, radio and television) and influential opinion leaders through personal contacts, sharing of videos, briefing papers and reports and the publication of a newsletter, which has led to good coverage of the subject in the media and a rapidly growing public interest in urban agriculture. This has also counterbalanced some historic misconceptions about urban agriculture. For example, in Zimbabwe it was assumed for a long time by city officials that urban maize-growing increased malaria risks. Dissemination of international research data proving that this is not the case helped to overcome this bottleneck.

Lessons learned regarding stakeholder motivation and participation

In order to actively participate in an MPAP process an organization needs:

- to be aware of urban and peri-urban agriculture, its potentials and problems;
- to be willing to participate in its development (which mainly depends on the contribution that urban agriculture can make to the main interests of the actor involved);
- to be able to contribute (which mainly depends on the organization’s mandate and available human and financial resources).

All three conditions have to be fulfilled to a certain degree.
In this perspective, the main obstacles for active involvement at an organizational and personal level often relate to:

- a lack of awareness/information: information is not available/not accessible, or only at one level in the organization (technical level or decision-making level); or the available information is not relevant to the user, is not what he/she needs to get interested and take a decision; or the available information is not presented in a way that is attractive to the user (in terms of communication channels used, the way the information is packaged, the moment the information is presented, by whom and to whom this is done);
- a lack of interest: the person/organization is not well informed on the potentials of urban agriculture for pursuing his/her interests; they have other priorities;
- a lack of mandate or lack of resources: the person/organization does not have the mandate to work with poor urban farmers; they lack required expertise/skills, equipment and/or economic means; or the person/organization does not have the right relations/power.

An organization will thus be more committed to actively contribute to an MPAP if the following conditions are fulfilled:

A strong link with the institutional policy / interests
The institution will be more motivated to participate:

- when decision-makers are well informed on urban agriculture and its relevance for their main institutional goals and priorities;
- when urban agriculture fits relatively well within their mandate and actual programmes and budget headings;
- when the organization might be blamed later when problems arise regarding urban agriculture due to a lack of attention by this organization (the cost of doing nothing);
- when the organization leans towards innovation and learning and has a less dominant ‘disciplinary’ and ‘sectoral’ orientation;
- when the organization is less hierarchical, has more democratic attitudes and has gained (positive) experiences with participatory or multi-stakeholder processes;
- when funding flows for urban agriculture are increasing and accessible for the organization;
• when the core partners in the MPAP process are seen as ‘trustworthy’ and with sufficient ‘leverage power’;
• when no shorter / cheaper routes to arrive at the same results are available;
• when there is less corruption / more transparency in the organization and thus less resistance to sharing of information and outsiders knowing about planned activities and their participation in the monitoring of results.

A strong link with individual interests of staff in those organizations
Staff will be more motivated to participate:
• when there are more staff in the organization that have a positive opinion on and experience with urban agriculture;
• when some high ranking officer acts as internal advocate for urban agriculture; the higher rank the better;
• when a person’s involvement in the MPAP matches with his/her personal interests;
• when the participation in the MPAP process is rewarding (intrinsic values, development of relevant knowledge/skills, better chances for access to scholarship, certificate, economic incentives, etc.);
• when their participation in the MPAP is formalized and included in the routine work planning and does not come as an extra activity on top of the ‘normal’ duties.

Outside pressures call for attention to urban agriculture:
• from persons that can influence the institution directly (their agenda, resource allocation, etc.) like local and national policy makers, donor organizations, etc.;
• from clients;
• from the media.

**Phase 4: Establishment of a multi-stakeholder forum and development of a city strategic agenda**

**Establishment of a multi-stakeholder forum (MSF)**

The organizations that had shown interest and commitment were invited to be part of a multi-stakeholder forum on urban agriculture. Such a forum should include all key stakeholder groups (municipal departments, farmer groups, NGOs and CBOs, universities and research institutes, relevant governmental and private sector organizations and, if possible and desired, international organizations) required to design and to implement, in a participatory manner, adequate solutions to the problems or potentials identified in the situation analysis (and summarized in the policy narrative).
The objectives and tasks of such a forum include:

- bridging the communication gap between the various stakeholders involved in urban and peri-urban agriculture and functioning as a platform for information exchange and dialogue;
- building effective and sustainable partnerships for coordination, planning, implementation and monitoring of a concerted City Strategic Agenda on urban agriculture;
- stimulating the creation of a facilitating policy and institutional environment for urban agriculture and the integration of urban agriculture in institutional policies, programmes and budgets.

In the RUAF partner cities the activities of the MSF included the development of a City Strategic Agenda on urban agriculture (definition of objectives, selection of key issues and strategies, definition of coordination and monitoring mechanisms and operational framework), the operationalization of the Agenda into concrete projects and revised or new bye-laws, norms and regulations on urban agriculture, and the ‘institutionalization’ of urban agriculture.

The multi-stakeholder forum is established by defining its role and mandate and the signing of an inter-actor agreement indicating the common goals and strategies that are to be pursued jointly and the commitments of the organizations participating in the forum (see, for example, Box 2.7).

The MSF is coordinated by a coordinating committee (or similar name) consisting of the members of the former MPAP core team plus some other key stakeholders in the MSF. The MSF and committee are chaired by a forum member known for his/her proven capacities in coordination, conflict resolution and negotiation and participatory action planning.

Experience indicates that the forum has to be independent from the political structure though preferably formally recognized and supported by the municipality (and other stakeholders) as the main advisory platform for dialogue, planning and coordination regarding urban agriculture in the city. The forum preferably should be linked to the most relevant Council committee in order to have a channel to the Council to formalize proposals put forward by the MSF.

Important factors for the successful functioning of a multi-stakeholder forum include:

- Clear and formalized initial commitments of the participating institutions and organizations. Continuous trust and commitment building.
- Clarity about the importance of local ownership and member contributions to the functioning of the multi-stakeholder forum and the implementation of activities is needed. A central justification for building such multi-stakeholder partnerships has – after all – to do with making the best use of available local financial and human resources. In addition, external resources may be mobilized by involving donor agencies in the MSF and presenting project proposals to national and international sources of funding, although this should never become the driving factor.
Box 2.7 Collaboration agreement signed by members of the MSF in Freetown, Sierra Leone

1. Concept
The multi-stakeholder forum on urban and peri-urban agriculture in Freetown will serve as a platform where problems, potentials and strategies for the development of intra- and peri-urban agriculture in Freetown are discussed. It integrates stakeholders from civil society, research organizations, private enterprises, farmer groups, local and national governments and international organizations. The forum counts with recognition from the local/national government and the commitment of all its member organizations to actively participate in the forum.

2. Principles
The forum is:
• Characterized by the participation of different stakeholders (multi-stakeholder), from both civil society as well as local/national government;
• Open to all stakeholders that commit to its principles, roles and responsibilities of its members;
• A space where democratic decisions are taken in a consensual approach.

3. Role of the forum
The forum has as its role the identification, planning and formulation, prioritization, implementation, articulation and monitoring/evaluation of strategies and policies that promote the development of urban and peri-urban agriculture in Freetown/Western Area. It will effectively coordinate and implement programmes and projects on urban agriculture, building on activities and efforts implemented by its member organizations and on their human and financial resources, without replacing or competing with these activities.

4. Membership and structure
Membership of the forum is open to all organizations, institutions, (government) departments and programmes working on intra- and peri-urban agriculture or related activities (such as waste management, community development, employment creation). Membership is institutional, each institution officially assigning one or two representatives to participate in the Forum (meetings). Institutional representatives have the obligation to communicate the results of the Forum meetings and activities to their organizations, to follow up on institutional commitments and to bring in institutional viewpoints and contributions to the Forum meetings.

The Forum is made up of an MSF Coordinating team and MSF Platform. The MSF Coordinating team is made up of a smaller group of active MSF-members taking the lead in formalizing the City Strategic Agenda on urban agriculture and coordinating its implementation. The MSF Platform involves all members of the forum. Specific Working Groups can be formed for implementing specific activities.

5. Participants
The following organizations participate in the MSF:
[A list of member organizations is included]

6. Roles and responsibilities
Each member organization commits:
• to avail our representative on the multi-stakeholder platform for all planning and implementation of activities as agreed upon by the forum;
• to endorse the legitimacy of the multi-stakeholder platform and mandate our representative to make contributions to decision-making within the platform;
• to collaborate and strengthen dialogue among the various member organizations of the forum, and to discuss and prioritize broad strategies to address key issues for the development of urban agriculture;
• to jointly develop Actions Plans (e.g. projects) and formulate policies to address the key issues and provide human, financial and logistical support for the implementation thereof;
• to formally adopt the City Strategic Agenda on urban agriculture as developed by the forum and to incorporate relevant decisions taken by the multi-stakeholder forum and strategies proposed in their institutional and development programmes; and
• to coordinate all the efforts needed to implement – in a participatory and multi-stakeholder way – the aforementioned objectives and to ensure the foreseen results.

7. Endorsement
We, the following listed institutions with representatives on the multi-stakeholder platform agree to sign this document as an indication of our cooperation and commitment to the cause of the multi-stakeholder vision and City Strategic Agenda for urban agriculture in Freetown and the terms defined in this document:

Signatories:

The Director
(name organization)
Date:

The Director
(name organization)
Date:

The Director
(name organization)
Date:

• A stimulating coordinating committee that keeps all members well informed, helps to structure and organize the tasks of the MSF and monitors the realization of agreed activities and other commitments. Good and effective communication is central to achieve openness and transparency.
• Clear rules on how and when decision-making will take place, and how progress and results will be monitored.
• MSF meetings that are well prepared and that are led by a skilled facilitator capable of creating an open atmosphere, building mutual respect and conflict management and constructive use of diverging views. Ground rules for effective facilitation include involving partners in agenda setting, using participatory methods of decision-making and encouraging an atmosphere of sharing and learning. The MSF meetings require a clear agenda and time-schedule and a good division of labour.
At a personal level, the participation in the MSF should not be seen as a route to acquiring ‘easy money’ (e.g. DSA much higher than real costs). On the other hand, ‘benefits’ of the partnership should also be equally shared, such as attending (international) training or being interviewed by the media.

**Developing a City Strategic Agenda**

One of the first activities of the MSF in each of the RUAF partner cities was to develop a City Strategic Agenda on urban agriculture.

These agendas include:

- the formal decision to design and adopt a municipal policy and programme on urban agriculture;

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**Box 2.8 Factors for success: the multi-stakeholder forum in Belo Horizonte, Brazil**

In Belo Horizonte a city forum on urban agriculture was formed in 2006. The forum is made up of various organizations and institutions (including universities, NGOs, CBOs and urban producer groups, national governmental institutions, international organizations and private enterprises).

Several factors can be identified relating to the successful functioning of this forum.

Regular, well-organized meetings facilitated good information exchange among members. The date and time of the meetings are set by the forum members and meetings are well-planned and moderated.

The agenda of the MSF meetings always included the presentation of audiovisual material on urban agriculture experiences in other Latin America cities. The forum also realized exchange visits. The presentations and exchange visits serve as important incentives for participation and the creation of personal commitment, which is strengthened by taking sufficient time to allow for joint learning and exchange among partners.

Several new and very motivated stakeholders entered the forum, as a result of previous awareness raising and sensitization activities developed by the local MPAP facilitating team and included urban agriculture as part of their own activities. For example, a programme working on urban planning and design developed an interest to integrate urban agriculture into the (re)design of low-income neighbourhoods. Participation of such new stakeholders provides new dynamism to the work of the forum.

The participating institutions included the time and resources needed for the elaboration and operationalization of the City Strategic Agenda into their institutional plans and set aside institutional funding for this purpose based on clear agreements on the division of tasks and responsibilities and related resources. This may take the form of financial contributions, but may also be in the form of materials, transport, meeting rooms, meals and printing and ICT services.

Progress and results of activities implemented are regularly shared. Further, the discussions and agreements made at the meetings are documented and sent to all members after each meeting, including those who were not present.
the city’s vision regarding the desired development of urban agriculture: why do we want to support urban agriculture (for example, for reasons of poverty alleviation, improving urban food security and nutrition, promoting local economic development, improving waste management or a combination thereof). This entails the functions one expects urban agriculture to play in the realization of the city’s strategic development plan and municipal policy objectives or the kind of developments in urban agriculture that will be supported or conditioned. This section will also link the urban agriculture agenda to other existing agendas and programmes in the city that are related with one or more of the mentioned policy goals;

• the key issues: what are the main issues we will work on (for example, capacity building in urban agriculture, local production and marketing of urban agriculture, access to land or financial resources, sustainable use of wastewater in urban agriculture and strengthening the legal and institutional framework for urban agriculture);

• identification of the main strategies to be applied for each of the key issues and an assessment of their likely impacts, target groups (whose behaviour and decisions are to be influenced) and beneficiaries (who are intended to benefit from this strategy). In most cases the strategies proposed are not alternatives, but overlap and complement each other. These strategy components, with the associated instruments, will form the basis for elaboration of detailed action plans at a later stage; it is recommended to include, for each main strategy, short project profiles for each of the proposed projects and other actions planned (e.g. reformulation of a policy or regulation; integration of urban agriculture in land use zoning, setting up a new funding mechanism for urban agriculture projects) indicating briefly its objectives (expected results), main implementing actors, budget indication and possible source of funding;

• development of an institutional framework (what actors should be involved?) and proposed coordination and monitoring mechanisms;

• identification of available resources for implementation as well as potential sources of additional funding; and

• an initial time-plan for operationalization and implementation.

The city strategic agenda thus constitutes a policy document once it is formally adopted by the local government and other stakeholders. A well-defined strategic agenda should include arrangements on how the policy will be translated into concrete actions: how the operational planning and funding of the selected policies and strategies will be organized as well as periodic review and how the implementation and monitoring of these activities will be coordinated.

The development of the City Strategic Agenda on urban agriculture in the RUAF partner cities was organized in a number of steps that may be summarized as follows (although important variations occurred from city to city):
1. First forum meeting: presentation and discussion of the results of the diagnosis, formulation of a vision and strategic objectives for the desired development of urban agriculture in the city, identification of key issues, and establishment of working groups around each of the key issues.

2. The working groups deepen the analysis of their issue and come up with proposals regarding effective policy measures and action strategies related to this issue.

3. Second forum meeting: discussion of the results of the working groups, prioritization and linking of the proposed policies and action strategies and identification of additional tasks of the working groups.

4. Working groups further develop the proposals (main activities, actors, budget) and make project profiles, the coordinating team integrates the proposals into a draft City Strategic Agenda.

5. Third forum meeting: discussion of a draft City Strategic Agenda, elaboration of agreements regarding the role, responsibilities and contributions of each MSF member in the operationalization and implementation of certain parts of the City Strategic Agenda.

6. Fourth forum meeting: finalization and approval of the City Strategic Agenda by the forum and its presentation to the Council committee for formal review.

**Visioning**

Design of an effective city urban agriculture programme is not possible without a clear vision on the desired longer-term development of urban agriculture in the city: What kind of urban agriculture would one like to bring about in the city? What roles and functions should it fulfil and what contributions to which strategic objectives (income, employment, food security, social inclusion, recycling, water management, etc.) would one like to see? What categories of the population should benefit most?

The vision reflects the future situation regarding urban agriculture one hopes to bring about and acts as a stimulating and leading image that orients the further development of the Agenda.

Therefore in one of the first forum meetings in each city such a vision was developed through interaction between all the members of the forum, using questions such as those above.

It is helpful during the vision exercise to remind the participants of the different policy dimensions of urban agriculture (see Chapter 1) which may help the discussion on what the desired focus for the development of urban agriculture in this city should be: mainly with an economic focus, mainly with a social focus, or more with an ecological focus or a specific mixture suited to local needs, priorities and opportunities. For example, a city concerned about growing food insecurity or the exclusion of certain groups of citizens will probably focus more on the social dimension of urban agriculture. Where poverty alleviation and local economic development is a high priority, one will focus more on the economic dimension of urban agriculture and seek
Box 2.9 Cape Town vision statement on and strategic goals for urban agriculture

‘The City seeks to employ all available means to build a prosperous City in which no-one is left out. The City recognizes that urban agriculture can play a key role in strategies for poverty alleviation (food security and nutrition) and economic development (income generation). However, the City is also aware of the numerous negative impacts of urban agriculture on city life. Therefore, the City supports and promotes urban agriculture within the context that it will not degrade the quality of life of citizens, will not impact harmfully on public health, the natural environment and will contribute to the economic and social well-being of people. In order to achieve this it is necessary to create an enabling and regulated environment in which the development and practice of urban agriculture can flourish. To promote “A prosperous and growing urban agricultural sector” in Cape Town, our vision is supported by the following strategic goals:

• to enable the poorest of the poor to utilise urban agriculture as an element of their survival strategy (household food security);
• to enable people to create commercially sustainable economic opportunities through urban agriculture (jobs and income);
• to enable previously disadvantaged people to participate in the land redistribution for agricultural development programme (redress imbalances);
• to facilitate human resources development (technical, business and social skills training).’

Source: City of Cape Town, 2006.

to stimulate subsistence farmers to move into the market sector. Cities with a growing waste management problem or flooding problems might want to orient the development of urban agriculture more towards recycling wastes and wastewater, greening the city and creating a better urban living climate (capturing CO₂ and dust, lowering temperature).

Selection of key issues

On the basis of the defined vision, the MSF in the RUAF partner cities continued to define the development of the City Strategic Agenda. Based on the results of the situation analysis summarized in the ‘policy narrative’, the stakeholders in the forum jointly identified a number of key issues for the development of urban agriculture in the direction indicated by the vision.

Working groups elaborating proposals

Secondly, working groups were formed to analyse each issue more deeply, to define the changes needed, and to work out practical strategies to bring about these changes. Each working group involved the actors with a high ‘stake’ and/or expertise in that issue.

In some cases the working groups met regularly (e.g. weekly) during a period of months. This system allows the preparation of inputs by each member before meeting as a group (like in the Pikine case presented below and in Belo Horizonte, Brazil). In other cases (like in Bobo
the working groups prepared their proposals in one or two intensive 3–4 day workshops. The advantage of the latter method is that the City Strategic Agenda is elaborated in a shorter period of time and the intensive workshops are more convenient for stakeholders with numerous work commitments. The disadvantage of this approach may be that there is hardly any opportunity for group members to sort out certain aspects and consult others that are not part of the working group.

Subsequently, RUAF partner IAGU (the African Institute for Urban Management) organized a training and work planning session for the members of the working group and facilitated four meetings held by each working group, applying Local Agenda 21 tools for strategic planning. Each working group analysed one key issue and developed a set of related strategies.

During the forum meeting with all stakeholders which followed the results of the working groups, the various strategies and actions were prioritized and included in the City Strategic Agenda.

Normally the working groups first analysed the issue in more detail and discussed the required changes and identified the policy measures and actions needed to realize these changes. It is of crucial importance that the working groups are well aware that they may propose the use of various types of instruments to bring about the desired changes: legal policy instruments.

Box 2.10 Development of a City Strategic Agenda on urban agriculture in Pikine, Senegal

The multi-stakeholder forum in Pikine was established in 2006 and involves municipal councillors, urban producers, environmental, planning and agricultural authorities, NGOs and CBOs. Discussing the situation analysis, the forum identified as the main key issues for the development of urban agriculture: 1) Need to enhance access to water, other inputs and equipments; 2) Need to enhance access to and security of land; 3) Need to update present norms and regulations regarding urban agriculture. It was decided to further study and discuss these issues in three working groups that had to come up with policies and action strategies regarding each issue.

The tasks and expected outputs of the working groups were discussed and agreements were made on the required profile of the working group members, their role and responsibilities, the activities to be implemented by the working groups and the profile and tasks of the working group coordinator.
(bye-laws, norms, regulations, ordinances), as well as economic instruments (project funding, subsidies, tax incentives, economic sanctions), educational instruments (public education, training, technical assistance, study visits, etc.) and design instruments (e.g. approaches for slum upgrading that integrate home and community gardening, shift from centralized to decentralized/community-based waste management and reuse). In Chapter 4, ‘Municipal policies and programmes on urban agriculture’, a variety of policy instruments and measures are presented that could be considered for review or formulation.

After discussion of the initial proposals in the MSF, the working groups further developed these ideas in more detail by developing clear (one-page) project profiles for each main action that is included in the City Strategic Agenda, outlining per action: expected project results; proposed activities; partners involved and their roles/contributions; approximate budget per activity line; and potential sources of funding.

Not in all cases did the members of the MSF have all the required expertise or mandate or social basis to develop an adequate strategy and occasionally additional actors – with specific expertise or network – were invited to take part in the working groups.

**Approval of the City Strategic Agenda**

The results of the working groups were discussed in the multi-stakeholder forum and integrated in the City Strategic Agenda on urban agriculture. The forum approved this Agenda, which included joint agreement on the City Strategic Agenda in the forum and adoption of the Agenda by the individual institutions. The participating institutions committed i) to assist in the further operationalization of the Agenda; and ii) to integrate the Agenda into their institutional programmes and budgets and contribute with their own resources to the implementation of the Agenda in line with their institutional mandate. Such approval was formalized by means of official and signed letters by the directors or heads of the institutions and organizations involved.

The next step was to put the City Strategic Agenda on urban agriculture forward to the Council (or one of its Commissions) in order to be reviewed and formally approved and adopted by the municipality. Adoption of the City Strategic Agenda by the municipality should preferably be formalized by means of a decree or ordinance.

In Villa Maria del Triunfo, for example, the local government committed itself to: ‘articulate the City Strategic Agenda to other municipal plans and management mechanisms, such as...’
the city’s or urban development plan, the economic development plan, zoning and land use plans, as well as other sectoral plans related to urban agriculture’ (Municipality of Villa Maria del Triunfo, April, 2007).

**Lessons learned regarding establishment of the multi-stakeholder forum and development of the city strategic agenda**

**Building up ownership and partnerships is crucial for effective functioning of the MSF**

In a multi-stakeholder process it is not enough to simply come together and assume that a partnership for urban agriculture development will magically appear. Building further institutional commitment and relations needs time and should be a conscious effort. Building partnerships should be a goal of the MSF in itself. Practically this means bringing it up as an agenda item and discussing it regularly.

Once local ownership of the forum is higher, the degree of implementation of the City Strategic Agenda on urban agriculture will also be higher. Generally, stakeholders will get and stay involved if they believe that the issues dealt with are important to them or their organization; if they have something to contribute; if they will be listened to and their contributions will be respected and appreciated; if they feel that their participation makes a difference and has an impact; and if their participation is well organized (including child care, transportation, meals).

Preferably, structures and procedures for participatory decision-making should be clearly defined by the forum. Clear and transparent agreements concerning financial contributions and rewards should be arrived at, including arrangements for transport or arrangements for compensation for loss of income by the farmer representatives in the MSF.

Elections and replacement of staff and ‘champions’ for urban agriculture in the partner organizations and local authorities may lead to changing policy conditions and changing views on the role of that organization in the development of urban agriculture. It is important to seek to reduce this risk by:

- building of institutional rather than personal relations (although the latter are often the entrance to the former);
- training of several officers (rather than one or two) in each municipal department and other partner organizations so that urban agriculture and the MPAP will be more widely supported and not depend on one or two persons;
- establishing relations with more permanent municipal staff;
- informing newcomers on urban agriculture and the MPAP process;
• strengthening the multi-stakeholder forum and securing its formal recognition and political support (but maintaining an independent position vis à vis politicians), so that the forum can give counter pressure for urban agriculture if negative changes in policies and plans are considered as was done successfully by the urban agriculture forum in Harare, Zimbabwe;
• strengthening local farmers’ networks that can lobby for the implementation of the City Strategic Agenda on urban agriculture, as was done successfully in Villa Maria del Triunfo;
• informing the wider public on urban agriculture and its importance.

Integration of gender mainstreaming in development of the Strategic Agenda needs continuous attention. The application of gender sensitive tools in the situation analysis (and specifically the participatory analysis of the urban farming systems) provides more detailed information on women’s position and roles/tasks in urban agriculture and their specific needs and interests. However, as soon as it comes to policy development and action planning such information is easily lost. Special attention should be given to the integration of gender in the development of the Strategic Agenda and the formulation of policies and projects and the inclusion of gender-affirmative actions.

Implementation of concrete activities early on in the planning process helps to generate dynamism. Implementation of small concrete actions – with high visibility and low risk – during the planning stage greatly enhances the motivation of urban producers and other local actors involved in the process and generates more dynamism (‘this is not only about talking and paperwork’).

The organization of a demonstration and training on practical technologies that require low space was helpful in enhancing the credibility of the MPAP among the urban poor as well as the local authorities in Serilingampally, India. Also, the experience in Beijing, China (see the ‘Networking for policy change in Beijing, China’ case study in Chapter 3) shows that small practical projects were crucial in enhancing decision-making by the local government.

Implementation of such small concrete activities also provides an opportunity for learning by doing, and may provide valuable information for further policy development and design of longer-term activities. For the reasons outlined here, RUAF always included a small seed-fund for implementation of some pilot activities in the budget for an MPAP process.

**Phase 5: Operationalization**

The City Strategic Agenda on urban agriculture provides the vision and main policies and strategies for the development of urban agriculture in the city and commitments by various stakeholders regarding their participation in the operationalization and implementation of the Strategic Agenda.
To facilitate implementation of the City Strategic Agenda, the working groups of the MSF continued to function in order, or new ones were formed around the major actions planned:

• to elaborate operational plans for each project for which a project profile is included in the City Strategic Agenda;
• to (re)formulate bye-laws, norms and regulations regarding urban and peri-urban agriculture;
• to further the integration of urban agriculture into existing plans (including city strategic development and land use zoning plans) and into institutional programmes and budgets.

**Project planning and design**

The focus here lies on participatory formulation of specific urban agriculture projects with local urban farmers and other local actors. Projects may include a variety of activities depending on the specific problems and/or potentials to be tackled, for example:

• further studies (e.g. a marketing study), exchange with other cities, documentation of ‘good practices’ in urban agriculture or establishment of a ‘resource centre’;
• actions enhancing access to land, like integration of urban agriculture in land use planning, setting up of a ‘Land Bank of Vacant Land Areas’ suitable for urban agriculture, tax incentives for land owners that lease out vacant land to groups of urban producers;
• participatory development of appropriate technologies for urban agriculture (to develop and test practical solutions for priority problems);
• training and technical assistance for farmers and agro-based small enterprises, farmer field schools and demonstration plots;
• projects enhancing access to water (rainwater harvesting, water-saving irrigation techniques, safe reuse of wastewater, wells);
• projects promoting ecological production practices, maintaining soil fertility, composting and recycling of urban organic wastes, intensification of land use (e.g. production under cover allowing several harvests/year);
• projects aiming at strengthening farmer organizations and their strategic linkages with other organizations in order to get better access to land/water, training and technical support, and to enhance their role in value-adding and marketing;
• projects enhancing access to credit: groups savings and credit schemes, institutional micro-credit systems, and project financing;
• projects improving processing and marketing (micro-enterprise development, establishment of farmers’ markets, provision of infrastructure for small-scale packaging and processing and composting sites);
• projects focusing on the development of communication materials to inform and educate the general public and consumers regarding urban agriculture.

**Operationalization of the City Strategic Agenda in RUAF partner cities**

Some examples of the projects on urban agriculture that have already been developed and implemented by the partners in the MSF in RUAF partner cities are:

• setting up and supporting community gardens and nurseries (e.g. in Bulawayo, Zimbabwe and Bobo Dioulasso, Burkina Faso);
• establishing farmers’ markets (e.g. in Villa Maria del Triunfo, Peru);
• promotion of space-confined technologies in school-gardens and high-density low income settlements (e.g. Hyderabad, India and Gampaha, Sri Lanka);
• establishing and strengthening of urban producer organizations (e.g. in Villa Maria del Triunfo, Peru and Beijing, China);
• supporting community-based agro-tourism enterprises (e.g. Beijing and Chengdu, China);
• design and promotion of rooftop gardens (e.g. Bogota, Colombia);
• implementing and monitoring of small-scale wastewater treatment systems for urban horticulture production (Pikine, Senegal);
• development of educational materials on urban agriculture (Accra, Ghana);
• integrating urban agriculture into the city development and zoning plans (e.g. Beijing, China) or into sectoral policy documents (e.g. Ghana, China);
• revision of outdated and/or formulation of new bye-laws and ordinances on urban agriculture (e.g. Accra, Ghana and Bulawayo, Zimbabwe);
• provision of land and equipment for urban agriculture (e.g. Bulawayo, Zimbabwe and Cape Town, South Africa);
• inclusion of urban agriculture in City Master Plan (e.g. Ndola, Zambia and Bobo Dioulasso, Burkina Faso);
• providing economic incentives and inputs for urban agriculture (e.g. Cape Town, South Africa);
• inclusion of urban agriculture curricula in extension institutes and universities (e.g. Pikine, Senegal and Bogota, Colombia);
• inclusion of urban agriculture in the municipal budget (e.g. Cape Town, South Africa and Bobo Dioulasso, Burkina Faso).

The beneficiaries of these projects by MSF partners and supported by RUAF included: widows and refugees from Ivory Coast (Bobo Dioulasso, Burkina Faso); traditional urban
farmers (Pikine, Senegal); migrants from rural areas with very limited rights (Beijing, China); inmates from detention centres (Porto Novo, Benin); female-headed households (Villa Maria del Triunfo, Peru); displaced people because of war (Bogota); elderly people with no or low pension (Macaé, Brazil); HIV/AIDS infected and affected people (Magadi, India); unemployed youth (Cape Coast, Sierra Leone); people living with disabilities (Tamale, Ghana); poor women in slum areas (Hyderabad, India).

The above indicates the potential of urban agriculture projects to reach out to the (very) urban poor and constitutes an extremely positive contribution to social inclusion approaches (Cabannes and Pasquini, 2008).

**Revision of existing or development of new norms, bye-laws and regulations**

This activity includes the adaptation of existing – or the formulation of new – municipal bye-laws, norms, technical quality criteria and regulations on urban agriculture. In several RUAF partner’s cities, such as Accra, members of the multi-stakeholder forum have been supportive to drafting legal texts (with the support of officials and/or lawyers) and have presented these to the policy makers, which in most cases were almost integrally adopted by the municipal council.

Policy makers need technical inputs on which to design their policies. Counting with standards, technical norms and quality criteria assists them to revise or design policies related to urban agriculture. The drafting of new policies often includes the development of, for example, guidelines and parameters related to the quality of water to be used in urban agriculture, quality criteria for the use of compost, guidelines for certification of urban agriculture produce, and technical norms for the number of livestock to be held in certain areas in the city, which have a scientific basis and are accepted and applicable for the urban producers (if not, the adherence to such norms will be very low). This requires the participation of several stakeholders in the development of such norms and quality criteria.

**Institutionalization**

Traditionally, participatory and multi-stakeholder approaches have focused primarily on the communication and planning aspects, and less on the institutional dimension.

The ‘institutionalization’ of multi-stakeholder planning was understood in RUAF in three ways. Firstly and for all: enhancing the commitment of the organizations taking part in the MPAP process so that they will integrate (components of) the City Strategic Agenda into their institutional programmes and budgets and will contribute to its implementation with their own resources (as far as fitting within their mandate).
Secondly, and in a broader sense: institutionalization meant making participatory and multi-stakeholder processes the ‘regular way of doing things’ in the organizations taking part in the MSF. This requires:

- Acceptance of the principles of participatory planning and decision-making and corresponding adaptations in the institutional structure and culture so that participatory and multi-stakeholder practice becomes a repeatable day-to-day practice and routine institutional procedures. Such principles include: involvement of the direct stakeholders in the planning process; a shifting from a sectoral approach to a more integrated approach considering cross-cutting issues; acceptance of coordinated planning and monitoring based on co-operation and collaboration around key issues.
- Building up the required technical capacities and expertise within the organizations needed to implement participatory planning and decision-making processes.
- New financial mechanisms and resource allocation measures might be needed as well as new structures to facilitate application of the MPAP approach (an urban agriculture unit, a task force or working group).

To facilitate the above, RUAF gave a lot of attention to capacity development and commitment building and encouraged the local partners in the MPAP process to apply this approach also in other institutional programmes.

Finally, the multi-stakeholder forum on urban agriculture was itself institutionalized. This involved formal recognition by the city government and other key stakeholders and creation of a permanent secretariat for the MSF with a minimum of resources in order to sustain longer-term functioning of planning, coordination and monitoring of urban agriculture.

Specific attention was given by RUAF to ensure the sustainability and consolidation of the urban agriculture policy and programme beyond the period of a given political administration and to plan for future up-scaling of the urban agriculture programme: from working with a

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**Box 2.11 Institutionalizing and scaling up urban agriculture in RUAF**

The RUAF partner IGSNRR in Beijing, together with its extended network partners, supported the enhancement and integration of urban agriculture in the peri-urban planning in Beijing and the design and implementation of the ‘2-2-1’ programme that was established to promote urban agricultural development. The success of this programme strongly influenced the formulation of the national ‘reconstruction of the new countryside programme’ and the uptake of urban agriculture in the new national 5 year plan.

In Amman an Urban Agriculture Bureau was established within the municipality and urban agriculture land use included in land use planning, with 15 per cent of the new development permits to be given out for green and urban agriculture spaces.

In Bulawayo, Zimbabwe and Cape Town, South Africa an Urban Agriculture Unit was established within an existing municipal department and staff and an annual budget were allocated to this unit.
small group of beneficiaries to working with a larger number of people; from working in one or a few districts of the city to working in various districts. One way to enhance the continuity of the urban agriculture programme is by creating an institutional home for urban agriculture within the municipal structure and including it in the city’s strategic development plan.

**Identifying sources of financing for implementation**

However good the City Strategic Agenda may be, without the financial and other resources needed for its implementation, it will remain an Agenda on paper. Implementation delays (as a result of lack of financing or otherwise) will dissipate the interest and enthusiasm of the participating stakeholders, particularly the beneficiaries. The question of financing the Strategic Agenda is therefore an issue that must be addressed from the beginning and throughout the process of strategic planning.

When identifying the strategies of the City Strategic Agenda, a rough estimate of costs and indications of possible sources of funding for each main action will be made (as part of the project profiles).

At the operationalization stage detailed cost estimates per activity and year will be made and (realistic!) sources of funding will be specified (as part of the detailed project proposal).

In general, RUAF partners accessed the following sources of finance and other resources:

- foreseen own contributions by the beneficiaries (labour, materials);
- own resources of the organizations participating in the implementation of a specific project;
- local municipal funds / programmes;
- national funds / programmes;
- international projects operating in the country;
- private sector support;
- non-governmental funding organizations and Foundations in the North.

Where possible, all these types of potential resource partners should be involved in the development of the City Strategic Agenda from the beginning.
However, RUAF’s experience shows that it is important to stress from the beginning of the strategic planning process that the local partners are responsible for (financing) the implementation of the City Strategic Agenda and to build on the resources and means available in these organizations before looking to additional sources at national or international level. The institutions participating in the MSF should be committed to include identified priority actions in their own institutional programmes and annual operational plans and budgets. This often requires explaining to higher level officials in these organizations why the proposed actions are relevant to their institutional priorities.

Also, farmers and community members can and will make investments in project implementation. For this to occur, the initiative to be financed should be among their priorities, they must be involved in a meaningful way in its planning and implementation and they must have the confidence that reliable and useful outputs will occur.

One should also seek to involve local financing institutions (banks, credit cooperatives, mini-credit programmes) and to convince them to include a credit line for urban producers and/or to adapt their conditions if needed. Experience shows that it is important not to make the implementation of the City Strategic Agenda dependent upon one main funding source only: in such cases, the urban agriculture programme has been in danger of being halted after a change in local government.

**Lessons learned regarding operationalization**

Project planning should go hand in hand with reformulation of bye-laws, norms and regulations and other policy measures. In RUAF the tendency in most multi-stakeholder forums was to focus in this phase on detailed project planning and implementation. Therefore, it is important that during operationalization the coordinating committee asks sufficient attention for the operationalization of other components of the Strategic Agenda like the revision of norms and regulations, integration of urban agriculture into land use zoning and city development plans.

When working on the latter, it is important to make sure that sufficient attention is given to the development of facilitating policies that use legal instruments as well as economic, educational and design instruments. The legal measures often have the tendency to become restrictive (you are not allowed to …) and reactive (if you don’t adhere to this norm, you will be sanctioned) which in some cases is necessary but often not very effective to realize the desired changes as indicated by the vision included in the City Strategic Agenda. Economic incentives, educational measures, or design measures might be much more effective. Often a combination of legal and other instruments leads to a strong and effective ‘package’ of policy measures that will effectively facilitate the development of a safe and sustainable urban agriculture (see further Chapter 4).
Differentiation of the policy measures for different types of agriculture is important. Many policy documents on urban agriculture hardly differentiate between different types of urban agriculture and apply the same policy measures for various types of urban agriculture existing in a city, often with the exception of livestock production. Differentiation of the policy measures for the different types of agriculture (according to main product, level of technology and scale) is important since each type of urban agriculture has its specific characteristics, risks, development potentials and support needs and hence requires different intervention strategies for its development. Also, differentiation for different parts of the city is important: certain types of urban agriculture may be acceptable in certain locations (e.g. in the city centre or in an ecologically sensitive area) while others are not, or only under certain conditions.

**Phase 6: Implementation, monitoring, adaptation and innovation**

During implementation of the City Strategic Agenda, the coordinating committee will periodically meet to coordinate activities, review progress and monitor the results that have been achieved. It is of crucial importance that during the design stage clear agreements are made regarding how the implementation will be coordinated and monitored.

The whole forum will meet once a year to reflect on the process in motion, to review the results obtained, to discuss additional actions needed and to decide on adaptations in the agreed strategies.

When implementing the Strategic Agenda, building in effective monitoring and evaluation is very important. Monitoring and evaluation allows the demonstration of progress, efficiency and the results obtained by an urban agriculture project or policy which enhances accountability and provides a basis for decisions on replication or up-scaling). It also allows for the review and - where needed/possible - the adaptation/improvement of strategies that were chosen to realize the desired changes indicated by the City Strategic Agenda. It also enables one to keep track of the impacts of the MPAP on policy change and on the livelihoods of different stakeholders that are involved (impacts), enables the communication of successful efforts to a wider public and creates opportunities for further change.

Moreover, if the monitoring and evaluation is done in a participatory way, it enhances ‘ownership’ and co-responsibility among beneficiaries and other stakeholders in the MPAP and encourages learning and capacity development.

To this effect, three modes of monitoring and evaluation were applied by RUAF: built-in, outcome and impact monitoring.

Built-in monitoring. In all main activities implemented by RUAF partners, a monitoring component is built in, in order to be able to measure progress (did we do what we planned to do), process (how did we do it) and the direct results or outputs obtained (number of
people trained and number of gardens established). Discussion of the results of the built-in monitoring in the MSF coordination committee helps to review the progress made, to discuss solutions for problems and new challenges or opportunities encountered and to learn from each other’s experiences.

Outcome Mapping. One main aim of the MPAP is to facilitate capacity development at the local level and to stimulate local partners to make changes in their existing policies, to integrate urban agriculture into their programmes and to initiate action projects with and for the urban poor interested in or engaged in farming. It is expected that by doing so, the MPAP will make a longer term contribution to development, since the capacity and motivation in MSF partners is enhanced in this way, leading them to mobilize their resources to implement actions with the intended ultimate beneficiaries on a continuing basis.

Outcome Mapping is a method used to monitor the changes in the behaviour (policies, actions, relations, communications) of the groups and organizations directly involved in the MPAP process. Such changes can be logically linked to the MPAP process (although they may not be necessarily directly caused by them). Outcome mapping generates feedback on the effectiveness of the applied strategies and helps in identifying mechanisms for improvement (Earl et al., 2001). Furthermore, the outcome mapping activities stimulate the capacity development process.

In RUAF, Outcome Mapping was carried out as follows:

• During the formulation of the City Strategic Agenda, each of the partners in the MSF formulates an ‘outcome challenge’ for their organization describing the changes in behaviour of the organization that they intend to realize (changes in their policy, programme, cooperation) based on the vision/strategies for the development of urban agriculture defined in the City Strategic Agenda. Also, ‘progress markers’ are defined (indicators to monitor the degree of change achieved).

• In a meeting of the MSF these drafts are discussed and approved and changes are made if needed.

• At least annually each boundary partner is requested to mark the progress made for each progress marker and to analyse the factors that contributed to or hampered the desired change.
• The results of this exercise are presented and discussed during a meeting of the multi-stakeholder forum in order to draw some lessons and to identify possible improvements in the strategies and the coordination mechanism of the MSF.

Impact monitoring. This concerns the measurement of the impacts of the MPAP and implementation of the City Strategic Agenda at target group level (changes in the livelihood situation of the people impacted by the interventions undertaken by the partners in the MSF to implement the City Strategic Agenda).

Easy-to-measure and realistic indicators have been defined to monitor the impacts of the urban agriculture projects and other policy measures undertaken.

Indicators included:
- increased levels of nutrition and food security;
- increased income and micro-enterprise development;
- enhanced access to and security of land;
- improved gender relations;
- strengthening farmer organizations;
- social inclusion of marginal groups;
- improved access to productive resources (land, water);
- enhanced recycling of urban wastes and urban greening.

The impact monitoring allows the stakeholders to keep track of the impacts of the activities implemented in relation to a wide number of urban issues, and evaluate the degree to which these correspond with the objectives of the City Strategic Agenda. It also enables communication of the results obtained to a wider public and funding sources, and creates opportunities for further change.

**Updating the City Strategic Agenda**

It is expected that the MSF in RUAF partner cities will revise and update the City Strategic Agenda every three to five years, by defining priorities for the coming years and eventually including additional policy goals and strategies. During the implementation of the City Strategic Agenda new strategic needs or opportunities for development of urban agriculture will emerge that can be taken up in the City Strategic Agenda. In other cases, monitoring and evaluation showed that the initial Agenda mainly focussed on certain types of urban agriculture (for
example, the promotion of home and community gardening) and needed to be broadened to also include strategies for the development of other types of urban agriculture.

Lessons learned with regards to implementation, monitoring and evaluation and adaptation/innovation of the City Strategic Agenda

Monitoring and evaluation activities are an integral part of any MPAP and should not be considered as isolated activities to be done only at a certain stage or at the end of the process. A budget should be set aside for this purpose from the start of the process.

Monitoring is a sensitive subject that often raises resistance in partner organizations and among staff. Overcoming such resistance through open dialogue on the sense and nonsense of monitoring is crucial for its success. Most organizations taking part in the MSF will have their own monitoring and evaluation systems and are often not much inclined to take additional measures for the sake of a collaborative process like the MPAP and MSF on urban agriculture. Staff will be inclined to see M&E as ‘more work’ and their bosses as ‘more costs’ and ‘external evaluation’, which they both might not appreciate.

In order to arrive at a meaningful and cost effective system that yields meaningful results and leads to improved management and learning, the MPAP facilitators will have to make the effort to get to know the existing M&E systems and make optimal use of the information generated by such systems. Adding certain elements should be discussed and agreed in the MSF and staff of the individual organizations need guidance in the implementation of such additional elements. Universities or research centres participating in the MSF can play an important role in the evaluation of impacts and in drawing lessons learned.

Additional specific technical training is required for successful project implementation. The implementation of the projects identified in the City Strategic Agenda often required previous training of the staff of the MSF partners listed to implement such projects. This sometimes required substantial additional resources (staff time and funds). Such additional training activities might be incorporated in the City Strategic Agenda and local research and extension organizations and NGOs should be mobilized to provide such training (as done, for example, by AREX and SNV in Bulawayo, Zimbabwe, the Department of Horticulture in Hyderabad, India, or the Department of Agriculture in Beijing, China).

Future perspectives

In promoting multi-stakeholder policy development and action planning on urban agriculture, RUAF has aimed to build participatory governance (in the city and the institutions involved), to empower urban producers and to create an enabling policy and institutional framework for urban agriculture (the immediate objectives of an MPAP process). The expectation is
that this will lead to poverty reduction, enhanced food security, more (self-)employment and better environmental management and recycling in the cities concerned.

The effects of the recent food and economic crisis, growing energy and water crisis and ongoing climate change are felt strongly by an increasing number of urban poor. Adequate responses are urgently needed. Urban agriculture can play an important role in responding to these challenges, especially if urban agriculture is made part of a comprehensive approach to sustainable urban development characterized by an emphasis on multi-stakeholder involvement, decentralized and flexible approaches, participatory planning and management of spaces and services, a pro-poor focus and optimal use of locally available resources.

This chapter has described the principles, phases and challenges of a Multi-Stakeholder Process developed for urban agriculture. The following chapters will illustrate several case studies from RUAF partner cities and describe in more detail possible policy measures for urban agriculture that can be applied to further develop and promote urban agriculture.

References


UN Habitat and UNEP (1999) Institutionalising environmental planning and management process, Sustainable Cities Programme, UN Habitat and UNEP, Nairobi.