

# The urban producer's resource book

A practical guide for working with Low Income Urban  
and Peri-Urban Producers Organizations.



# The urban producer's resource book

## NOTE TO USERS

If you have any comments on or  
suggestions for improvements to this  
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The text draws on findings from ten city case studies of UPA conducted through the project and supplemented with other material worldwide, in particular material from FAO policy briefs, and from the global Resource Centres on Urban Agriculture and Food Security (RUAF). The ten case studies conducted through the project were:

1. Accra, Ghana
2. Antananarivo, Madagascar
3. Cairo, Egypt
4. Caracas, Venezuela
5. Dakar, Senegal
6. Harare, Zimbabwe
7. Hyderabad, India
8. Kinshasa, DR Congo
9. Nairobi, Kenya
10. Phnom Penh, Cambodia

A three day workshop was held at FAO headquarters in Rome in February 2007 to discuss the findings of the case studies and to help prepare an outline for the present guidelines. The authors acknowledge the contributions made by the authors of the above case studies and others present at the workshop in particular Marielle Dubbeling from RUAF/ETC International, and John Rouse, Peoples Participation expert. Many others have also provided useful comments and contributions during the development of these guidelines, in particular Ann Thomas and Sarah McCans from IDRC and the project coordinator, Emmanuel Chengu for FAO.

It is recognised, that due to limitations of time and funding, not all aspects of UPA could be comprehensively dealt with in these guidelines – particularly where issues were not covered in the case studies. Comments on the guidelines and in particular additional material and case studies to cover issues where readers find significant omissions are welcomed.

## Acronyms

<b>AERI</b>	Agriculture Economic Research Institute, Cairo, Egypt
<b>AMA</b>	Accra Municipal Assembly
<b>AREX</b>	Department of Agricultural Research & Extension services, University of Zimbabwe
<b>CIRAD</b>	Recherche agronomique au service des pays du sud
<b>CBO</b>	Community Based Organisation
<b>ETC/RUAF</b>	Educational Training Consultants/Resource Centres on Urban Agriculture and Food Security
<b>FAO</b>	Food and Agriculture Organization of the United Nations
<b>FCIT</b>	FAO Food for the Cities programme
<b>GA</b>	Group advisor
<b>IAGU</b>	Institut Africain de Gestion Urbaine, Dakar, Senegal
<b>IDRC</b>	Canada's International Development Research Center
<b>IWMI</b>	International Water Management Institute
<b>KARI</b>	Kenya Agricultural Research Institute, Nairobi, Kenya
<b>LIPO</b>	Low Income Producers Organization
<b>MDP - ESA</b>	Municipal Development Programme for Eastern and Southern Africa, Harare, Zimbabwe
<b>NEFSALF</b>	Nairobi and Environs Food Security, Agriculture and Livestock Forum
<b>NGO</b>	Non-Governmental Organization
<b>PA</b>	Periurban Agriculture
<b>SENAHUP</b>	Service National d'Horticulture Urbaine et Periurbaine, Kishasa, RDCongo
<b>UA</b>	Urban Agriculture
<b>UPA</b>	Urban and Periurban agriculture

# Preface

Globally, our cities and their immediate peripheries are already producing, and will continue to produce, an important part of the food they need to sustain their populations, while providing jobs and employment to the urban poor. The main actors, the producers themselves and particularly the poor, however, continue to be largely absent from urban policy tables. Although urban and peri-urban food production is on the rise in many regions of the world, it faces persistent challenges

In cities, as elsewhere, it quickly becomes apparent that there is no future for unorganised constituencies. What can urban producers, NGOs, CBOs and public agencies do to strengthen the organization of poor urban and peri-urban food and agriculture producers and reinforce their voices and their contribution to the shape and nature of our cities? This manual is a first and timely response to this need.

The manual is the product of collaboration between FAO, Canada's International Development Research Centre (IDRC) and several other partners. This collaboration was formally initiated in 1993 when a group of agencies convened in Ottawa to formalise a support group on urban agriculture. FAO formed an internal working group around 1996 and in 1999 its Committee on Agriculture passed a resolution calling for stronger coordination of its activities in this area. This translated into a new Priority Area for Interdisciplinary Action (PAIA) named Food for the Cities. During this period, FAO and IDRC, together with UN Habitat, have staged joint events at global summits, regional forums and workshops.

The manual focuses on issues of central concern to urban producers worldwide: access to resources for production; financial constraints; policy and regulatory environment; local government and institutional support; environmental and food quality; and safety standards and group organization. Not only does the manual advise urban producers on how to tackle these issues, it does so by showing and illustrating how much more effective it is for producers to tackle these issues as groups rather than as individuals. It explains how urban producers can be assisted in forming themselves into organizations or how they can strengthen their

existing organizations. It distinguishes between issues whose solution lies within a group's control from those, usually more serious ones, whose solution requires co-operation with other groups and stakeholders.

It shows how urban producer groups can cooperate with specific categories of urban actors for their mutual benefit. One action, in particular, seems needed – to document and disseminate to others in the city, the progress made by urban producer organizations in helping to resolve some of the city's key challenges and the progress made by the producers themselves in improving some of their own practices that have raised concern among other urban actors, including local authorities. Showing focus, commitment, self-reliance and transparency improves respect and legitimacy of urban producers in the public eye as trustworthy builders of a better city.

This manual draws on FAO's programme experience with rural producers and agricultural enterprises, as well as with UPA through various sector and commodity-specific interventions. It also draws on information from networks active in urban and peri-urban agriculture (UPA), such as the Resource Centres on Urban Agriculture and Food Security (RUAF), supported by the Dutch DGIS, IDRC and other bilateral agencies. This network recently issued a special issue of its Urban Agriculture Magazine on urban producers' organizations, a timely support to this manual.

The manual is written in a simple and clear language. It is very much a live document, to be further enriched as a growing pool of experiences from the field is tapped into.

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# Chapter 1: Introduction



## Purpose of the guidelines

These guidelines set out the main problems and issues related to low income Urban and Peri-Urban Agriculture (UPA). Suggestions are provided for each issue to show how UPA producers can work together and with other stakeholders for the benefit of all.

UA	Urban Agriculture
PA	Peri-urban Agriculture
UPA	Urban and Peri-urban Agriculture

Improving the capabilities of producer groups and organizations can lead to higher incomes for producers, safer food production for the cities and an increased overall contribution of UPA to a better city environment.

## Urban and Peri-Urban Agriculture

In recent years, due to the explosive growth of cities, food production both within the cities (Urban Agriculture - UA) and in the peripheries (Peri-urban Agriculture - PA) has been receiving increasing attention as a means of contributing to city food supplies, alleviating poverty, providing employment, improving the environment and improving diets in both urban and peri-urban areas.

For the purpose of these guidelines, the term 'producers' includes farmers who directly grow the agricultural produce, people who collect, process and market the produce and others who participate in the marketing/trade chain in the context of small-producer organizations.

UPA has existed for as long as there have been cities. As cities grow, however, the use of land for UPA activities comes into conflict with city planners and developers



since the value of land for sale is generally far higher than its value for production of food. At first, agricultural production is pushed out to the periphery of the cities – the peri-urban areas. These areas then come under pressure for other uses of the land and agriculture is gradually pushed further and further from the cities.



Between 1980 and 2025 nearly half of **Egypt's** agricultural land will be lost to informal settlements. The reasons for such informal urbanization are:

- The value of agricultural production is low. Land prices for house building yield higher profits than does agriculture.
- Existing ground water, even when highly polluted, allows for urbanization while waiting for public water networks.
- Agricultural land is privately owned. Land markets exist.
- Red tape allows for building on agricultural land in spite of prohibition.
- The local branches of the Ministry of Agriculture provide clearance for non-agricultural use.
- Informal housing develops close to existing communities and social and economic networks.
- There are no alternatives for poor and low-income families on desert land.

**(City case studies, Cairo, Egypt)**

In many cities Agriculture is banned or heavily restricted but continues to exist without controls or permits. Producers within the cities and in the city peripheries, are often not only under pressure from land development, but also often in conflict with city authorities over use of land and water and over health standards of production. As part of the informal (and often illegal) economy, UPA producers have limited support and access to advice, training, credit and other resources.

UPA, however, continues to exist and to grow – in some cases as a survival strategy, in others out of a deliberate policy of integration by city planners to provide urban green spaces for agriculture, horticulture and forestry and agroforestry. In such cities, land may be set aside for urban agriculture and its production promoted on urban areas of land that cannot be built upon (flood-zones, road-sides, alongside railways, land under electricity lines, etc.), or that will not be built on for several years.



### **Not just Fruit and Vegetables**

*In **Nairobi, Kenya**, Livestock keeping is a major component of UPA. They produce 45,000 goats and sheep, ~250,000 chickens, and 24,000 dairy cattle.*

*In **Bangkok, Thailand**, edible aquatic vegetables and farmed fish are produced intensively around peri-urban areas and play an important role in the livelihoods of many urban dwellers working as farmers and vendors. Production from aquaculture in peri-urban Bangkok is estimated at around 80,000 metric tons in 2002, (Department of Fisheries, 2004) and generates an estimated income of nearly 3,000 million Baht (US\$ 75 million) a year.*

**(UA Magazine n.14 (edited))**

*In **Accra, Ghana** the general observation is that every second household is engaged in some form of backyard or front yard gardening (Drechsel et al., 2004).*

*"...last season I obtained about 200 kg of maize from my back yard...this could last the whole year for my family of five but I gave some out to friends and relatives around as green ears...as for the cassava it is still in the ground; I uproot it when its time for fufu..." (Wofa Atta, Urban Farmer, Accra)*

**(City case studies, Accra, Ghana)**



In some cases, urban agriculture may also be integrated with other uses such as multifunctional parks and green belts.



On the positive side, produce from UPA can make a significant contribution to urban food supplies. While much of the produce is for self-consumption, increasing amounts are also sold for income and are a source of fresh produce for those who would otherwise have no access to it.



*In **Hanoi, Vietnam** 80% of fresh vegetables, 50% of pork, poultry and fresh water fish as well as 40% of eggs originate from urban and peri urban areas*

***Dakar, Senegal** produces 60% of the national vegetable consumption whilst urban poultry production amounts to 65% of the national demand, 60% of the milk consumed in Dakar is produced in/around the city*

*In **Accra, Ghana** 90% of the city's fresh vegetable consumption is from production within the city*

*In **Dar es Salaam, Tanzania** urban agriculture forms at least 60% of the informal sector and urban agriculture is the second largest urban employer (20%) of those employed)*

***(RUAF "Why is Urban Agriculture important? (Edited))***

Transport requirements and transport costs are low or non-existent and there is a ready market for the produce. Medicinal plants and derived products provide access to health care particularly for the very poor and marginalized. UPA provides employment, income, and food and can contribute to waste management through composting of organic waste and the development of a greener and more pleasant urban environment.

On the negative side, food in many cases is produced, processed, transported and sold under unsanitary conditions, and can at all stages be a health risk to those involved.

This contributes significantly to the negative attitude of many consumers to UPA produce. For many city planners, urban agriculture also clashes with the image of a modern industrial city and is met with hostility.



### **Emergencies**

*In Liberia the civil war forced thousands of farmers to migrate to Monrovia in search of safety and food. Displaced people settled with relatives or in camps in the peri-urban communities, straining the available food supply and social services in these areas. Overpopulation and unemployment means many families cannot adequately feed themselves and children are malnourished.*

*FAO provided support to implement an emergency agriculture relief assistance project that targeted 2,500 war-affected farm families and aimed to significantly reduce malnutrition among children and help displaced families achieve a reasonable income. By using vacant city lots to cultivate food crops, rice production and the sale of seed rice became a major source of income. Additionally, the production of fresh vegetables, and their supply to the local markets contributed to Monrovia's food supply. The effect of these activities was an increase in vegetable production, better nutrition, and a significant drop of malnutrition cases in IDP camps.*

**(FAO Food for the Cities Fact sheet)**



### **What can be done?**

When stakeholders work together, the safety, quality and quantity of UPA produce can be improved for the benefit of all. For this to happen, the first requirement is for UPA producers to work together. Strong UPA producer organizations are able to increase their production, reduce their costs and work directly with city planners and other stakeholders. The majority of UPA producers today have very low-income and depend on UPA-related activities from production to small-scale processing, marketing and preparation and sale of street foods.

Lack of organization, in contrast, means that low-income producers are unable to bargain and negotiate with the authorities and other, better-organised, more powerful groups in society. This means that their access to resources, inputs, services and markets is reduced.

Critical issues are identified that affect UPA and in each case, guidelines are provided as to how UPA producers can work together with each other and with other stakeholders for mutual benefit.

Group Advisors (GAs) play a pivotal role in the process as initiators and catalysts for group capacity building activities and as intermediaries with other stakeholders such as the city authorities, government ministries, Aid Agencies, NGOs and the consumers of urban agricultural produce.



### **Urban Farming as a Livelihood Source**

**Nakuru** (250,000 people) is a town in **Western Kenya**. The most common informal source of income in town is farming which provides employment, food and income. People farm on their own compounds, along streets and riverbanks, under power lines, or on any piece of unused space.

The crops grown are mostly for self-consumption and include maize, beans and kale (sukuma wiki). Livestock keeping is very common with an estimated 25,000 livestock (cattle, sheep, goats, pigs) and some 380,000 smaller animals (mainly chickens) in the built-up area of Nakuru alone.

It is estimated that at least 35,000 households are engaged in urban farming. For about a fifth of them it is a full-time job. Another 8,500 persons find work as labourers, either casually in crop cultivation or more or less permanently in livestock keeping.

For the majority of urban farmers, urban crop cultivation represents an additional source of food for the household, while for many of the poorer cultivators it constitutes a major food source. By growing (part of) one's own food, money is also saved that can be used for other essential expenses.

As one farmer explained:

*"You know, if you manage to grow your own food for several months per year, then you can educate your children from your salary."*

**(African Studies Centre Info Sheet April 2006 (Edited))**



## Urban, Peri-Urban and Rural producers

Although the term *Urban and Peri-urban agriculture (UPA)* is used throughout this book, the emphasis is on *urban agriculture and urban food production* – i.e. production, processing and marketing of crops, vegetables, tree and other non-food crops, animals and fisheries within city boundaries or in the immediate surroundings.

Peri-urban Agriculture – that is agricultural production near to (in the periphery of) cities – shares many of the same problems as urban agriculture regarding legitimacy of land use, land tenure and pressure on land and water for other uses as cities grow.



The extent to which these issues are the same as for urban agriculture depends ***largely on the distance from the city***. The further peri-urban production is from a city, the closer it is to rural agricultural production.

The definition of the term 'Peri-urban', however, varies very widely (from the immediate city environs to up to 60km from a city). At the further distances from a city, there is little or no difference in between peri-urban agriculture and rural agriculture and the issues of rural agriculture are beyond the scope of these guidelines. As such, it was felt most useful to concentrate on the issues which specifically affect low income producers in, or in the immediate vicinity, of cities rather than agriculture in general and groups in general. While many of the issues dealt with by these guidelines will be of interest to low income producer groups in general – whether urban, peri-urban or rural – the main focus is therefore on the urban producer.

## Who should use this resource book?

The resource book has been designed and written mainly for those working with low income urban and peri-urban producer groups such as the following:



- Producer groups and the group advisors who act as initiators and catalysts for group capacity building activities.
- Line ministries and NGOs who provide technical and material support such as agricultural extension, financial, health and/or educational services
- Aid and development agencies who work with the urban poor
- Local government and municipal authorities.

## Structure of the book

Following this introduction, Chapter 2 provides a brief overview of the key issues that affect urban and peri-urban agriculture. Examples are given of each of these issues from case studies drawn from around the world.

Chapter three covers the overriding issue of how and why groups form. The main emphasis of the guidelines though, is on capacity building for groups once they already exist. The process of group formation is referred to in Annex I but detailed guidelines on group formation are beyond the scope of this book and are already covered elsewhere.

The subsequent chapters of the book (Chapters 4-7) then deal in detail with the other specific issues identified in Chapter 2, covering the situation, what can be done and specific suggested actions which can be taken by the Group Advisor (**GA**) or other stakeholders.

Some issues will need discussion with partners, institutions and other organizations for possible action by them. Other issues will require discussion with and action by the UPA groups themselves. All suggested actions will, of course, need to be adapted to the specific circumstances of the group.



## Illustrations

A number of characters are used throughout the guidelines to represent different stakeholders in UPA as follows:



**Mayor:** this character represents city authorities in general, not specifically a town mayor.



**Landlord:** private or public land-owners.



**Banker:**  
financial institutions of any description.



**Consumers:** all those who use the produce from UPA – they may be individuals, groups or families.

**Group Advisor (GA):** any government, NGO or other advisor working directly with UPA groups for capacity building.



**Market Woman:** all those directly involved in sales and marketing of UPA produce.

**Farmer Representative:** any one or more of the UPA group who can represent the group – this may be a group leader or any other representative.



**Farmer Group:** any single UPA producer group regardless of size and composition (gender and age).





# Chapter 2: Key issues



This chapter briefly covers some key issues that are of concern for UPA both for the producer groups and for governments, consumers and all those who live and work in the urban areas. Examples of what is being done to improve the situation are given from different countries and continents demonstrating that there are sound and practical solutions available.

Dealing with these issues can mean safer, more hygienic production of food, better management of urban waste and waste water, greener more pleasant cities with land productively used even alongside roads, rivers and railways. Such a situation would clearly be to the benefit of all and would in turn help to improve the image of urban agriculture.

**The key issues identified are concerned with:**

- *Group organisation – an overriding and essential prerequisite to accessing resources, providing a voice and lobbying power and to increase the legitimacy and image of UPA.*
- *Access to the resources of production – land, water, inputs, tools, markets, training etc.*
- *Financial availability – credit and loans allowing investment in better, safer and more profitable UPA activities.*
- *The policy and regulatory environment – to acknowledge the demand and need for UPA and to support and regulate urban agriculture for the benefit of all.*
- *Local government and institutional support – through extension departments, water and health authorities, city planners, NGOs and other support organizations to provide the information, training and assistance needed to better integrate UPA into the cities.*
- *Environmental and food quality/safety standards – to ensure health, safety and environmental concerns are met and hence also to combat the negative view of UPA.*
- *Analysis of the above mentioned issues from a gender perspective – focusing on the constraints faced by women urban producers and their group strategies for overcoming them.*

This chapter can be used by the **Group Advisor (GA)** as an introduction to these issues in discussion with the producer groups and at stakeholder meetings such as with government, local institutions, and support agencies. The examples given are to show that improvements are possible and can be used as a starting point to discuss what can be done in the specific situation of each city.

*More detailed discussion of each issue and specific actions and discussion points are given in the following chapters (3-7).*



## I. Group organisation

### The issue

Government, NGOs and Aid agencies cannot generally provide assistance to individuals due to the cost and time involved. Without organisation, individual low-income producers have little or no opportunity to improve their conditions. As individuals, they often lack access



to the resources of production – land, water, credit, inputs etc. Whilst they may find space where they can grow some food for themselves and sometimes even a surplus for sale, their options are severely limited whilst they act alone.



#### **Harare, Zimbabwe**

*Groups in Chitungwiza (a dormitory town of Harare) have accessed training more as groups than individuals. Many individual farmers reported that they had no access to training prior to joining groups. In Mabvuku, groups have received training from an NGO called Environment Africa as well as state bodies such as AREX (Department of Agricultural Research & Extension services, University of Zimbabwe). In Budiro and Warren Park, groups received specialist training in mushroom production. In Chitungwiza the strawberry producers are receiving continuous support and training from AREX.*

#### **(City case studies, Harare, Zimbabwe)**

Individuals also have no power and no voice in attempting to improve any of the above critical areas for UPA whilst they act alone. Improving access to inputs, credit, advice and training, applications for land and water rights, lobbying power – become achievable goals once urban producers are organised.



## **What can be done?**

Many agencies – government, Aid agencies, NGOs, credit organisations – are able to work with groups, particularly registered well-organised groups and can actively encourage their formation.

For a group to be effective though, members need to have common needs and objectives, not simply to have come together in order to access credit or training where this is only available to groups. Groups formed for such reasons have no real motivation to work together beyond accessing the training or credit and hence have very little effect on improving member's conditions in the long term.

Groups comprising urban producers who are able to combine their resources, skills and knowledge are essential for action on all the other issues mentioned above. Once a group is well established, possibilities for improving access to resources, working with others, expanding activities and improving standards and acceptance of UPA all improve.

In some cities and countries, forming groups may be particularly difficult – particularly where the activities of the group are themselves illegal. An agricultural production group in an area where agricultural production is not permitted, while it will have some benefits of group action, will not be able, for example, to access government advice and subsidies.

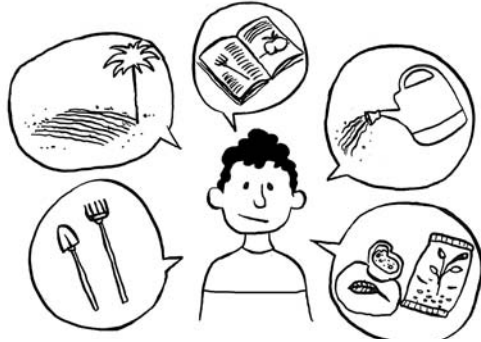
***Suggested actions for the Group Advisor and the issue of forming and working with groups are covered in detail in Chapter 3***



## 2. Access to resources

### The issue

Access to the resources of production, particularly land and water, are obviously critical to urban producers. In many cases, they grow produce illegally on waste land, roadsides, temporary vacant building lots etc. This is often due to lack of choice but can also be due to lack of knowledge of where land is available since many cities have large areas of temporarily unused (and often more suitable) land available.



The land may be unsuitable and is often of low quality but whilst there is no legal agreement or tenure on its use, there is little or no incentive to invest in making the land more productive.

Access to water is a similar and perhaps even more important issue since plants can be produced under hydroponics systems (where nutrients and water are delivered directly to the root of the plant) without the use of soil, but not without the use of water.

Millions of small-scale farmers around the world irrigate with marginal-quality water due to the lack of alternatives. Around cities in developing countries, farmers use waste water directly from residential, commercial and industrial sources without treatment. This poses health risks both to the farmers who are in direct contact with the waste water and also to the consumers from the risk of eating vegetables irrigated with waste water.

The limited access to other resources of production such as inputs, tools and equipment, markets, advice and training are linked to issues such as the lack of a supportive environment for UPA. Where UPA lacks policy support, it often means that producers are not able to access official sources of assistance.



### **The story of Seidu, an Urban vegetable farmer**

"I am yet to be 30 years. Six years ago I joined my brothers in Madina, **Accra**, from Bawku in the Upper East Region. I had the hope of learning and practicing a trade in commercial transport operation. I learnt the trade but could not practice due to lack of favourable openings. I decided to join hands with my three brothers (two are night shift security men and the other like me is a full time farmer) to cultivate three plots of land (about 2 acres) that were yet to be developed into residential facilities in North Legon.

We grow spring onions, cabbages, green pepper, carrots and occasionally chilli pepper. Due to the continuous use of the land for 5 years, the fertility has declined and insects have increased. We therefore have to use fertilizers and pesticides (including herbicides, insecticides and growth regulators). We sell directly to households (who come to the farm) and to market women. The cash flow is good although it is low during August to September when the amount of produce from the rural areas and from imports increases.


The future is unknown for me because the land owner can claim the plots any time at short notice."

**(City case studies, Accra, Ghana)**



### **What can be done?**

Access to suitable land can be increased in a number of ways without going against the long terms plans of city authorities or private sector developers, particularly through the use of temporary licences. Mapping of as yet unused land within cities is often a first step to help city authorities decide where UPA could be permitted at least on a temporary basis.



In the city of **Cape Town, South Africa**, underutilised land around public facilities, road verges etc., are leased out to groups of urban poor households. NeighborSpace in Chicago, USA, an organisation independent from but close to the City Council, liaises between the city (as land owner) and community gardeners who want to use the land.

**(UA Magazine no. 16 - Formulating Effective Policies on Urban Agriculture)**

Incentives (such as tax reductions) for land owners to allow temporary use of vacant land for UPA is another approach, as is direct partnership with land owners. In most cases, access to land will, however, only be granted to groups, not to individuals (**see 6 below**).



Waste water can be very suitable for agriculture with a minimum level of treatment, though where and how it is used needs regulation and training to be safe and effective, both for the farmers and the consumers. Waste water can provide nutrients that contribute to crop growth, but it can also contribute to the spread of disease when improperly used.

**Andhra Pradesh (India)** *Mutually Aided Cooperative Societies Act (1995) and the Companies (Amendment) Act, 2002.*

*Limited water resources, are a key constraint for UPA in Hyderabad. In the project design for the **Musi River Conservation Project**, emphasis is given to using treated sewage to support the agricultural activities by discharging it into the existing irrigation channels.*

**(City case studies, Hyderabad, India)**

Similarly, as cities grow, their waste disposal problems also grow. Much of the organic waste can be separated and used in agricultural production as compost rather than being a landfill problem for cities. Plastic, cardboard, metal and glass can be resold bringing in income.

Organisation into producer groups and working with partners can go a long way toward overcoming these constraints as well as improving access to the other resources of production – tools and equipment, inputs, information, knowledge, advice and training etc. (**see 6 below**). Access to land and other resources is a major reason why UPA producers come together for joint action.

**Suggested actions for the Group Advisor and the issue of access to resources are covered in detail in Chapter 4**

### 3. Financial constraints

#### The issue

Without effective funding, access to the resources of production is very limited. Most urban producers have very low-incomes and cannot afford to invest in tools, better seeds, pesticides, post harvest storage facilities and other inputs. They have problems with managing their cash flow and even funding



basic operational costs. Women producers in particular often find it difficult to access credit because of lack of collateral. The end result is often that their produce is of poor quality and production levels are low which in turn results in poor market prices. Low production and sales and poor prices can only result in low incomes, which creates a vicious cycle.



#### What can be done?

Assisting urban producers to form groups can help to provide access to funding and subsidies (whether through their own savings and loans or through outside sources). Generally, it is preferable to help set up group savings and credit schemes first rather than to encourage application for loans from outside. This helps establish a habit of saving and repayment of loans.

Aid agencies, NGOs and government authorities could also consider adjusting the rules or criteria for lending (as has been done with the Grameen Bank in Bangladesh), or to encourage bank lending to UPA (particularly lending to womens' producer groups). This practice is now widespread for rural groups (e.g. in India), but not as yet for UPA groups

*Suggested actions for the Group Advisor and the issues of reducing financial constraints and improving access to credit and savings are covered in detail in Chapters 4 and 7*

## 4. The policy and regulatory environment

### The issue

Government policy towards urban agriculture has implications for all aspects of production. Without security of access to land, there is no incentive to invest in the land. Access to government institutional support such as extension and training services, credit and subsidies etc. is also blocked or is very limited where city laws oppose the practice of UPA (see 4 below).



Often laws are inconsistent – some banning UPA and others encouraging it in another way such as through the encouragement of small group businesses.

*In Hyderabad, India, whilst there are a number of policies and laws restricting or even banning agricultural production within city boundaries, there are other laws, such as the Companies (amendment) Act, 2002 that actively promote the formation of 'Producer Companies' concerned with agricultural production.*



***(City case studies, Hyderabad, India)***

Lack of regulation of UPA in turn, allows widespread use of unhealthy, unsafe and environmentally damaging practices in production. Disease, and the smells and noise associated with UPA can, in turn, contribute to the negative attitudes towards it by the authorities and those who live and work in the cities. In some cases though, as with small-scale dairy units in Hyderabad, India, consumers will tolerate the bad smells etc. in order to have 'fresh milk'.



The by-laws of the **Accra Municipal Assembly (AMA - Ghana)** state that: “no person shall keep any swine, cattle, sheep or goat within the area of administration of the AMA and without a permit issued by the AMA for that purpose which shall be determined in accordance with the fee-fixing resolution”. i.e. one must consult and pay fees, whether poor or rich and be licensed to operate in a limited area. Such costs, in themselves, may ensure that urban agriculture stays illegal and unregulated in some areas. Other regulations concerning waste disposal and waste water use, limit the operation of irrigated farming. The regulations do not take into consideration simple technology that can transform waste water into useful agricultural water and solid waste into good fertilizer.

**(City case studies, Accra, Ghana)**



### **What can be done?**

A balance needs to be found between controlling the potential hazards of urban agricultural production, whilst recognising and encouraging aspects such as food security, employment, use of organic waste etc. When national and local authorities work together with urban agriculture groups, rather than against them, there can be considerable environmental and nutritional benefits for all. Policy towards UPA needs to recognise and support its contribution to cities whilst regulating the health and environmental aspects.

Care needs to be taken that regulations for UPA do not add so much to the costs that production becomes inflexible and inefficient – as has happened in some cases. This can mean that while UPA is legally permitted, in practice the costs ensure that it stays outside the law and so remains unregulated with all the associated health hazards. Most urban producers have little or no resources to spare and any regulations which add to their costs, may mean that they simply cannot be implemented.

Capacity building of UPA groups can help them to have a stronger voice in working directly with the authorities and other stakeholders on these issues. Specific training on advocacy and lobbying can be particularly useful here.

**Suggested actions for the Group Advisor and the issues of legitimacy, attitudes toward UPA and working with others are covered in Chapters 5 & 7.**



### **Policy approaches**

In developing a national policy for urban agriculture, approaches vary considerably around the world according to perceptions of what would and would not work in a specific country. For example, **Kampala**, the capital of **Uganda**, has adopted a regulatory approach to urban agriculture based on a system of permits, licenses, and use of legal instruments.

In contrast, the city of **Rosario, Argentina** has developed a policy framework based on economic incentives, communication and training tools.

NGOs, government departments and municipal officials, work together to actively support urban farmers. Restrictive by-laws have been removed to make public lands available for farming and farmers are provided with training and advice, tools, seeds, and other essential supplies.

The programme has helped establish over 600 groups of producers, two producer-led agro-industries, one processing vegetables and one producing natural cosmetics using medicinal plants.

**(UA Magazine no. 16 - Formulating Effective Policies on Urban Agriculture (edited))**



## 5. Local government and institutional support

### The issue

Access to advice and support from local government and other institutions, is often not available due to the illegal status of UPA. Agriculture and agricultural extension, water, health and sanitation authorities, markets, parks and gardens are amongst government institutions that can have a major impact on the integration of UPA into cities where UPA is legal.



NGOs and Aid agencies also have limitations in the extent to which they can work with urban producers. For most national and local organisations to work with urban producers, they first require that the urban producers are organised in groups and often secondly that they have some form of legitimacy such as legal registration. **(See Group Organization - issue 1 above).**



### **Urban agriculture is not going to go away**

*Enforcing the laws have resulted in gardens of squatters being “pulled down 13 times to be rebuilt on each occasion” (Hart, 1970). In 1992, officials of the Department of Parks and Gardens gave ‘stop cultivation’ orders to a group of growers at a place near the Osu Castle in Accra. “...in that year it was the interventions by the President himself that saved us and the livelihood of many”*

**(City case studies, Accra, Ghana)**

Where UPA is not recognised as a legitimate activity, it is often actively stopped by law enforcement agencies. In contrast, where UPA is recognised as a legitimate activity by city authorities, the institutional support needed to properly control and regulate production can be made available. Such local institutions can provide the essential advice and support needed to ensure the safe practice of UPA.



Since UPA supplies a clear need, even without the support of local government and institutions it continues unregulated with all its associated potential dangers. Institutional support, regulation and control are in the clear interests of all stakeholders.



### What can be done?

Once national, or at least local government policy, allows UPA as a legitimate activity (**see issue 4 above**), support, advice and training from city authorities and local institutions can be provided. City authorities can map land available and help plan where UPA is suitable, integrating it into city plans. They can issue temporary permits for

government owned land and offer incentives to private land owners (**see 2 above**). Agriculture and Agricultural Extension departments can offer advice and training. Water and waste authorities can ensure provision of suitable water and also enlist UPA producers in keeping the city clean.

Where the policy environment expressly prevents any UPA activities, it can still be worthwhile investigating whether there are other laws or criteria which allow small group businesses or horticultural activities (for example) in urban areas.



#### **Participative municipal strategies**

*In July 2005 authorities and representatives of municipalities from Lima, Perù metropolitan area attended a workshop focusing on municipal strategies for urban agriculture.*

*As a result, mayors drafted, and later signed, municipal declarations that recognized urban agriculture as an strategy for enhancing food security and creating more inclusive, productive and ecological cities.*

*Key guidelines for promoting urban agriculture were given including:*

- *facilitate access to land through use of vacant plots and tax exemptions*
- *increase access to water through use of gray water and the re-use of treated waste water*
- *re-use organic waste*
- *inclusion of UA in existing micro credit systems and participatory budgets*
- *strengthen and empower urban producers*

**(RUAF website: [www.ruaf.org](http://www.ruaf.org))**

In all cases, institutional support and the opportunity to participate in city planning is usually only available to groups rather than individuals, hence again, a first step is for UPA producers to be organized into groups.

*Suggested actions for the Group Advisor and the issues of institutional support and working with partners are covered in detail in Chapters 4 and 5.*

## 6. Environmental and food quality/safety standards

### The issue

Many of the objections to urban agriculture are because of the sights, sounds, smells, waste products and health and environmental hazards associated with agricultural production.



Production of crops and livestock can create water and air pollution as well as food contamination. Dumping and burning of livestock

waste, chemical residues from fertilizers and pesticides applied to crops, or infection of produce, particularly when it is washed in waste water are all serious health and environmental hazards. Spread of disease through raising of animals in unsuitable urban spaces, uncontrolled use of sewage and other waste in production and the unhygienic processing, transport and sale of produce, all add to the dangers and negative image of UPA. Urban production can also be



### **Agricultural nuisance?**

*In Accra, Ghana, residents complained about the rearing of animals in homes “because they say the situation posed security and sanitation problems in the area...the practice is a worry and concern to them since they are sometimes chased by excited cows. The residents have therefore appealed to the city authorities to enforce the regulations which prohibit the practice, as stipulated in the Accra Municipal Assembly (AMA) by-laws”*

*(City case studies, Accra, Ghana).*

seen as anti-social as well as unsafe by many residents and can lead to arguments, disputes and complaints to authorities.

Negative perceptions of UPA by city residents and authorities, in turn lead to a negative policy and legal framework making it difficult for UPA producers to work with local authorities.



### **Health risks – Irrigation in Ghana**

*Studies conducted on (peri) urban farm produce in Ghana revealed widespread contamination by microbial organisms, both in the field and at the distribution points. Sources of contamination are mostly related to:*

- *irrigation water, whether waste water, surface water or pipe-borne water from ground reservoirs;*
- *fertiliser inputs; and*
- *handling and storing of produce at points of sale.*

*The most common bacteria found included E. coli and Salmonella, as well as others commonly found in faecal matter.*

*A recent study in the Accra Metropolitan Area showed that waste water was the most frequently used water for irrigation purposes (used by 60% of farmers).*

*In 1995 the Accra Metropolitan Assembly enacted a by-law for the “Growing and Safety of Crops,” strictly banning the use of waste water for irrigation. These by-laws however have never been enforced.*

*Further contamination with health threatening micro-organisms occur at the market due to poor handling and storage even affecting vegetables produced using tap water.*

*A third source of potential contamination is found in manure. Poultry manure, which represents 75% of the organic fertiliser used, generally contains health threatening bacteria.*

*Despite the significant health risks related to this type of contamination and its widespread frequency, (peri) urban agriculture continues to expand. Any solution needs to consider water quality, soil fertility, treatment of waste water and solid waste, education and sensitization of producers and consumers.*

***(UA Magazine no. 3 - Health aspects of urban agriculture (edited))***



## **What can be done?**

There are limits to where it is suitable to raise animals and where manures and untreated waste water can be used in cities. City authorities, urban producers groups and other stakeholders need to work together to agree how production can be controlled within acceptable bounds and areas. Ideally urban agriculture needs to be deliberately integrated into city development plans with controls on environmental issues. In practice this rarely happens as urban agriculture is predominantly practiced by the poorest, living often in slum areas, which are often ignored by the city authorities. Where UPA producers work together in groups, are willing to work with the authorities and have received training in advocacy, they can increase their influence with city planners. Under such conditions, where city authorities work together with producer groups, there are possibilities to restrict the worst health and environmental excesses whilst encouraging good practices and providing a better livelihood for the UPA producers.

Safe food production and sale are vitally important issues and urban producers need clear guidance and training on how to produce food safely in the cities, how to use waste water and other waste suitably and how to process, transport and handle produce hygienically. City authorities need to ensure clear guidelines are produced, producers understand what is needed and that the standards are enforced for UPA to become more widely accepted.

***Suggested actions for the Group Advisor and the issue of safe production are covered in detail in Chapter 7.***

### ***Summary***

**The key issues identified are the need to improve:**

- **access to the resources of production**
- **access to finance**
- **the policy and regulatory environment**
- **local government and institutional support**
- **environmental and food quality/safety standards**

**In all cases, urban producers need to become organized. Working together in groups is an overriding need to increase access to resources and to have greater influence over policy issues. Those who work with urban producers can do little with individuals alone, but can help in many ways in all of the identified areas when urban producers are willing and able to work together. UPA will continue whether or not it is regulated. However, it is in the interests of all to work together to improve the safety and quality of produce.**



# Chapter 3:

## Working with groups



This chapter deals in detail with the issue of forming and working with urban producer groups. Beginning with a summary of why UPA groups form and the advantages and benefits they can bring for members, the chapter then goes on to discuss how to analyse a group's situation and how they can improve it using a SWOT analysis process.

*Further information on group structure and dynamics and participatory methods for working with groups are given in Annexes I and II.*

### **Key points**



**How and why form groups?**

**New or existing groups**

**Participatory procedures**

**GA actions**

- **Survey the community**
- **Analyse problems and opportunities**
- **Conduct SWOT analysis**
- **Analyse SWOT to see how to improve the situation**
- **Prioritise actions**
- **Review resources needed**
- **Carry out the actions**

**Managing the business**

**Mobilising resources**



### **Common concerns, common threats**

Initially, fodder grass producers in **Hyderabad, India** held informal discussions among the farmers regarding fodder grass varieties and related areas, but with no formal organization as a group.

A common concern was to find a suitable market place in the city and after some discussion, the farmers formed an association of fodder producers - the 'Green Grass Growers Association'. A market place was arranged on an open private land space. However, once daily fodder trading began, there was no attempt to register the Association or to take up any further activities. The fodder market continued until 1982, when the landowners asked them to leave. Eventually, a mosque agreed to lease some land adjoining the mosque to them on an annual basis. Since then the fodder grass market has been functioning from there.

In the mid nineties, the market place again came under threat as a result of a by-law issued by the city authorities which prohibited the movement of buffalo, bullock carts, fodder transport vehicles etc., due to their nuisance to traffic. This common threat led to renewed collective action among the producers and brokers. Following legal action, the group were allowed to stay in their existing market location. The group of farmers also formed and registered a new organization, the 'Farmers Green Paragrass Growing Society' in 1999. The major objective of the society was to seek government land for the formal establishment of a green fodder market. Finally, it was agreed to provide a vacant government plot to the producers group.

However, there are several problems associated with use of the allocated plot such as maintenance, repairs to pipelines, access to the site and a fall in support for the producers following a change in government. The land is also under threat of acquisition from a government development scheme. A new collective association has since been formed to represent the farmers in negotiations with the government. The farmers are presently trying to mobilize public opinion on the issue through the media and other forums.

**(City case studies, Hyderabad, India)**



## How and why do UPA groups form?

Individuals are rarely able to have much influence on solving the key issues identified in Chapter 2. They have little power and influence with city authorities or a landlord who threatens to take over their land.



They also have little or no access to credit, loans, training and advice.

Individual producers generally come together initially because of a common need. This may be to combat a threat to the land they farm, to lobby authorities for access to markets, resources or services, to access credit, loans etc. (generally only available to groups), or to gain economies of scale through bulk purchase/sale (such as through cooperatives).

## Social role

There can also be social reasons for a group to form such as rehabilitation of youths from drug use/abuse, support for orphaned children and HIV infected and affected members of the communities.

Eighty percent of the groups registered with the Department of Culture and Social Services in Nairobi are Self Help Groups (SHGs). The rest are Community Based Organisations (CBOs) or Savings and Credit organisations (SACCOs).



### **Nairobi, Kenya**

*Through the LIPOs (Low Income Producer's Organizations) in **Nairobi, Kenya** the social role of UPA comes to the fore. The most important aspect of the social role of the groups is their role in HIV/AIDS management through involvement of the affected and infected. This helps reduce the stigma associated with the HIV/AIDS pandemic within communities. Another role is in helping reduce stress caused by retirement and retrenchment, providing them with an alternative occupation. Youth previously involved in social vices have been helped through UPA youth groups while street children have been rehabilitated through the same programmes.*

**(City Case Studies, Nairobi, Kenya)**



### **Uthiru Muthua SACCO**

*This group began in 2003 with an initiative from extension officers who wanted to reach more farmers. However, the group saw the need for collective bargaining and pooling of resources and began providing microfinance services on its own by giving soft loans to members. They also started receiving microfinance loans from SISDO (an NGO). With success in this venture, they decided to move to a higher level and register as a SACCO with the Ministry of Cooperative Development, partly also because interest rates from the microfinance loans were too high.*

*With this arrangement they have been able to access loans from the Cooperative Bank of Kenya. They have to raise 60% of the total applied for as a group, while the bank provides the remaining 40%. The 60% is the collateral instead of land and other property as is the norm with bank loans. They then lend out money to members at 12% interest*

*Another important feature of this group is that other than the usual leadership roles it has several committees e.g. credit, supervision and education to run its affairs. It has penalties and fines for group members who violate rules as set out in its constitution. For instance they require proof of a hospital visit if that is the reason given for skipping a meeting.*

*The group has both youth members and members of up to 50 years old and more. It has a total membership of 60 people with the majority being women. They mainly engage in crop and livestock keeping as far as UPA is concerned and some small scale trading. Small scale businesses were started with loans from the larger group though members run them on individual basis.*

*As a group they have special projects e.g. Small scale processing such as production of jams, yoghurt etc and handicraft making. The group has good access to extension services and most other services due its proximity to Nairobi and the main highway. It also has secure land tenure and no consumer attitude problems toward their produce.*

**(City case studies, Nairobi, Kenya)**

Groups are usually location specific – and often relatively homogeneous in terms of social status, ethnic background and religion. This makes it easy to get to know each other, it is easier and cheaper to arrange meetings and it is easier to build trust between members.

The role and status of men and women within the groups varies very widely with some being all or mostly women members (such as in Harare),

others are mixed but with relative equality between genders, and others are men only or dominated by men (as in the fodder producers in Hyderabad).

There is considerable variation between cities within countries as well as between countries. Often there is a gender division in terms of activities with, in many cases, women being the main group involved in processing and marketing, whilst men are involved in production.

By working together, a group can take advantage of the skills of different members. Some may be good at figures, some are good with their hands, some are very quick to learn technical things and others are good with people. Members can also learn from each other.

Work can also be divided amongst the group members, making the best of the time everybody has available. This ensures that the group's work goes on even if one person is sick or not available one day. Even the hardest or most tedious jobs are easier or less unpleasant when people work together to do them.

It is easier for groups to get assistance – training, loans, advice from development agencies etc. It is difficult for development agencies to



### **Main reasons for working in groups**

- *Sharing of skills and information*
- *Sharing of resources of production*
- *Bulk/joint purchase of inputs*
- *Provide a venue to share problems and find solutions*
- *Joint marketing of produce*
- *Allow access to agricultural extension and other advisory channels*
- *Through group savings and credit schemes, provide the funding for increased production*
- *Through mutual self-help schemes, provide insurance for illness and other urgent funding needs*
- *Allow access to NGO and government grants, subsidies and funding*
- *Provide a joint voice for communicating with or putting pressure on authorities*
- *Provide legitimacy through group registration*



reach individuals because it is too expensive, inefficient and impractical. But if people work together in groups, they can more easily be reached and are better able to request assistance. For example, an extension agent can work with the whole group at once rather than each person separately. A bank can provide a single large loan to the group rather than individual small loans to each member. Seed, fertilizer etc. can be bought in bulk for all members and produce can be marketed together, cutting the costs.

Groups give members, especially women, more self-confidence and status. People are usually more willing to try something new if they are not alone, or can at least ask others what they think.

**Decision making.** One problem with groups is that while decisions taken in a group are often better and more realistic than those made by individuals, it takes longer to make decisions and as such, is not practical or appropriate in all cases.

Many issues influence the effectiveness of groups, such as the type and quality of leadership, the group dynamics, access to resources, level of member participation etc. Sometimes groups are formed solely in order to access support from others. In other cases, a group may be formed for a common productive or social purpose and later look for outside support.



*Low income producer organisations in Accra are based on specific business activities: vegetable farming, pig production, grass cutter production, etc. The advantages in organizing around specific businesses are clear: it reduces the risk of attending to different interests. The major challenges of vegetable farming concern water for irrigation, fertile land, effective pesticides, while that of the grass cutters concerns all year round feed. The organisations are largely location specific. This makes familiarity with one another easy and builds trust quickly. Dzorwulu is less than 5 kilometres away from Osu where Marine Drive Vegetable Farmers Association is, but producers in these locations prefer to associate as different groups. Indeed, many of the members of the Ablekuma Grasscutter Farmers Association have reorganized as new groups in different parts of Accra.*

**(City case studies, Accra, Ghana)**

## Types of group – social, political and production

Not all groups are suited to carrying out production activities. A group may be formed mainly for social support of members (mutual support in terms of friendship, advice, mutual self help and even sport and entertainment). The success of such a social group, depends on the



extent to which members feel these roles are satisfied by being part of the group (e.g. how much they enjoy it, how much they appreciate the mutual support mechanisms etc.). Similarly for a political group, the success will be measured by progress towards its political aims (such as changing municipal policy to be more supportive of urban agriculture).

The success of a production group on the other hand, depends more on how profitable it is – for example, how successful it is at jointly producing and selling the members produce. How satisfied a member of such a group will be will depend to a large extent on the increase in income s/he gains from being a part of the group.

Not all producer groups will want to do everything together and another possibility is for the group to mainly aim to provide **services to its members**. Examples of services could be access to inputs, bulk purchase of supplies, group marketing or policy lobbying. Group members could then run actual production activities individually. In some situations this approach can be very successful, since, if properly managed, it can combine good points of both individual and group business.

One of the most widespread form of producer group is the



*“Since we organised ourselves as urban producers, we have been able to participate in the participatory municipal budgeting process (in which citizens can participate in the decision-making on allocation of public resources). We thus have negotiated some money for an agro-industry. We could not have done this individually”.*

*Interview with Tomaza Ramos, urban producer-Rosario:*

**Video - Small urban producers organisations. FAO-FCIT, ETC UA, IPES and IDRC. 2006.**

**cooperative** which can vary from a few tens of members to several thousand. The larger groups can have considerable influence on policy making and can provide major services to their members in terms of bulk purchase and sales, advisory and training services.



### **Characteristics of successful groups**

- A sound leadership, recognized and accepted by the whole group
- Members have a common bond
- The group has clear agreed objectives
- Commitment by all group members to work well together
- Members participate in discussions, decision-making, activities, savings, record-keeping and sharing benefits.
- Members keep accurate records of their activities, finances and meetings
- Group discipline, i.e. holding regular activities, regular meetings, having a set of rules which members agree to follow
- Existing group savings and willingness to contribute regularly to them
- Resources within the group (i.e. materials, skills) which could be used to develop a small business
- Preferably a maximum of 15 members (it is more difficult for bigger groups to run a small business)
- Realism regarding possible achievements
- At least one group member who is numerate (can do simple arithmetic)
- At least one member who is literate (can read a write simple text).

*(The more group members who are numerate and literate the better, but if none can read, write or count, it will be very difficult for them to run a business on their own. If they need to use relatives or others to keep group accounts this can cause difficulties as they can easily be cheated and it will be difficult to check for themselves if this is happening).*

**Group Enterprise Book – FAO, available free from:**  
<http://www.fao.org/sd/PPdirect/PPre0018.htm>



## New groups or existing groups?

In general, it is found to be simpler and more effective to work with existing groups than to try to form new groups, since an established group should already be used to working together and have agreed goals and rules of operation.

In some cases though, it may be necessary to form new groups, particularly if an area is made up largely of migrants or refugees who do not know each other. This is a common issue amongst urban producers.

If a new group is to be formed, a critical issue is that members have a common objective and motivation for working together. If a group is formed only to access credit, or other inputs, they often have little incentive for working together in other areas. Similarly, if a group is put together by an outside organisation, they may continue to rely on others for their organisation and motivation rather than looking to themselves. As such they will not be sustainable in the long term.

### **Ruai Dairy Goats Self Help Group**



*This group is based on the outskirts of **Nairobi, Kenya** and most of its members have secure land tenure and high literacy levels. They are able to source information and training and have made good networks from their own initiative. They are also members of NEFSALF, a farmers network. They have been able to acquire superior breeds of dairy goats and are aiming at becoming professional breeders as a commercial activity.*

*Their main reason for keeping dairy goats is that they have small plots of land that cannot sustain other forms of UPA. They have an office and through the more literate members, they are able to access Internet facilities. They are very cohesive and have put structures in place to ensure they are self-sustaining but still write proposals to seek support in other areas of interest.*

**(City case studies, Nairobi, Kenya)**

## Using participatory procedures

In working with groups, the GA's role should be that of a facilitator. This means that s/he works with the groups to help them solve problems and gain the maximum benefit from the skills and knowledge they have within the group:



- Guide the discussions – help the group members structure the discussions and summarize regularly unless (or until) someone in the group is able to do this.
- Encourage everybody to contribute in giving their views and opinions – particularly the quieter members (often women or young people). Gradually everyone will gain the confidence to contribute to the discussions.
- Help ensure members are given the time to express opinions and ask others to listen.
- Look for practical ways to get all members involved and contributing to the group.

It is generally most effective to encourage groups to learn from each other. However, there are many different types of groups and group leadership. Some are formed from individuals with a common interest or objective and work together as equals, others have been formed by one or two dominant leaders and are controlled by them. Still others are not really groups at all, but small businesses with an employer and employee relationship. There are also many different leadership styles and what is appropriate depends on the skills, knowledge and experience of the group members as well as their contributions to the business of the group.



## Transitory members

A particular problem with many urban agriculture groups is that members are often transitory and only work part time in urban agriculture. Some then find other work and leave the group. Others may move to another area and new members may want to join at any time. As such, the more open the group is to discussion and learning from each other, the better the group will be able to survive such changes. This means encouraging members to learn different roles within the group so that the group does not collapse when one key person leaves. The key characteristics of this type of participatory learning in groups is that the learning originates from the needs and problems of group members and every participant is considered as both a trainee and trainer – all have something to contribute to the success of the group.

## Benefits of participatory learning

- Gives group members better insight and understanding of their situation.
- Makes them more aware of their own values, attitudes, skills and knowledge.
- Allows them to discover their hidden talents and capacities.
- Gives them experiences in problem solving and decision making.
- Above all, increases their self-confidence and self-esteem.

## Women's participation



The level of women's participation in groups varies considerably by country, city and even within cities according to the communities. In some cities, women have equal rights with men and play equal parts in groups including leadership roles. In other's women are only allowed to take part in women only groups and their activities are restricted. Where women's role is restricted, promoting their participation in groups can be difficult as they are often reluctant to air their views or challenge the views of men in public.

### **What can be done?**

Be flexible about group membership. In many places, the natural tendency may be to form mixed groups, with both male and female members. However, because men generally dominate such groups, they often do not provide the best environment for making the most of the skills and resources women can bring to the group. Forming all-women groups may be a good first step. If a mixed group is already in operation, it may be practical to suggest breaking into separate husbands and wives' sub-groups, so that the women can meet separately from the men and gain self-confidence in speaking and publicly presenting their views. If men object to the formation of separate all-female groups, mixed groups can be formed, but measures should be taken by the GA to encourage female participation in group decision making. For example, it might be agreed that a percentage of the members and group officers should be female.

Men may need to be shown the benefit of increased women's participation in decision making. For example, women are often more concerned with details than men and tend to make better treasurers and secretaries. Women also tend to save more regularly than men and are more concerned with paying back debts. Women, however, are less likely to have had the opportunity to learn to read and write than men. In this case, more attention has to be given to encouraging women's participation.

***More information on group organisation and group dynamics is given in Annex I covering the following important aspects:***

- Motivation, common goal and purpose
- Membership
- Group dynamics
- Decision making
- Conflict management
- Self reliance and sustainability

***The GA should be familiar with this material before beginning to work directly with the groups. Example techniques for participatory learning in groups are given in Annex II.***



## Group Advisor actions

The following steps can be carried out directly with the community and producers groups where the GA works. The process analyses the situation and the problems and opportunities for improvement for the producers group then helps them to prioritise activities they can carry out.



### Step 1: Survey the community

Gather information about the community and its leaders from other development workers and government officers. Who lives there?



What producer groups are there? What do they produce? Do they process produce? Do they market directly? Where? What organizations help these people?

What are their main problems? What successes have they had? What is the membership, structure and management of the groups? What about women and youth membership and roles? Do they keep records? Are they registered? Do they have a savings and loan scheme? What is their main goal?

If there are no existing or no appropriate groups, would it be worthwhile attempting to form



#### *The main elements of the process of group formation are:*

1. Identify who you want to work with e.g. the poorest of the poor, those with some resources, recent migrants, those already engaged in some form of agriculture already, those with previous experience etc.
2. Discuss group formation to see who is interested, who has common goals and objectives, what skills and resources they will be able to bring to the group etc.
3. Establish the group through discussion and training on the main aspects of:
  - leadership,
  - member contributions
  - group rules
  - keeping records

Group formation is covered in more detail in the group promoters manual available free for download at:

[http://www.fao.org/sd/2001/PE0303\\_en.htm](http://www.fao.org/sd/2001/PE0303_en.htm)



one or more new groups? Be aware that formation of viable and stable groups requires patience and, in most cases, a period of from two to six months. You should avoid both overly rapid formation and overly long delays, which may dampen the interest of potential group members.

Existing groups may well be reluctant to provide much information initially, so it may be best to first approach leaders in the community and ask them to introduce you and your aims in working with them. If other organizations are working in the area, this will also affect how you work. People develop expectations, both good and bad, based on their experiences with people who have come to help them before. It is important therefore, to find out what people think about their previous 'helpers' and what people expect from you.

Note that the same information collected from different sources often varies. It is important to check information from different sources until you have a good idea of how accurate the information is.



### **Step 2: Analyse problems and opportunities with the group**

In discussions with a group, the role of the GA is to help the group help themselves. In some areas, particularly regarding city or national policy, an individual producer group may have little direct control or influence, and the GA may have to work on their behalf. In all areas though, whether learning new skills, starting group savings, or working to improve input supplies or markets, the group members should be actively involved wherever possible. The aim is to help the group be self-reliant, not to carry out actions on their behalf.

Never promise what cannot be delivered – apart from the disillusionment it causes, it makes it much harder to carry out work with the group in the future if they have been disappointed once.

Hold a general meeting with the group to discuss their situation – what they produce now, what problems they have with production and with the group itself and what they think can be done about it. At this stage, do not offer any direct solutions. Tell them that you will discuss this with them at the next meeting (**see below**). The purpose of this initial meeting is to become familiar with the group and for them to get used to you.

Ask them what other opportunities they think there are for improving their incomes.

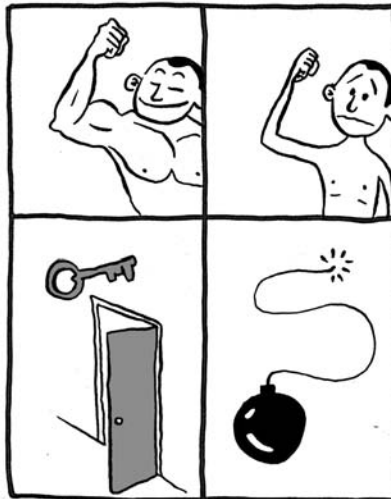


### Step 3: Help the group carry out a simple SWOT analysis

In the next meeting, help the group to carry out a SWOT analysis of their situation. Discuss their Strengths, Weaknesses, Opportunities and Threats (SWOT), to help them identify where there are ways in which they can make progress.

- Strengths: are attributes of the group that are helpful in making a living from UPA
- Weaknesses: are attributes of the group that are make it difficult to making a living from UPA.
- Opportunities: are external conditions that are helpful to the group in making a living from UPA.
- Threats: are external conditions that are harmful to the group in making a living from UPA.

#### STRENGTHS      WEAKNESSES



#### OPPORTUNITIES      THREATS

**An example of an overall SWOT analysis for UPA**

Strengths	Weaknesses
<p><i>Ready market for produce</i></p> <p><i>Proximity to market and customers</i></p> <p><i>No/low transport costs</i></p> <p><i>Proximity to services – electricity, water, gas, aid agencies, NGOs, government services</i></p>	<p><i>Illegality in many cases</i></p> <p><i>Shortage of land</i></p> <p><i>Lack of tenure</i></p> <p><i>Poor image of UPA produce</i></p> <p><i>Low quality/unhygienic production</i></p> <p><i>Clashes with industrialised outlook of the city</i></p> <p><i>Limited information available on urban agriculture</i></p>
Opportunities	Threats
<p><i>Use of urban waste for compost</i></p> <p><i>Use of grey water and waste water for irrigation</i></p> <p><i>Continued growth of cities leads to growing demand for produce</i></p> <p><i>Niche markets for mushrooms, small animals, flowers and ornamentals, medicinal plants, fisheries, fodder and fruit trees</i></p> <p><i>Environmental benefits, particularly from trees and green areas.</i></p>	<p><i>Legislation/policy environment against UPA</i></p> <p><i>Health risks from unhygienic or polluted production, processing and marketing</i></p> <p><i>Environmental hazards from agricultural chemicals, waste products, noise and smell nuisance</i></p> <p><i>Pressure on land - confiscation</i></p>



### **Step 4: Use the SWOT analysis to see how they could improve their situation**

Ask and help the group to answer each of the following questions:

- How can we use or improve each **Strength**?
- What can we do to reduce or remove each **Weakness**?
- How can we make use of each **Opportunity**?
- What can we do to reduce or remove each **Threat**?

Wherever possible, try to encourage the group to think what they as a group can do. i.e. not just what you as the GA could do, or what government/municipal authorities should do. It is much simpler and more practical for the group to take action itself than to try to get others to take action.

There will, however, be areas such as the policy environment, access to water, or land tenure that are largely outside the influence of an individual group. An Inter-group association, or other network or partner organisation (**see Chapter 5**) can be one way to approach such issues. In other cases, the GA may need to act as the intermediary initially between the group or groups and government or other organisations (**see Chapters 5-7**).

Even where the group cannot directly influence one of the elements of the SWOT analysis, they can help to analyse and understand what needs to be done and what is the most promising approach to achieve the action.

*An example of an expansion of the above SWOT analysis to show what could be done and who/what organisation could take action is given in Annex III*



### Step 5: Prioritise actions

Having analysed the SWOT and decided what can be done, and who needs to do it, help the group to prioritise the actions according to what can be done most easily and what will make the biggest difference. It may be that several actions can be taken simultaneously. For example, a group may be interested in investigating a new niche market such as mushroom production. This might need both a market investigation/study by the group members to see what the demand is for the mushrooms and also arranging a short training course and visit to existing mushroom producers to learn the techniques and begin production.

Other actions may be priorities for the GA to take on behalf of the group. E.g. to arrange a meeting with city planners and his/her NGO/Aid agency or other organisation to discuss city mapping for available vacant land.



#### **Example of prioritised actions**

1. Offer direct delivery of produce to homes (build on a strength): Group members
2. Investigate market for mushrooms (investigate an opportunity): Group members
3. Learn about more hygienic production techniques (reduce a weakness): GA to arrange training/expert talk/demonstration through Dept of Agriculture or Dept of Health
4. Raise issues of temporary land tenure licences with municipal authority: GA to discuss through an NGO group meeting with Donors and/or government



### Step 6: Review the resources needed

Help the group to review what resources are needed to carry out the actions. Are funds needed? Does the group already have the funds or can they access them? Do they have the skills needed or do they need advice, information or training? How can this be arranged? It can be useful to carry out a role play to imagine carrying out the activity here (**see Annex II**). For example, to grow mushrooms, where will they be grown? Where will they get the materials? How will



they package and transport them? Where will they sell them? To who? When? How will they pay for everything? (**See also mobilising resources, this chapter – below**).

Which actions are most practical to begin with now? Does the order need to be changed? Do more resources need to be saved for first?

In general it is best to begin with simple activities and those which require few or no resources until the group gain confidence that they can change their situation. Then discuss larger and more complex actions and business activities – which may also need savings and credit funds to be established first (**see below**).

### **Step 7: Carry out the actions.**



The group and the GA now need to actually carry out the actions agreed. There will inevitably be some successes and some problems and set backs in carrying out the actions. These can be discussed in the next group meeting, and a decision made on what to do next for that issue or to work on another action instead.

Eventually, the aim should be for the group to make all their own decisions or directly contact extension/advisory staff and government officials/NGO organisations without the intervention of the GA (**see next section**).

### **Managing production activities**

Managing an urban agriculture business is much the same in principle as managing any other business. To be successful, costs need to be kept as low as possible and profits as high as possible.

Cash coming in and going out (cash flow) has to be constantly watched so that bills that have to be paid are planned for in advance. Income has to be clearly separated from profits so that enough funding is kept back to enable the business to keep going. Equipment and



premises need to be maintained, and the group accounts need to be kept up to date.

These aspects of running a business are covered in the **group enterprise resource book** – including:

- The Balance Sheet
- The Profit and Loss Account
- Cash Flow
- Profit or loss sharing among the group members
- Maintenance of premises and equipment
- Monitoring the business
- Marketing
- Expanding the business

If the group does not keep regular accounts, or needs training in these aspects, make use of the group enterprise resource book to conduct training on these aspects. You can either do this yourself if you are competent in these areas, or ask an outside resource person to assist.

### **Mobilizing members' resources and external resources**

The starting place for funds and resources for the producers group should be the members themselves.

Operation of a group's production activities needs ultimately to be paid for by the profits from the business itself (since otherwise the business is not viable). However, there can be difficulties in the start up costs of a new business, in cash flow during the business cycle (see the group enterprise book for more details) or in the expansion costs for a growing business or new enterprise. In such cases, savings and loans are needed are either from within the group, or from an outside source.

## Savings first

For all businesses, resources, time and money need to be put in before anything is gained back. This can be a major problem for the poorest and loans may be needed for the start up phases. The habit of saving before providing loans must be encouraged, however, since loans need to be repaid and unless a group is familiar with the need to set aside money regularly, they will quickly get into difficulties. For the poor, this is particularly difficult as there are so many demands on any funds that they do have – for food, medicine, clothes and schooling amongst others.



The main sources of outside funds are banks and other financial institutions, NGOs and development agencies, relatives and friends and local money lenders.

The local money lenders should be avoided at all costs as their interest rates are far above any other lenders. They generally only continue to exist because people are desperate for cash in the short term and hence have no choice. They also often do not realize the real cost of the loans since the interest is usually demanded over the short term. (e.g. 10% per month rather than 10% per year).

Encouraging group savings that can be used for emergency funds for members as well as to fund a business, helps members to get away from the trap of money lenders.

Discuss the advantages of group savings and help the group to set up a regular group savings scheme.

Once this has been established and payments are regularly made into it, the GA can help the group to look for outside funding as a start up loan for a business if needed.

## Communicating with members

Urban producer group members need to be in touch with each other for marketing of their produce, distribution of inputs, meeting together and working with the GA. For small groups, the most effective media for the members to keep in touch with each other and with the GA is still by word of mouth, and by written messages. Illiteracy and innumeracy can be a major problem with some members and groups, but most groups will have at least some members who can read and write.

In many cities today, urban groups also increasingly have access to mobile phones and the SMS is an effective way to pass messages between members and between groups.



A graphic of a clipboard with a black border and a black clip at the top. The text is contained within the white space of the clipboard.

### ***Summary***

**Group organisation is essential for the urban producer to have any significant effect on the critical areas outlined in Chapter 2 and discussed in more details in Chapters 4-7.**

**Where possible the GA should work with existing groups rather than form new groups. Having identified or formed groups with which to work, the GA should:**

- **Conduct a SWOT analysis with the group**
- **Analyse the SWOT to see how to improve the situation**
- **List and prioritise actions**
- **Analyse resources needed**
- **Carry out/help the group carry out the activities agreed**



# Chapter 4: Improving access



This chapter deals in detail with the improving access to resources for urban producer groups. Beginning with an overview of the situation, the main areas of opportunity for improvement are reviewed followed by suggested actions that can be taken by the GA.

## Key points



### Situation overview

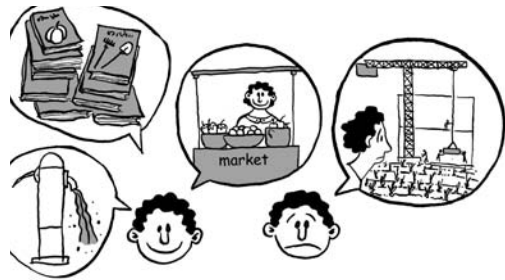
- **Land**
- **Water**
- **Inputs – seeds, pesticides, fertilisers, tools and equipment**
- **Credit/funding**
- **Services**
- **Market and market access**

### Summary

## Situation overview

Agricultural production, its productivity and profitability, is directly dependent on being able to access the necessary resources. These include technical inputs (seeds, tools, fertilisers and pesticides etc), land and water, as well as suitable credit facilities, training and information. Access to such productive resources is critical whatever the aim of the production is (whether to feed the family, provide a minimal income, or a larger scale economic enterprise), and wherever the production is based (i.e. urban, peri-urban or rural area). Their relative importance however varies according to the specific circumstances.

In the case of UPA, proximity to the town will make access to certain resources simpler, while making access to others more difficult. For example, closeness to a large number of potential consumers, as well as to aid organizations, sources of information and availability of inputs can be to the advantage of urban agriculture. Pollution, reducing the quality of produce and consumer bias, on the other hand, limit the potential advantages.



Limited access to credit facilities for low-income urban producers, low availability of clean water, and most particularly, high pressure on land, represent major constraints for urban farmers, especially women.

Lack of legitimacy, a policy environment and institutional set up not usually supportive (if not actively hostile) to production, make access to land or credit even more difficult.





## What can be done?

There are many ways in which the situation can be improved, making the most of the positive factors and limiting the effects of the weaknesses of the urban location. Access to all resources – land, water, credit, inputs and services – **can** be improved by joint action from the group members and the GA can help both directly and as an intermediary with other stakeholders.



## Group Advisor actions

The first step is for the GA and the group to conduct the SWOT analysis of their situation as shown in chapter 3 and analyse the results with particular regard to access to resources. This will help give a clear understanding of the nature of the constraints and who or what can influence them. Similarly, they should be aware of the advantages of their urban location and how they can make the most of this.

From here, the GA can help the group to analyse what actions can be taken and by whom to improve access. Can the group take the actions alone or do they need to work in partnership with other groups or another larger organisation (**see chapter 5**)? In some cases, there will be little an individual producer group can do on their own initially and the GA will need to act as an intermediary on their behalf with city authorities and other stakeholders.

## I. Land

### The situation

Land is probably the most critical issue constraining the development of UPA. Already limited access to land for UPA is made even more difficult by conflicting interests, lack of land tenure, and the, often poor, quality of agricultural land within the urban area.



Land in urban areas is usually under constant pressure for construction, resulting in ever less land availability and making it economically unjustifiable to allocate land to agricultural uses. Cities expand and agriculture will always be pushed further out to peri-urban areas (which themselves then come under pressure). Despite this, most towns still have land at least temporarily available either whilst waiting for construction to begin, or in areas not as yet allocated (or unsuitable – such as flood zones, land under power lines etc.) for building. One option for city authorities is to reserve land in peri-urban areas specifically for agricultural production whilst the land is still affordable for limited city budgets. Doing this can help them maintain flexibility and enable them to systematically integrate open spaces into the city as it grows.

As a result of the very limited space available and the reliance of many on UPA for food security, UPA is practiced wherever there is any vacant land. This may be alongside roadsides, railway embankments, riversides, on waste land, temporary land to be built on and on any green spaces. It is also practiced in backyards and on rooftops and balconies. Animals can and are kept wherever there is space for them.



*Escalating land prices in **Hyderabad** ensure that land is increasingly purchased by property developers. Small landowners in the green fodder production area in Uppal are selling their land or leasing it to migrants from rainfed rural areas of Andhra Pradesh. Linked to the escalating land prices and loss of agricultural land is the 'Musi Beautification Program' where acquisition of land is set at a rate of Rs 800 per sq yard (85,098 US\$ per acre).*

*This is in contrast to a land price of several times this outside the scheme area and has led to conflict between landowners and the authorities.*

*The land designated under the 'Musi Beautification Program' is currently under paragrass cultivation and provides an input to the green fodder market. Loss of 1600 acres could result in a loss of up to 150,000 tonnes/year-of paragrass.*

**(City case studies, Hyderabad, India)**

Lack of land tenure affects UPA productivity because it limits the possibility for investment in and development of the land. Without tenure, urban producers inevitably use the land for short-term survival rather than with a long-term production strategy.



### What can be done?

a) **Mapping vacant plots** – most towns still have a large number of free plots of land. In most cases, construction on them will start at some point in the future, but they could potentially be available for agricultural production at least in the short term.



In a number of towns across the world, city authorities have made an inventory of vacant open land within the city boundaries, assessing its suitability for agriculture and using it as a starting point for improving access to land for urban farmers.



#### **Dyen Te Don Association**

*Dyen Te Don is a well-organised, fairly effective and politically active association of farmers located in suburban **Bamako, Mali**. In addition to providing its members with credit for seeds, Dyen Te Don takes an active approach towards improving access to land for its members. To facilitate access to land, it actively searches for vacant land, providing members with connections to the landowners.*  
(UA Magazine no. 9)

For the mapping exercise to have any serious potential, city authorities need to be committed to act on its results. With their commitment and participation in the process, NGOs or aid agencies, sometimes also in cooperation with universities or Ministries, can be willing to take a leading role in funding and conducting the actual mapping exercise.

### b) Temporary leasing of vacant municipal plots

Despite the pressure on land and the urban development plans, many plots can be earmarked for a certain building use but remain unused, even for years, before construction starts.



Similarly, there are often areas that, though not allocated to agricultural use, are not suited for construction (e.g. flood zones, land under power



If preparation of formal individual land lease contracts is too time and labour consuming, land may be leased out to farmers associations.

Often the contract with the farmers includes conditions and restrictions as to the land, crop and waste management practices to be used. Some municipalities provide training on these practices to farmers of municipal land. Some not only provide the land but also assist in improving the quality of the land by ploughing, delivery of compost, fencing.

**(Urban Agriculture Magazine No 16)**

lines or alongside railway lines). In both cases, city authorities, or other stakeholders/owners may agree to their temporary leasing to urban farmers.



Various cities such as **Havana (Cuba)**, **Lima (Perú)**, **Bulawayo (Zimbabwe)**, **Rosario (Argentina)** and **Governador Valadares (Brazil)**, have formulated a city ordinance that regulates the (temporary) use of vacant municipal land by organised groups of urban farmers. “Considering the alarming rate of unemployment in the city of Rosario and the need to promote productive activities, the Municipality is committed to assigning land under contracts with farmer groups for farming purposes. Lots should have minimal services for carrying out the proposed tasks”

– P Javkiin, Councillor Rosario Municipality

**(Urban Agriculture Magazine No 16)**

### c) Promoting use of vacant private land

City authorities can encourage landlords with vacant land to let it out temporarily to urban farmers. To promote the establishment of such agreements, tangible tax incentives can be provided to the landowners for the period of the lease. The result can be that land which would otherwise be used as a dumping ground and can be a dangerous 'no-go' area can be put into productive use until it is time for construction to begin.

By making an agreement with a registered producer group or association, the private landowner can have legal guarantees and conditions on the use and duration of use of the land – something that can be difficult or impossible with an individual producer.

### d) Demarcation of zones for urban agriculture

Many cities in developing countries have opted for the demarcation of selected urban areas for urban agriculture as a form of permanent land use. The benefit of such an approach is the provision of a green buffer area between residential and industrial areas. It can also be a useful long-term strategy to preserve some urban areas for future development.



*In order to enhance access to urban farmers to privately owned vacant land the Municipality of **Rosario (Argentina)** created a Municipal Agricultural Land Bank (a cadastral-based land registry) and brings those in need of agricultural land in contact with the owners of vacant land. It also hires vacant land from private landowners to lease it out to community groups interested in using this land productively.*

*Another effective instrument used in Rosario to encourage private or institutional landowners to make vacant land available to poor urban groups interested in farming is the increase of municipal taxes on idle urban land and a reduction of taxes for landowners who make idle land available for temporary farming.*

*(Urban Agriculture Magazine No 16)*

### e) Multifunctional land use

UPA can be combined with other compatible land uses, such as recreational services, educational farms and agro-tourism activities. Successful examples already exist around the world, both in developing and industrialised countries.



*“Colombo, Kampala, Rosario, Dar es Salaam are experimenting with the inclusion of space for home and/or community gardening in new public housing projects and slum-upgrading schemes. Some cities also promote the recycling of grey household waste water for use in home gardens and educate farmers regarding prevention of health risks.”*

*(Urban Agriculture Magazine No 16)*



*Aquaculture in urban or peri-urban lakes or ponds may be combined with other (water and fish related) recreational activities such as angling, boating, a fish restaurant etc, which has proved a successful model in **Bangkok, Thailand**. Agriculture and aquaculture may be linked to waste water treatment and reuse e.g. in constructed wetlands as is practised in Calcutta on a massive scale and could become an integral part of peri-urban green open spaces. By doing so the management costs of such areas can be reduced and protection against unofficial uses and informal re-zoning enhanced.*

*(Urban Agriculture Magazine No 16)*

### f) Integration in social housing projects

In some cases city authorities deliberately include plots to be used by residents as kitchen gardens in some new residential areas.



### Group Advisor Actions

#### Discussions with the authorities

Most of the options for improving access to land need the agreement of and active collaboration of the city authorities and/

or private landowners. As such, there is usually not much an individual producer can do to influence the situation. The GA, particularly in collaboration with his/her parent organisation can however, help to promote the above options in meetings with the city authorities, aid agencies, NGOs and other stakeholders. The first activity should probably be to look for agreement on conducting a survey of available land and find funding to conduct it. Once this has been done, a dialogue needs to be held with the authorities to discuss integration of UPA in city planning as part of improving the policy environment.



### Discussion with private landowners

Approaches may also be made to private landowners for temporary lease of land by established groups. This can be successful if the group has a record of being trustworthy in keeping to its agreements and if the landowners do not expect to develop the land for a reasonable period.

### Producer group members

Producer groups can help with both of the above procedures by helping to identify vacant land and its suitability for UPA. The group leader may also be able to join the GA directly in meetings with other stakeholder organisations. Where a UPA group is strong – particularly after training on advocacy and lobbying (see chapter 7), they may be either able to work directly with the authorities and other stakeholders on this issue.

### Women and access to land

In the case of women, the formation of registered groups would improve their access to land in that, as registered groups, they may be allocated land that they own “freehold” or on a tenancy basis. Such tenurial rights would provide women producers with the land collateral that they might not normally have especially in patriarchal societies where property rights are exclusively for men.

## 2. Water

### The situation

Most agricultural activities rely on regular access to affordable quality water as well as access to organic materials and other sources of nutrients. Water suitable for agriculture is however not always accessible to resource poor farmers in urban and peri-urban areas. Clean fresh water is too expensive in many areas to be considered as an economically viable resource for agricultural purposes.



Waste water, (grey and sewage water) on the other hand, is often the only available and reliable water supply. Direct use of such water when untreated, however, carries significant health and soil and ground



**“Municipalities can play an important role in enhancing access of urban farmers to water.**

The city of **Bulawayo (Zimbabwe)** provides treated water to poor urban farmers in community gardens, while the city of **Tacna (Peru)** agreed to provide urban farmers its treated waste water in return for their assistance in maintaining public green areas.

The city of **Gaza (Palestinian Authority)** promotes the collection and reuse of grey household water in home and community gardens.

**Mexico City (Mexico)** promotes systems for rainwater collection and storage, construction of wells and the establishment of localised water-efficient irrigation systems (e.g. drip irrigation) in urban agriculture to stimulate production and to reduce the demand for potable water.”

**(Urban Agriculture Magazine No 16)**

water pollution risks. Waste water also has a significant organic content however. If properly treated and used, it can be safe and to some extent provide a valuable source of nutrients for crops. Farmers yields and income is often significantly higher from using waste water compared to those using fresh water because of this effect. Long term use of waste water is, however, associated with soil damage and pollution which reduce yields and increase susceptibility to pests.





## What can be done?

The following can usually be used to improve access to water for agricultural purposes:

- Education and training activities for urban producers on how to use grey and sewage water, irrigation methods (e.g. sub-surface drip irrigation) and on improved hygiene practices and risk minimisation practices from production to consumption of produce.
- Promotion of a combination of farm-level and post-harvest measures to be adopted by farmers. A range of measures, should be used, not just one to reduce risks (e.g. use footwear and gloves when working with waste water and crops, stop waste water application prior to harvest, wash produce in clean water before sale, restrict crops allowed to be grown if waste water is applied directly to foliage).
- Assessment of the level of treatment needed for different sources of water. Such assessment requires specialised technical knowledge and should be carried out by water authorities and technical staff from health/extension services.
- Provision of different levels of treated water for specific crops and monitored use by UPA producer groups.
- Testing, monitoring and acontrol of waste water use. As above, this should be carried out by water and agricultural authorities in cooperation with health and extension services and the producer groups.
- Municipal governments and other local agencies should consider the use of waste water in overall management of limited water resources.

### Waste water treatment



When choosing crops to be planted, it is important to consider the type of water that will be available for irrigation, in order to minimize possible health hazards. An example is the Complejo Bioecológico in San Juan (**Lima, Peru**), which, with the assistance of the Centro Panamericano de Ingeniería Sanitaria y Ambiental (CEPIS/OPS-OMS) is using 23 ha. for stabilization lagoons. Depending on the level of treatment, the water is used for different applications, such as forest and recreational parks, fodder, fresh vegetable farming and aquaculture.

**(Guidelines for municipal policy making. UA No 6)**



### Group Advisor actions

Training activities on safe use of grey water supplies can be conducted by the GA in cooperation with extension services and water authorities.

The GA (together with the group leader) can also play a pivotal role in bringing the issues to the attention of the relevant authorities, initiating the dialogue among relevant parties and promoting the necessary action. Stronger groups may be able to work directly with stakeholders in a dialogue over this issue.

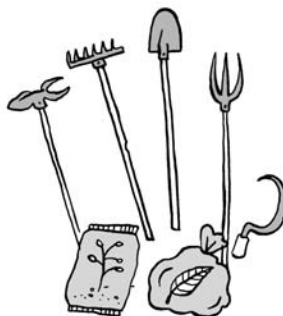
## 3. Inputs

### The situation

Seeds, fertilisers, pesticides, tools and equipment, supplies and materials for UPA are generally more easily available in towns or in the nearby peri-urban areas than they are in rural areas. The concentration of trading activities, the better transport, and the fact that towns often serve as distribution hubs resulting in a far higher variety and amount of supplies and a more reliable and regular distribution system.

However, since demand for agricultural inputs is higher in rural areas, access to suitable agricultural inputs can still not be easily accessible if they are intended for delivery to rural areas. Towns often lack adequate distribution networks for urban agricultural producers, which can add to the difficulties. In other cases, access to inputs is more a problem of lack of funds than actual lack of physical access.

Where UPA lacks legitimacy, it also lacks adequate support from extension services. Limited extension advice, together with an erratic distribution network can result in misuse of chemicals, limiting the benefits of urban production and increasing the health risks.





### **What can be done?**

Groups can be effective in making it more practical for suppliers to provide adequate inputs. By placing orders in bulk, the group can provide a distribution channel for traders securing better, more timely and cheaper provision of inputs.

The urban location and the higher risks of pollution, often make a strong case for limiting use of chemicals. The use of integrated pest management practices as well as the use of organic fertilizers can provide a safer, healthier and cheaper alternative for UPA farmers. This can also help in improving the attitude toward urban agricultural produce if it can be marketed as safe organic produce.

The use of compost, rather than chemical fertilisers could be promoted as a safer and better alternative in cities for agricultural production. This can also provide a business opportunity itself, with compost production and distribution becoming a profitable activity for groups or individual UPA producers. Where this is considered a suitable option, the chances of success increase when city waste authorities and extension departments play an active role.



### **Group Advisor actions**

The GA can help the producer group to work directly with suppliers to arrange bulk delivery and negotiate better terms

S/he may also be able to act as an intermediary in discussions with city waste authorities and extension departments to help them get agreement on use of city organic waste, and for training on compost production and use.



"The municipality of **Cape Town, South Africa** supplies community gardener groups with a basic infrastructure (a fence, a tool shed, a tank and hoses for irrigation), composted organic wastes and up to a certain amount of free water daily. In addition it provides community groups that wish to start gardening activities with a <start up kit for survivalist gardeners> consisting of a pickaxe, spade, rake, watering can, seeds and compost. The start-up kit is further supplemented by skills training and extension services.

Some cities such as Havana in Cuba, assist by supporting the establishment of decentralised low-cost facilities for compost production and installation of composting toilets. Substantial progress has been made there in recycling urban organic waste. Havana also facilitates the supply of quality seeds, natural fertilizers and bio-pesticides in small quantities to urban farmers through a network of local stores.

The municipality of Marilao, located on the fringe of Manila, the Philippines, is establishing a composting facility, while the NGO community is addressing the necessary change in behaviour of the urban households in the municipality"  
**(Urban Agriculture Magazine No 16)**

## 4. Credit/funding

### The situation

Access to credit is often difficult for small farmers anywhere, despite the established recognition of the role of agricultural production and of the needs of producers.



The situation for urban farmers is significantly more difficult, with rarely any credit facilities being available at all. Urban commercial banks and financial institutions don't cater for farmers, and the situation is made considerably worse by the lack of legitimacy of the urban agricultural sector.

As in rural areas, women often represent the majority of farmers in urban areas. Even when some possibility of accessing credit exists, it is rarely tailored to their needs and requirements.

Most urban farmers, particularly women, are resource poor due to

lack of collateral with which to secure a conventional loan. Their credit worthiness is further limited by the fact that their farming activities have a level of insecurity considered too high by any lender. They don't own the land, they farm on plots only temporarily available, their produce is more prone to theft than in a rural setting, and even when considered legitimate, their activity often lacks official recognition and an institutional base.



### What can be done?

When UPA plays a significant role in food security and in income generation, city authorities (and NGOs and aid agencies) can encourage financial institutions to establish schemes and loan conditions tailored to urban producers (e.g. by creating a guarantee fund) and their specific constraints.

The organisation of urban farmers into groups can make accessing credit much simpler, with options for group financing, rotating funds, group managed loans and schemes similar to the well established Grameen Bank model. In those groups that are run democratically there is evidence of a positive impact on women. In such groups there is a rotating chairmanship and women have an equal voice. The group is registered and has its own savings and bank account. Women own (freehold) the plots on which they carry out their activities. In this way they have collateral, and with a good track record, they can always obtain credit.



*Regarding access to credit, all banks in India must follow RBI (Reserve Bank of India) Rules which stipulate that 30-45% of all funds retained by the bank must be issued as loans to the agricultural sector and/or through microfinance programs for cooperatives, urban joint liability groups or SHGs. This is closely supported by the AP Mutually Aided Coop Society Act (1995) and the Companies (Amendment) Act, 2002 (Annex 9 and 10).*

**(City case studies, Hyderabad, India)**

When city authorities have included UA in their development plans, NGOs and aid agencies can also be approached for funding of such group schemes.



## Group actions Advisor

The GA should always first stress the importance of savings and assist group members in establishing and developing their own saving and loan schemes rather than looking for outside credit initially. This should be done as a preference as well as a precondition to exploring and developing credit and grant options. Once the principle of saving first and paying back loans into a group fund has been established, the GA can help the group look for outside funding for the group from NGOs, banks and other sources as above.

**See the FAO group savings book for more details on this area – available from: <http://www.fao.org/docrep/005/y4094E/y4094e00.htm#Contents>**



### **Access to credit - Funding of market gardening campaign**

A large trader operating in the market of Thiaroye, the vegetable market of **Dakar, Senegal** advances money to a market gardener in the area of Conduite de Gaz on the condition that the latter gives him priority for purchase of his production. The advance is based on trust, but also the quality and quantity of the expected production. If the funds advanced by the trader happen to be higher than the value of the harvest, the market gardener reimburses the balance; otherwise the trader pays the deficit (see also Moustier et al., 2001).

In some of these contracts, the landowner advances the funds for purchasing inputs and agricultural equipment, and even provides part of the tenant farmer's meals. In this case, after the sale of harvested products, the owner first recovers his funds before the profits are shared. This mode of pre-funding entails a risk of domination and dependency.

Another form of pre-funding is based on solidarity among actors. This system is more equal and applied more often by small urban producers, such as through

a Network of Savings and Credit Banks created with the support of Enda-Graf Sahel which facilitates "access to credit from the mobilisation of popular savings through solidarity". It enables the poor to finance activities of urban agricultural production. The credits are allotted on a short-term basis and help the beneficiaries cover their working capital (purchase of agricultural inputs, wages, etc.). The investment funding (acquisition of equipment) is exceptional: 20% of the credits are deposited as guarantee savings.

**(UA Magazine No 17)**

## 5. Services

### The situation

Access to services is one clear advantage that urban producers have over most rural farmers. By definition towns have a higher concentration of public and private service providers (banks, schools, health centres etc) as well as better access to power, communication and information.



Proximity to government offices, as well as NGOs and aid agencies, health, water, research, extension etc., makes accessing information easier. The main problem with accessing such services is the lack of legitimacy of urban agriculture which can mean that while services are physically close, they may have no or limited access in practice.



### What can be done?

The GA should help the group to build on this strength, where access to services is possible, to counteract some of the other disadvantages which urban producers face. Which services would be most useful to the group to overcome constraints or to develop their productive activities, will depend on the specific case and will be identified during the group situation analysis (**Chapter 3**). Where urban producers are not permitted direct access to services due to lack of legitimacy, it may be possible for the GA to intervene on their behalf.

Access to information, training and advisory services is always simpler to arrange and likely to be more tailored to their specific requirements, when channelled through a group rather than to an individual urban producer.



## Group Advisor actions

The GA can help the group by contacting extension and other services either together with the group leaders or on their behalf. Training and advice can often also be arranged for groups through NGOs or aid agencies where government services are not available.



### Nairobi, Kenya

More than half of the groups indicated that the extension service was good (54.2%). 29.2% thought it was average and only 16.7% said that extension was poor. Compared to the rural areas this is a major plus for the farmers and contradicts the general perception that due to the lack of recognition for UPA farmers are not able to access extension services.

*The extension services staff in city of Nairobi and its environs disseminate information to urban farmers and livestock keepers and provide training on farming methods and opportunities that can enhance food security and safety in the city. Useful information on composting of organic waste, waste water reuse and health issues associated with food production are being provided through the National Agriculture and Livestock Extension Programme (NALEP).*

*(City case studies, Nairobi, Kenya)*

## 6. Markets and market access

### The situation

Many urban farmers tend to produce largely for self-consumption, sharing the surplus with family and neighbours and often not having enough for any significant sales.



In some cases however, even subsistence urban farmers rely on sales of their produce as the main source of family income.



The urban location generally also means proximity to main markets, with a large number of potential customers needing agricultural produce. Despite the potential demand however, cartels can prevent entry of urban farmers to the market place. Consumer bias against urban produce due to its image of unsanitary production practices can also limit the possibility for sale of produce grown by urban farmers.



*“Due to the low status of urban agriculture and the usual exclusive focus on food imported from rural areas and the exterior, the creation of an infrastructure for direct local marketing of fresh urban-produced food and local small processing of locally produced food has received little attention in most cities.*

*There are ready markets for UPA products within the proximity of the groups’ bases.*

*The land tenure issue has a role to play in what is produced, since the groups cannot put long-term investments into property that does not belong to them.*

***(City case studies, Nairobi, Kenya)***



## **What can be done?**

### **Direct marketing**

If there are problems in selling in the main city markets, the group can explore other channels such as direct sale to consumers at their homes, or businesses such as shops, restaurants and supermarkets. This is, as with most issues, easier in a group when they are able to guarantee a level of supply impossible for the individual producer. For example, in Hyderabad, India, a fodder producers group provide their produce directly to the urban dairies as a regular business activity.



*“We had no market land for selling our produce and hence formed this association which helped us get access to a piece of land from the Government where we can sell our grass.*

*But we still do not have access to the path leading to the market. We requested the Government to provide this access”.*

*Interview Jamanjyothi Srinivas, Green Grass Growers Producers Organisation.*

***(Video - Small urban producers organisations. FAO-FCIT, ETC UA, IPES and IDRC. 2006).***

The association presently markets about 250 tons of fodder a day. Selling on this common market is more convenient and profitable to the fodder grass farmers.

With larger groups and associations, it may also be possible to bring pressure to bear on city authorities to allow sale in the city markets if cartels are blocking access. Alternatively, specific farmers markets may be created as in the example from Brasilia (see box).



### Group Marketing

Groups coming together can also access markets better and more competitively. When the Chitungwiza strawberry farmers were marketing as individuals they were getting less return. When they pooled together and marketed en-bloc, they began to access bigger buyers who paid better.

*(City case studies, Harare, Zimbabwe).*



Some municipalities facilitate the marketing of surpluses by poor urban farmers by providing them access to existing city markets, assisting them in the creation of farmers' markets (infrastructure development, licenses, control of product quality), authorising food box schemes and/or supporting the establishment of "green-labels" for ecologically grown and safe urban food. An example is **Brasilia FD**, which is furthering the integration of small food production with local food processing and marketing.

*(de Zeeuw et al., Courses of Action for Municipal Policies on Urban Agriculture, ETC-Urban Agriculture, 2006)*

## Diversification and development of niche markets

Where more regular agricultural produce has a limited market due to the image of UPA, niche market products can provide a profitable alternative. Successful examples include medicinal plants, mushroom, organic vegetables, honey production, fodder and fruit.



## Establishing a certification scheme for urban produce

Urban produce tends to have low status and its sale often meets resistance from customers (If they know its source) mostly due to health and hygiene reasons. City authorities and the Ministry of Agriculture can provide training and advice to improve the safety standards of urban produce (assuming



it is not actually an illegal activity in the first place). This can be



### Food labels

*Over the last few years the Thai government has launched a policy of “food safety” awareness, generating a consumer demand for cleaner and better-quality products. Vegetables free from pesticides that are subject to food safety standards can be marketed with a certification of quality standard. It is expected that, having started the process, food safety concerns will further rise and quality certifications will become more and more common among both consumers and buyers.*

*If the certification can maintain a high level of standards and meaningfulness, market dynamics will then ensure that “food safety” labelled foods can demand higher prices, first developing a niche market of more health conscious customers, then expanding to a larger audience. For such changes to establish themselves in the market, continuous government support is however needed, together with the planning and implementation of a multidisciplinary approach to urban agricultural production.*

**(UA Magazine no. 14)**

paired with a certification scheme, allowing the certified producer to market its produce under a special label. A condition for granting the certification could include attendance to a training course on health and safety standards, from production to market and a positive assessment of the production site and handling facilities by a Ministry official.



## Group Advisor actions

The GA, possibly also networking with NGOs and extension services, can help the UPA producers group with direct contact with consumers to establish a direct link for their produce.

S/he can also help with arranging training and advice on safer production, processing and sales to improve the image of UPA produce.

Working together with city authorities and extension services s/he may also be able to help establish a certification scheme.

Larger, stronger UPA groups may also be able to work directly with city authorities on preparation of guidelines which they will be able to carry out. This would be the ideal situation as without involvement of the UPA groups themselves, guidelines can be proposed which involve unacceptable costs or work and as such will not be implemented.

Finally, the GA may be able to help the group with training and support on establishing a new niche product – for example by arranging visits to another group who are already producing that product.



### The municipality of Governador Valadares, (Brazil)

*has prioritised the marketing of urban agricultural products in different ways:*

*by providing incentives for the formation of cooperatives for the production and commercialisation of products,*

*by creating sales and distribution centres as well as farmers' markets in the city and*

*by buying agricultural products from the urban farmers' groups to supply to schools, community kitchens, hospitals and other service organisations.*

**(Urban Agriculture Magazine No 16)**



### **Summary**

The issue of access to land, water, inputs, credit, services and markets are widely reported as major constraints by urban agriculture producers, especially women. There are, however, many actions that can be taken to deal with or lesson these constraints.

By working together with the producer groups and other stakeholders, better land and water access can be arranged. Inputs can be jointly purchased and agreements can be made for regular supply.

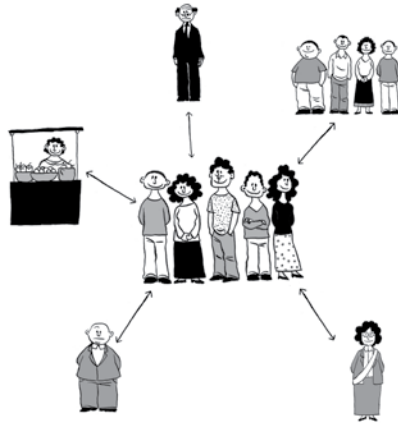
Funding can be arranged within groups through group savings and credit schemes and services can be more easily accessed through groups.

All these issues become easier, however, when UPA acts within a supportive policy and institutional environment (see next chapters)



# Chapter 5: Information exchange and partnerships

This chapter deals in detail with the issue of working with other groups and organizations – from joining other urban producer groups in a network or Inter-Group Association, to working with existing farmers networks and with other stakeholders as partners.



## Key points



**Why work with other groups and organizations**

**Stakeholders in UPA**

**Producer Organizations**

- **Inter-Group Organizations**
- **Other producer organizations**

**Working with Partners and stakeholders**

**Information exchange**

**GA actions**

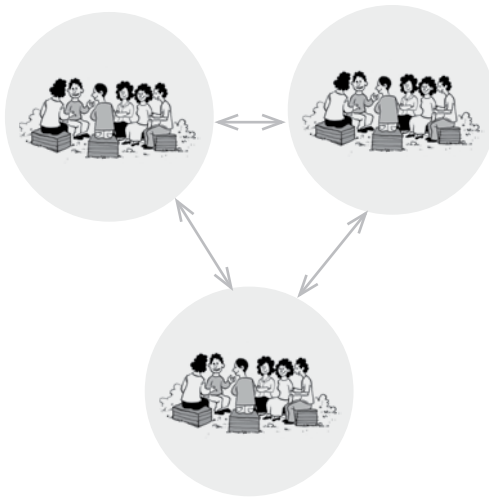
**Summary**

### Why work with other groups and organizations?

An individual group can pool the resources of its members, combining their skills and knowledge. By sharing the work they are able to achieve together much more than they can individually (as discussed in Chapter 3). By working



together with others, whether other groups, networks or institutions, the group can gradually increase its sources of information to improve their knowledge and skills and to reduce costs and increase profits.



By working with other groups and organizations, urban producers can improve their access to resources beyond that possible for an individual producer group. Cooperatives, Inter-Group Associations and Producers Networks, can help provide cheaper inputs and a more effective lobbying voice to city authorities. Producer groups can also work for example with:

- landowners for agreement over use of land;
- city authorities to produce a better city environment through green spaces and use of city organic waste for compost;
- consumers and retail outlets to provide more of what they want;
- traders, transporters, and suppliers for mutual benefit and
- with NGOs, aid agencies, government service providers etc. for provision of advice, training and credit both for themselves and for others.



The more groups, individually and together, work with city authorities and with all stakeholders, the better the chances of resolving constraints and conflicts. As the group become more competent at making and building such relationships, they also become more self-sufficient and the role of the GA can eventually be reduced.

### **Stakeholders in urban agriculture**

These include all those directly and indirectly affected by UPA such as:

- Producers themselves
- Processors – who may or may not be the producers
- Suppliers of inputs such as seed, fertilizer, compost, pesticides, tools and equipment – private, government and NGO.
- Landowners - private and public
- Water authorities
- Power, gas, electricity, telephone suppliers
- Transporters – who may or may not be the producers
- Market authorities
- The Department of Health and other public health organisations
- Service providers such as extension departments and NGOs
- Consumers of the produce from UPA
- Wholesalers and retailers – who may be the producers, or supermarkets, hotels, or other retailers who sell on the produce in other markets
- Schools (who often have small agricultural plots)
- Churches
- Financial institutions
- Promoters such as NGOs, Aid agencies, university departments, schools and religious organizations, government agencies
- City authorities – water, power, waste management, city planners, parks and gardens, agriculture and agricultural extension, forestry, health and nutrition, transport, market authorities, tax authorities etc.
- All those living nearby UPA plots or where animals are kept
- All those affected by the waste, noise and smells from UPA.

## Producer Organizations

### I Inter-Group Associations (IGAs)

An Inter-Group Association (IGA) is an association of individual producer groups who have agreed to work together with a set of common rules and objectives.

Individual producer groups can combine the skills of their members, enabling them to do more than they can individually. However, they cannot do everything and even a large and relatively strong producer group will have limited power and influence on its own. Working together with other producer groups opens up a wide range of possibilities. For example, a producer group can learn new skills from another. They can also work together to be able to buy or sell in larger quantities and so gain better prices for inputs or to sell larger or more regular quantities to buyers such as supermarkets and hotels. They are also better able to access funding and advice from government, NGOs



and Aid organisations. By working together, they can have more influence on policy towards UPA as they speak with a common voice.

Some particular types of group may work better together than others. For example, women's groups and youth groups are often particularly successful and may combine both social and economic objectives in working together.



*The main ways in which an IGA can help Urban producers are through:*

- Bulk purchasing of inputs – seeds, fertilizers, pesticides, tools etc.
- Group finances (savings funds and loans)
- Access to services, training and advice
- Access to credit through the IGA's own funds or through other sources with the support of the IGA
- Joint marketing of produce
- Representation of groups to government and other organizations
- Exchange of ideas and information



**Group Networks, Harare (Zimbabwe)**

*The Inter-Group Association has enabled groups to access training together. The Glen Norah ZRP Mushroom group received training together with other groups in Budiriro 5 in mushroom farming. Farmers are seen to benefit considerably from collective action and gain recognition and legitimacy. Strawberry farmers have managed to access inputs and exhibit their produce at a national agricultural show through inter group associations. In some cases alliances with other institutions have landed some groups lucrative deals of contract farming. But in most cases, associations have brought non-monetary benefits to groups.*

**(City case studies, Harare, Zimbabwe)**

Cooperation between groups is usually informal at the beginning. Eventually, it can be formalised through an Inter-Group Association, which is often recognised and registered more easily. An association of groups requires greater management skill, than an individual group, especially if it has many activities. Some associations concentrate on obtaining economic benefits for member groups, such as access to credit, inputs and markets. Others have social aims, such as mutual support for child-care, health, or other community issues.



*The farmers association UPROVAN, Union des Producteurs de la Vallée des Niayes, was formed in Dakar-Senegal, with the aim of improving production, processing and commercialisation. UPROVAN is a federation of four small farmers organizations. The cooperation between the groups has helped to increase know-how, build economies-of-scale and strengthen marketing and bargaining power. The association has provided training to its members in organic waste recycling and processing. It also managed to negotiate funds to build small composting units and stabilisation ponds for waste water treatment.*

**(Video - Small urban producers organisations. FAO-FCIT, ETC UA IPES and IDRC. 2006).**

## Forming an IGA

Forming an IGA too soon, i.e. not long after individual producer groups have been formed, often leads to a weak organisation that does not always represent the needs of member groups. The emphasis at first should be:



- on general cooperation between groups;
- on building awareness of the possible roles an IGA could play in solving group problems and;
- on the potential benefits - and costs - of inter-group cooperation.



### Accra, Ghana

*In the past, there were a number of strong producers organisations in the city. Today, though, whilst organisations in horticulture, grasscutter, sheep and goats and poultry continue to exist, the structure and functioning of those made up of low-income patrons is generally ineffective. This is because they are organized largely on an informal basis although they seek both social and economic gains. "The members and leaders appear to be serious only when a credit avenue seem to be opening although we encourage them to focus on other objectives – saving and knowledge sharing"*

**(City case studies, Accra, Ghana).**

IGAs can offer economies of scale both for group activities and in access to services. They can also represent the broader interests of their members in discussions with local authorities. In this way, the urban producers become increasingly self-confident, earn greater recognition from the urban community and are able to make a greater contribution to city planning for food production and for an improved environment.

Most urban producers have little time to spend on committee meetings and any IGA formed needs to begin with realistic objectives and produce visible benefits to members in the short term. At a later stage, they may be registered as a formal organization in order to obtain legal recognition, services and facilities.

As with individual producer groups, it is important that the groups have a common objective in working together. Some groups have only a very informal link and have simply agreed to work together to access credit. Such groups are rarely effective and quickly disband once the credit agreement has been reached (**see box**).

## IGA structure

An IGA represents its constituent groups and must be accountable to all group members. It should have a facilitating, coordinating and educational role and become a source of technical assistance, economies of scale and guidance. It can eventually perform many of the functions of group advisors including representation at stakeholder meetings.



With a small informal meeting of producer groups, it can be practical for all members or a few representatives from each group to meet together. As an IGA grows, however, this becomes less practical and the IGA meetings need to be restricted to the leaders of each producer group and for even larger IGAs, a management committee of a few leaders will become necessary for the regular day to day management. By this stage, an IGA will need a formal constitution, membership payments and a management team. The benefits in turn are the increased services and influence that the IGA is able to offer to its members.

The need for inter-group associations will develop gradually if/when potential member groups are convinced that the benefits of setting up an IGA outweigh the shared costs.

More details on formation and development of Inter-group associations are given in the Group Promoters Resource Book, the Group Enterprise Book and developed further in the Inter-group Resource Book – all available for download from FAO ([http://www.fao.org/sd/2001/pe0701\\_en.htm](http://www.fao.org/sd/2001/pe0701_en.htm)).

## 2 Other producer organisations

Cooperatives, Allotment Garden Associations, Agricultural Labour Unions, Agricultural Associations or Agriculture Networks (see box – NEFSALF in Kenya) often exist in or near to urban areas. The majority are usually concerned mainly with the rural areas but can equally serve the urban agriculturalist in the same way. They can provide a viable alternative to an IGA in providing inputs and representing the interests of urban producers groups.

Such organisations generally have a recognised legal personality and are often subject to specific legislation and government intervention. It may be possible, and worthwhile, for urban producers groups to work directly with such existing organisations.



### **NEFSALF (Nairobi and Environs Food Security, Agriculture and Livestock Forum)**

*58 percent of the groups are affiliated to NEFSALF, which again confirms the importance of this forum to farmers in Nairobi. The groups' perceptions on benefits of these partnerships include development of better and sustainable practices (55.6%). Through knowledge sharing and capacity building in groups, farmer can learn practices that continue to improve their livelihoods. The second is investment into value adding (50%) followed by access to larger or more lucrative markets (39%). Other benefits that groups mentioned less include access to better inputs (33.3%), more stable incomes (27.8%), access to more land and water (22.2%) and access to safer land tenure (11.1%). Non-group benefits of partnerships include improvement in the quality of life (58.8%), access to better training (58.8%), stable incomes (27.8%), improvement in acquisition of goods (17.6%) and opportunities for investments (5.9%).*

**(City case studies, Nairobi, Kenya)**

## Increasing influence – lobbying authorities

An IGA, Coop, Farmers Association or labour union, in representing a large group of producers, is in an ideal position to influence city authorities. They may need assistance and advice in how to approach the authorities in the first place, but most responsible government planners are willing to listen to organised groups of citizens.



For UPA to contribute significantly more than at present to city food supplies and a safer cleaner environment, a policy environment which includes planning for urban agriculture is needed – and this needs to be developed jointly by all concerned stakeholders. (See also Chapter 7 on increasing legitimacy).



### ***Yiriwaton Cooperative, Mali***

*Yiriwaton is a well-organized and effective registered cooperative, which promotes urban agriculture, supporting farmers and regulating agricultural activities in Bamako. It offers a credit facility to its 160 members to purchase seeds and tools, and runs a saving scheme for the members. Members farm mainly privately owned land, on the basis of informal rental agreements made with the landowner.*

*Yiriwaton is politically active, defending farmers' rights and lobbying government offices to obtain and secure access to public land. It takes cases of land eviction without compensation to court in order to recover the farmers' production and investment costs.*

***(UA Magazine no. 17)***

## Working with Partners and Stakeholders

Producer organisations can work directly together with many of the stakeholders and partners listed above. For example:

- They may be able to negotiate a deal with others in the market chain (from production to sale) such as **transporters, processors, packers, and market authorities** to reduce costs or provide a better service for their members. Individual producer organizations are more effective than individual producers at negotiating such a deal, but IGAs and other larger networks are usually even more effective.



With **marketing and sales** – groups may be able to combine their skills for joint marketing or it may be better (or the only practical possibility) to work in partnership with existing marketing organisations.

In some countries, cartels control market access and producer groups have little choice but to work with them. Even in this case though, working together with other producer groups gives them more power in negotiation with cartels – or in some cases, more influence over city authorities to allow them entry to markets without the middle men. Networks and organisations, which have been in existence for some time, may well have already made such arrangements.

- Similarly, it may well be possible to work directly with **input suppliers** for a better arrangement for members such as lower prices for bulk delivery or direct delivery to the producers.



Storage of supplies can be a problem for some small urban producer groups and so, the input suppliers may also be able to keep stock aside (reserve it) for the producer group for later collection.



- **Service providers** such as **water, electricity, power, gas, telephone** – are all easier to work with as a group than as individual producers and the group (or IGA or network) can offer guarantees to the suppliers that are not practical or possible for an individual producer.

Similarly, extension, training and advisory services can more easily be arranged through groups working directly with the service provider. By working directly with them, producers groups can also agree to work with other producer groups to share the advice or training or to bring together members of other groups for a joint session to the benefit of all.

- **Private landowners** may be willing to make a direct deal with an established group in exchange for rent or produce (or both).

In some cities, idle land now attracts higher taxes than does land used for agricultural production and this can also be a potential starting point for partnership between the private sector owners of a plot to be used at some future date, and urban farmers.



The guarantees and legal force of such agreements are usually stronger than for an individual and hence more attractive to the landowners. Again, such arrangements are easier through IGAs, coops and networks.

- **NGOS, Aid agencies, churches and schools** are often interested in working directly with established UPA groups to develop the programmes and share the results with others. The more the benefits can be shared with other producer groups, the more interested such organisations will be in working together with the group or association.

- **Government agencies, institutions and authorities**, are always more willing and able to work directly with larger organisations than with individuals. By discussing what each needs, an agreement can be reached which will help all parties.



A simple example is with urban organic waste. Producer groups can work together with the city authorities to agree on collection and composting of urban waste to keep an area clean and tidy in exchange for training and space for a composting site. The resulting compost can then be sold as a business activity for the producer group. Similar arrangements can be made for use of grey water and unused municipal land.



*Ghana's Ministry of Food and Agriculture (MoFA) agrees that farmers need to be empowered to take the right decisions regarding their agricultural activities. One way of doing this is for the MoFA to "collaborate with the Department of Cooperatives to strengthen the capacity and facilitate the formation of farmer based organizations (FBOs). A fund has been established to support the development of FBOs"*

*(City case studies, Accra, Ghana)*

**Banks and other financial institutions** can work together with larger, more established groups and networks to provide credit and savings schemes to producers groups. Special arrangements and group guarantees can often be made once the groups are established for long enough and particularly if they have a good record of managing their own finances.



- Direct arrangements can be made with **retail outlets, hotels, and restaurants** to supply produce direct to them. By working together, with such partners, the groups may be able to agree a regular supply which will meet the needs and requirements of the buyer in terms of quantity, quality and delivery times. The more groups work together, the better

they are able to keep to such agreements by using produce from others in their network when they do not have enough themselves.

- Finally, **consumers' groups and citizens' organisations** often object to urban agriculture because of the smell, noise and lack of hygiene often associated with it. By discussing needs directly with them, the producers groups may be able to come to an agreement that satisfies all parties, reducing some of the activities which are most objected to and providing more services and produce that is wanted. (See also conflict resolution in Annex I)



## Information Exchange

Groups need information and advice internally, but they also need to communicate with other groups, organisations, partners and stakeholders.

**Leaflets** providing information on what services are available from government, NGO and other service agencies are still one of the most effective methods of passing on basic information to groups. The GA can play a very useful role in contacting such organisations for information they have directly available for distribution as well as to know what services and advice they can provide.



Simple leaflets and fliers are also one of the cheapest and best ways to advertise the group produce and where it can be obtained as a first approach to potential buyers.

**Radio** is widely listened to in urban areas and can be an effective medium to inform all stakeholders, of the issues related to urban agriculture. By raising the issue, it promotes debate and provides an opportunity for the GA to begin to promote a dialogue between the stakeholders.



In some cases there may be an opportunity to represent producer groups in a radio or television discussion.

Some groups may also have access to the internet. However, the limitation, with this and most media is that many members are illiterate or computer illiterate. As such, whilst the medium has an enormous potential for sharing of information, the most practical use at present is for the GA to make use of it in discussion with donor, NGO and government organisations. With larger groups, associations and networks, it may well be possible and practical to set up their own website to help counteract negative publicity about UPA, to publicise the success stories and how UPA can help the city in providing food, reducing pollution and improving the attractiveness of waste areas. Such a website can also be used for direct advertising and sale of produce.

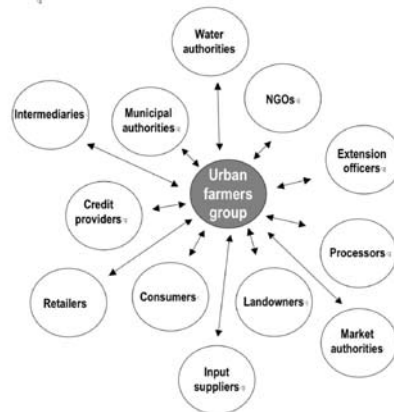


## Group Advisor Actions

### I Who affects the UPA producer group?

The first stage in discussion with a producers group should be to discuss who affects the group and who is affected by them. A simple way to do this is the following exercise:

First ask members to list all the groups or persons who influence the success of their group (the stakeholders). Write them on a board or piece of paper. Are there stakeholders missing from the list in this chapter? Should some of them be added or are they not relevant to the group? Are there other important stakeholders not mentioned here?



group. The distance of each stakeholder from the group will represent the importance of that stakeholder to their success.

Thirdly, discuss what would be the advantages of cooperation with them – could there be some mutual advantage?

## 2 What producer organizations already exist?

Before considering forming any sort of producer group organisation, it is better to find out what organisations already exist. The GA should meet with them informally to find out if their objectives and services could be of interest to the producers groups and if they are interested and willing to work with them.

If so, a meeting with a representative from the association or cooperative and the producers group would be worthwhile to discuss cooperation.

## 3 Who to work with

From the results of exercises 1 and 2, discuss with the group, who they should work with first. Is it most worthwhile to join an existing network? Should they approach other stakeholders for direct partnership? Which if so? Should they work on more than one at once? What are the priorities?

Eventually, producer groups and those helping them should aim to work with the whole marketing chain from inputs supply, to production, processing, packaging, marketing and consumer requirements and preferences.



NGOs in **Cambodia** have established networking and partnership groups for better coordination. So far, they have membership organizations (e.g. CCC, NGO Forum on Cambodia), and sectoral groups (e.g. agriculture, child rights, commune administration and decentralization, disability and rehabilitation, education, fisheries, forestry, gender, health, HIV/AIDS, human rights, land reform, micro finance, credit working group, and environment working group). Within this network, the NGO community is able to exchange information through their monthly meetings and help ensure activities within an area do not overlap.

*(City case studies, Phnom Penh, Cambodia).*

## Chapter 5: Information exchange

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The points where they can achieve the greatest gains in income or improved conditions should be the priority areas for action initially. This process will also need to be reviewed and revisited as the group progresses.

It is not always easy or even possible for producer groups to contact others for information exchange or to negotiate partnership deals directly with others. The GA may need the help of an NGO or others assisting the producer groups who may be better placed for this - as with the example from Cambodia (**see box**).





## **Summary**

**Groups can improve their situation in many ways by working with other producer groups and organisations and in partnership with many different stakeholders. They can reduce their costs, increase their profits and help to provide more benefits to their members.**

- **First they need to recognise how many different groups influence their production**
- **Then what organisations already exist who can help them**
- **Thirdly, who they can could be able to work with in partnership**
- **Fourthly, what actions should be taken now**

**The process will need reviewing at various stages in the group's growth**





# Chapter 6: Managing growth

This chapter deals in detail with the issue of how a group can grow with new, expanded or improved production activities and how these changes affect the group.



## Key points

### The situation

#### A) Increasing group profits

Opportunities

Financing expansion

Feasibility

Competition

#### B) Services for members

Summary

## The situation

Initially, most urban producer groups will be small and work together because of the mutual social and financial benefits they gain from the group activities. As a group becomes successful at one activity, others will want to join them and they will want to increase their activities for profit, for group services such as savings and loans and bulk purchasing and for the self help social roles of the group.

There are many ways in which a group can expand its activities or services. These include doing more of the same, growing new products, working in other areas of the marketing chain and even working in areas unrelated to agriculture. They may also want to increase the services they provide to members such as savings and loans schemes, and joint purchase and sale of produce.

There are both advantages and disadvantages to expansion of a business. If successful, the group will produce more profits for its members and

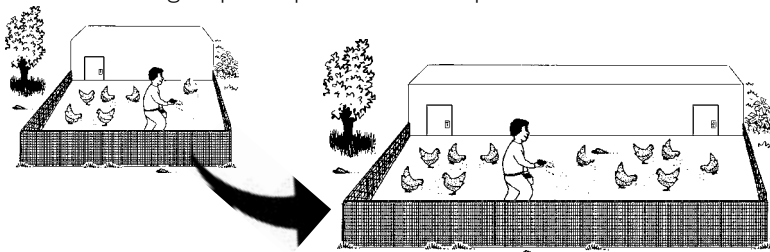


*Is it possible to move from subsistence to commercial agriculture?*

*Vegetable farmers in Lomé and Cotonou have moved from subsistence to commercial vegetable production as their savings enabled them to use first treadle pumps and then motor pumps. Most of them are now producing for export and local consumption (Keraita et al, 2003).*

*In Kenya, contractual farming agreements with livestock agro-industries have enabled farmers to generate substantial incomes (Mirei, 2002). The initial conditions for farmers to enter into such a contract are space (being able to accommodate 300 chicks) the ability to pay for the costs for water, electricity, labour, and basic equipment, and the payment of a deposit of US\$0.8 per chick. A supporting system in terms of municipal legislation, technical skill development and credit provision is crucial.*

*(Cities Farming for the Future, R. van Veenhuizen)*





can offer more services to them. It can be also be more effective in accessing resources and influencing others. However, the group and its activities may also be more difficult to manage and as its activities become more visible, they will attract more competition. If the activities are not legal, they will also be more likely to attract the attention of city authorities.

The group should normally be well-established, and able to work well together at the initial activities, before considering expansion.

The most successful expansion activities to start with are usually those that require little investment - or result in savings in labour or higher production levels on the same land. Improved seed varieties, inorganic fertilisers and pesticides, and simple low cost tools and machinery for production and processing are examples of such successful innovations.

Higher cost innovations such as cultivating machinery, transport, storage, or higher risk ventures such as completely new crops or

animal production are often better started by the group once they have been established for some time and are successful at their initial activities. The more the idea for growth differs from the groups knowledge, skills experience and the resources they have available, the riskier it is likely to be for them.

### **Agro-tourism in Peri-urban Beijing**

*Agro-tourism is one of the four most common agricultural enterprises in Beijing, the others being processing, production and high-tech agriculture. It has grown significantly over the last few years, and includes:*

**sightseeing agriculture** – i.e. one-day trips including touring the farm and picking produce.

**recreational agriculture** – i.e. multiple-day stays where the farm offers accommodation and other tourism-related activities.

*Sightseeing agriculture offers a valuable option for diversification. The very low investment costs have allowed many farmers to develop sightseeing agricultural gardens on their existing farmland. As a result, there are now over 1,900 sightseeing agricultural gardens in the 300 villages of the 50 towns and townships in peri-urban Beijing. These include 285 large enterprises, of which 30 are designed as municipal key gardens.*

**(Cities Farming for the Future, R. van Veenhuizen)**

## A. Increasing group profits



Trying to produce more of what they already produce, or produce it at a lower cost are two ways for the members to make more profits. They may not be the best ways though. Other main areas of innovation include new markets or new products, adding value to existing products through better packaging or processing and even diversifying into non-agricultural businesses where there is a demand and the group have the skills and resources needed. The objective at the end is to increase member's profits, not necessarily to produce more and better crops.

### Example opportunities for increasing profits

*A number of suggestions are given below to explore for increasing member and group profits from existing or new activities. What others can the group think of?*

#### **a) Increase the quantity of production e.g.**

- *find more land/ production sites. (Not all produce needs land. e.g mushrooms, small animals, rooftop gardens)*
- *use improved production methods – more intensive, better cultivation, better use of water, better seeds or stock.*
- *use more inputs – labour, fertiliser or compost, water*
- *increase labour*

#### **b) Increase quality e.g.**

- *use treated water/use water more carefully*
- *use integrated pest control and avoid chemical pesticides where possible*
- *use compost rather than chemical fertilizers – can the group make and even sell their own compost?*
- *use better seeds*
- *use better cultivation methods*
- *find land further away from traffic and pollution*
- *reduce damage/losses by better packaging or better transport*

**c) Reduce costs e.g.**

- *bulk purchase of inputs through the group, IGA or other organization.*
- *partnership with a transporter/purchaser*
- *buy or rent own transport for the group – bicycle/motorbike/small van?*
- *Restructure activities – can the same result be achieved in a cheaper way? Can time be reduced? Would a member's time be better spent doing something else? Can someone else do the work more cheaply?*

**d) Increase price e.g.**

- *if the demand is higher than the supply, can the price be raised of the produce?*
- *can a better price be agreed with a wholesaler for regular supply or larger amounts?*
- *will better quality (or certification) bring a better price for produce?*

**e) New markets e.g.**

- *direct sale to supermarkets, restaurants, hotels*
- *direct sale to consumers – home delivery*
- *sales in other areas*
- *special offers to sell more – e.g. discounts for bulk purchase or regular orders, discounts if they bring in a new customer, complementary sales, free gifts etc.*

**f) New products e.g.**

- *other vegetables*
- *mushrooms*
- *other meat products – especially small animals which can be kept in limited space.*
- *flowers and ornamental plants*

*Production of basic staples such as maize, rice and cassava can rarely be produced at a price competitive with those from rural areas, but higher value crops such as vegetables, mushrooms, honey, flowers and ornamental plants, small animals such as grasscutters, guinea pigs and poultry find a ready market.*

**New services**

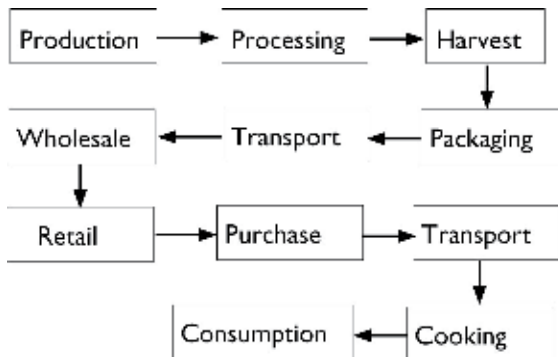
- Can the group offer services to other groups or to the general public?
- Obtaining products or inputs on their behalf?
- Joint marketing?
- Transport?
- Packaging?

**Adding value to existing products**

- processing produce – grinding, milling, packaging, cooking, brewing. As cities expand and people have less and less time available for cooking, the popularity of part processed ingredients and of street foods continues to rise.
- improving packaging and transport

**Add other elements in the marketing chain.**

Could the group do anything other than the direct production and sale of the produce? The full process from production to consumption looks like this:



Every step along the chain costs time and money and increase the final cost of the produce – are there any steps along the chain that the group can do other than production and harvest? Could they package the produce better so that it lasts longer, attracts new customers, or reduces damage? Could the price be higher with better packaging? Could they process or cook the produce and sell that instead? Could they bring the produce direct to the customer rather than the customer having to come to them?

### Non-agricultural activities

- Do the group possess other skills and knowledge that they can use to earn money, not necessarily connected with urban agriculture? – can they offer services to other groups?
- Can they produce or sell anything else?

### Financing expansion

If a group business is very successful, they may well be able to save enough to expand the business from their own group savings. Often though, outside funds will be needed and at this stage banks, an IGA or other network organisation (**see last chapter**) or an NGO may



be able to provide loans to help the group start up a larger operation. Remember though, that a loan has to be repaid and usually with an extra interest or borrowing charge in addition to the actual amount lent.



Banks are generally unwilling to lend to urban individual producers, as they usually have no security of land or other resources. Sometimes though, NGOs, aid organisations or government credit organisations will lend to organised registered groups using group liability. This means that the each member is responsible for repaying the whole of the loan and if one member does not pay their share, the other members must pay. Also, if the group does not repay their loan, they will not be able to get another loan in future and this will damage both their reputation and the chances of other groups getting bank loans.

When thinking of borrowing money, the group should look carefully at its ability to repay the loan by making a realistic estimate of how much more profit they expect to make if they use the loan in the business. If the expected increase in profits would not cover the bank charges, the loan is not a sensible idea.

## Inflation

The group also needs to take account of **inflation** - a general increase of all prices throughout the country. Inflation is outside the control of the group. Having high inflation means that prices keep rising making it much more difficult to plan ahead for costs. For example, a bag of feed which cost \$10 last year, now costs \$12.



Similarly a chicken was sold for \$4 last year and can now be sold for \$5. The feed and chicks have to be bought at prices which keep going up as the chickens are raised. *If inflation is very high, the group can run out of money to raise the chickens before they are old enough to sell.* Although they would be able to sell them for a higher price this year than last year, they may run out of money too early. In other words, they will have a cash flow problem. *In places which have high inflation, the groups therefore need to have a much higher level of savings to finance the business until sales are made.*



### Group actions

### Advisor

Discuss the idea of expanding the group activities with the group. Do not present the list of examples, initially, but just begin with the general question, 'what could the group do to increase profits?'



*".... convenience foods are becoming the in-thing...cooking from scratch at home is gradually going out of fashion for those of us who have work schedules that make demands on time and strength...now everything I cook is half processed .... from fish to purees to fufu powder... I used to prepare plantain chips every weekend at home, now I can count on over 30 people selling the chips along the street on my 10 Kilometre way home.."* - Antie Naana, Ghana Water Company, Madina, Accra.

**(City case studies, Accra, Ghana)**



### a) Brainstorm for ideas

To bring out ideas from the group, a good method is brainstorming – (see participative techniques in the annex).



In **Bangkok (Thailand)** and **Ho Chi Minh City (Vietnam)**, (peri)urban fish farmers have begun to produce ornamental fish, an attractive option for a growing market. Adding value to aquatic plant production through different forms of processing, packaging and sales techniques is also being developed in Bangkok.

**(Policy Briefs on peri-urban aquaculture. No 5. University of Stirling and ETC Urban Agriculture. 2006)**

Use this method to help the group see where they could make improvements to their production or produce something else to earn more money.

The group may be able to build on initiatives and innovations already developed by individual members. If the main areas listed above are not suggested, add them yourself.

Encourage the group to come up with their own ideas and in this first stage, do not criticize any ideas – just write them on a board.



Ask questions to help the group add to the list such as:

What else could we grow? – Other vegetables? Other non-edible crops?  
Animal production? Tree crops? Fisheries?

What else do people buy in the market that we could produce?

Is there anything else they would like but isn't found in the market?

What do people do with the produce we sell?

Who else can use our produce?

Do others need the same inputs as us?

## b) Group the ideas

Once as many ideas as possible have been suggested, group them into the areas above and then discuss which are the most promising ideas in each area. Which idea or ideas are the most popular to try first? Which are the most practical to try?

## c) Find the most practical ideas to start with

Discuss each idea very briefly with the group, in order for them to cross out any which are impractical (why are they impractical? Is it due to lack of skills or knowledge? Could the skills or knowledge be learnt?). Also delete ideas that are either unreasonable or unethical. While crossing out the ideas, though, try to encourage the group to see whether they have any similar ideas that could address a similar problem but be more practical. An impractical idea can often be altered to make a practical suggestion. Add any new ideas to the list.



The introduction of **grasscutter** (a small rat-like animal common in Africa) rearing in **Ghana** has also led to farmer level experimentation with herbal treatment for worms and other diseases.

**(City case studies, Accra, Ghana)**



### **Specialisation**

*Proximity to the urban market can offer urban farmers the opportunity to specialise and/or diversify their production. A farmer of the Great Niaye of Pikine, Dakar noted that most of the urban farmers in his community had difficulty in organizing transport of their goods. He then decided to start his own business transporting farmers' crops to the urban markets as well as taking agricultural inputs to the farming fields*

*He remains in close contact with his former colleagues and plays an important role in the organisation of the marketing of agricultural produce and bulky inputs such as urban livestock manure.*

**(UA Magazine No.17)**

### d) Make a new short list of the most practical ideas.

Ask each member to tick the three ideas they are most interested in. This helps prevent one or two members from imposing their ideas on the rest of the group. When everybody has decided the ideas they like best, count the ticks and choose the three ideas that have received the highest number.



Maize and cassava are often sold ready made into dough for cooking. Fish, plantain and yam may be sold as cooked street foods. Groundnuts may be made into paste and spices milled and packaged. Yoghurt is produced on a very small scale - often by urban farmers with just one cow or goat. Soy kebabs are also popular as an alternative to meat. In **Ghana**, there is an on-going promotion of these and similar activities by the Ministry of Food and Agriculture under its women in agriculture development programme. Soy kebabs are also an innovation in processing. Chunks are put on sticks and sold as what used to be limited to meat from sheep, goat and cattle.



*(City case studies, Accra, Ghana)*

### e) Briefly discuss what will be needed for each idea (skills, resources money etc.).

For each of the three ideas identified, the group should consider:

- How strongly they feel about each suggestion. New production, processing or markets will involve a lot of hard work, so it is better if the all the group members are enthusiastic about the idea. Enthusiasm will help to keep them interested through the difficult periods.
- What is the demand – is the market large enough? The higher the demand for the product or service, the more likely it is to succeed.
- Who will work on the idea: one or two people or the whole group?
- What are the costs involved? What is the risk?

**Note:** *The group may also like to investigate an idea further at this stage – perhaps some members could check out the market, costs of production etc and present it to the others in the next meeting?*

**f) Put the final three ideas in order of priority.**

With a large group, it may be possible to work on more than one idea at a time. Alternatively, if one idea does not work out in practice, the group can move on to the next idea. It is important that all those who will be involved agree on the



idea(s) chosen and not just the group leader. One dominant person can often persuade others of their idea without them being really convinced themselves. Ideas that come mainly from one person and do not have the backing of the rest of the group are unlikely to work.

**g) Feasibility study**

Before going further with the group ideas for increasing profits, they need to be sure that their idea is practical. If this is done properly, they stand a much better chance of success. A number of things should be looked at before going any further or spending any of the group's money. For example discuss the following with the group:



- Are all the resources needed available or accessible?
- Do they need training or assistance to set up/expand the new activity? Where will it come from?
- What will it cost to produce/process/do what the business wants to sell?
- What price will the group charge for the product/service? Will it cover the cost? Will it be too high for people to buy it?
- Does the group need money to get started? How much? Where will it come from? **(See financing – above).**
- Who are the customers? What are they interested in? Lowest price or better quality? What do they buy now? Where do they get it?
- Who else produces the same product/service? Are others likely to start a similar business? **(See below).**

## h) Discuss the competition

What does the group's product or service compete with? This doesn't just mean whether anyone else makes the product, but what would customers buy instead, if it wasn't for sale. For example if the group were to make and sell compost, they would not just be competing with other compost sellers but with anyone selling any form of fertilizer – chemical, manure or compost.



Discuss this idea with the group and help them to think through who their competitors are. For a business to work well over a long period, it will have to learn to deal with the competition (any successful business will have competitors). It will also have to learn to change and adapt to changing circumstances.

How easy is it to copy the business? If it is very easy, as soon as others see the group starting up the idea, they may copy it. Ask the group the following questions:



- *Are there enough customers for everyone who may want to get into the business?*
- *If not, is there anything the group could do which would give them an advantage over others? Better position in the community, better quality product, faster service, better packaging or labelling?*
- *What would the group do if there were not enough customers for both them and their competitors?*

## **B Group services to the members**

If a group grows in number of members and incomes, as well as more possibilities for larger scale activities and profits, there will also be more possibilities for services to be provided through the group such as:

- Savings and loans
- Bulk purchase
- Community care
- Political influence

In some cases though, rather than the group trying to provide all these services directly, perhaps they would



be better done through an IGA or other network organisation?

**(See Chapter 5)**

As a group gets larger, it may also be more difficult to manage than a small group. The chairman will need to be able to deal with larger group meetings and be able to manage more operations, the secretary will need to keep track of more information, the treasurer will need to deal with more complicated accounts. There will also be some increased costs such as a cash box for funds, more stationary etc. The leaders may also reasonably expect some payment or increased share of the profits to compensate them for the time they need to spend running the group.

It may be sensible at this point to give roles to some of the other group members such as for marketing, inputs supply, etc. if the work becomes too much for the existing leadership.

As a group expands, for it to remain successful, it is also important that members maintain a balance between what they put in and what they get out from the group. The increased group size and increased profits also come with increased costs that need to be paid for from increased contributions or profits from the group savings and loans scheme.

## **Other problems with expansion**

Lack of security of inputs – lack of land tenure, insecure water supply, and transient labour are all problems with a small group. As the group gets larger, some of these issues become more of a problem, but others may be less so. A larger group has more influence and also more contacts who may be able to help find a solution if for example, a temporary plot of land for production or marketing becomes unavailable.

Leadership: Management of a large group is more complicated and difficult than for a small group. However, a larger group is also likely to have more potential leaders amongst the membership and as such is better able to find a replacement if someone leaves than is a small group. This is provided the problem is anticipated and enough opportunities given to members to take responsibilities within the group.

Irregular production – if a group starts to supply larger retailers or customers, usually part of the agreement is that they will supply goods regularly in quantity and quality. However, by the nature of urban agriculture with insecure land rights and input supplies, this can be difficult to do. One possible solution might be to link up with other producer groups who could supply the market in emergency.

As the group grows, discuss these points with them.

***More information on group roles, decision making, conflict resolution and group dynamics is given in Annex I***

## **Summary**

**There are many opportunities for expanding group activities for greater profits. Amongst these are:**

- **Increase the quantity of production**
- **Increase quality**
- **Reduce costs**
- **Increase price**
- **Look for new markets**
- **New products or services**
- **Adding value to existing products**
- **Add other elements in the marketing chain**
- **Non-agricultural activities**

**The possibilities and most promising opportunities need to be carefully discussed and their feasibility and costs considered before beginning a new or expanded activity.**

**Larger groups also make more group services possible for the members. These present problems as well as opportunities though, and so need to be carefully considered before offering something that cannot be maintained.**







# Chapter 7: Enhancing legitimacy



This chapter deals with how to increase the acceptance and legitimacy of UPA by working together with multiple stakeholders in order that UPA can work for the benefit of the city and the consumers as well as for the producers themselves.

## Key points



**The situation**

**What can be done**

**GA actions**

**Summary**

## The situation

Urban agriculture is in many cases not welcomed by city authorities or by city residents - even those who directly consume its output. Consumers



may be happy to have access to fresh produce but are usually less pleased to have cows, pigs or chickens being produced next to them.

Crops produced using untreated waste water and sewage can pose a significant health risk and many city authorities see urban agriculture as inappropriate to a modern city. Because of this, they then make it illegal or at least discourage it and impose difficult conditions and regulations. In a number of cities now though, the attitude toward UPA is changing. Increasingly city authorities are interested in integration of UPA into city plans and economies (**see Harare declaration box and the Quito declaration below**).



### The Harare Declaration

*by Ministers responsible for Local Government from Kenya, Malawi, Swaziland, Tanzania and Zimbabwe, at our meeting in Harare on Urban and Peri-urban Agriculture (UPA)*

*We the Ministers "Call for the promotion of a shared vision of UPA that takes into account the specific needs and conditions in the region, and accordingly commit ourselves to developing policies and appropriate instruments that will create an enabling environment for integrating UPA into our urban economies".*

***Thus done at Harare on 29th Day of August, 2003***

Developing opportunities for urban agriculture will always depend to some extent on improving both its popular perception and its legality. Where an activity remains illegal, eventually it is likely to be shut down by the authorities regardless of how successful it is. While pressure may be put on authorities to allow activities to continue, particularly if there are many people involved, a more successful approach can be to work together to reduce the negative aspects of UPA (especially health and hygiene

issues) whilst promoting the positive aspects (such as employment, filling a market need, contributing to a greener city).

The laws on urban agriculture vary widely from city to city and country to country. Sometimes within a city, laws are contradictory with one apparently allowing agriculture, and another specifically preventing it.

Legality does not necessarily help with the problems of Urban agriculture. Sometimes, it is impossible for a group to be registered as a legal enterprise because the law

bans it, whereas it clearly supplies a need. By registering such a group, unless the law is changed, it will be unable to continue! A group may be legitimate in that it is supported by a government in power, but not actually be socially relevant to the people.

**Ghana, Accra Municipal Assembly (AMA) by-law**



*“no person shall keep any swine, cattle, sheep or goats within the area of administration of AMA without a permit issued by the AMA for that purpose which shall be determined in accordance with the fee fixing resolution”. The number of goats and sheep to be kept in any dwelling house shall not exceed 10. No person shall keep swine and cattle in any premises except at designated places based on application approved by the AMA. Offenders who contravene any of these byelaws shall be liable on conviction to a fine or to a term of imprisonment not exceeding six months or both”. (City case studies, Accra, Ghana)*

*In Hyderabad, milk production is still largely within the city limits with stall fed animals. In order to supply these animals with fodder, groups of urban farmers produce and supply forage grass to the dairies even though this is not a legitimate activity according to the municipal regulations.*

**(City case studies, Hyderabad, India)**



## Formalization and legitimization

Without formal organization and recognition it is very difficult for UPA producers to have any influence on their access to resources, including land, water, credit and training and advisory services. Informal groups have difficulty in obtaining any legal access to land but are also afraid that they will risk having the land they do farm taken away from them if they meet with city authorities.



From the city authorities point of view on the other hand, the urban poor are a large and growing group in most countries and need to be able to feed themselves. Local by-laws, to control urban agriculture, however well intended, are always difficult to enforce. Urban agriculture can, however make a significant contribution to cities through areas such as food security, waste management, greening of the city and employment. By working with, rather than against urban agriculture, cities and UPA producers together can collaborate to improve the contribution of UPA to the city.

Ultimately, temporary land licences, access to municipal land, access to government services and access to credit will be difficult to arrange unless groups are at least formalised and preferably registered as legal entities. This sets the scene for contracts to be made for access to land and other resources between government or private landowners and urban producer groups.



### **Yiriwaton Cooperative, Mali**

*Yiriwaton is a well organized and effective registered cooperative which promotes urban agriculture, supporting farmers and regulating agricultural activities in Bamako. It offers a credit facility to its 160 members to purchase seeds and tools, and runs a saving scheme for the members. Members farm mainly privately owned land, on the basis of informal rental agreements made with the landowner. Yiriwaton is politically active, defending farmers' rights and lobbying government offices to obtain and secure access to public land. It takes cases of land eviction without compensation to court in order to recover the farmers' production and investment costs.*

**(UA Magazine no.17)**

Establishing a legally registered group also makes it easier for the group or its representatives to be invited into a policy dialogue with the authorities as to how UPA can be developed for their mutual benefit.



*Stable producers' organizations can negotiate terms of tenure to provide greater security for their members. They can represent their members in policy exercises and negotiate contracts with suppliers or buyers on their behalf. They can also strike alliances with other stakeholders with shared interests in urban development strategies. Public and private agencies and NGOs have struck partnerships with producers' organizations to undertake a wide range of activities, including tending public parks, maintaining open spaces, providing security to estates, reforesting areas prone to degradation, discouraging dumping, reducing the costs of wastewater treatment plants, supplying medicine to public health clinics, providing food to schools and government facilities, and even offering local produce in the city's supermarkets.*

**(Luc J.A. Mougeot, IDRC 2006, *Growing better Cities*)**

The most effective UPA policy will be developed when a broad section of stakeholders are included from the producers, to the city residents and the consumers.

### Hygiene

In most cases, production is under poor or inadequate conditions regarding space, sanitation, use of pesticides and fertilizers (both organic and inorganic), use of sewage and other waste-water and disposal of waste products – particularly from animals. Produce is not only produced under unhygienic conditions, it is often transported, processed and sold under unhygienic conditions.



The smells, noise and pollution associated with much of urban production are unwelcome by urban residents.

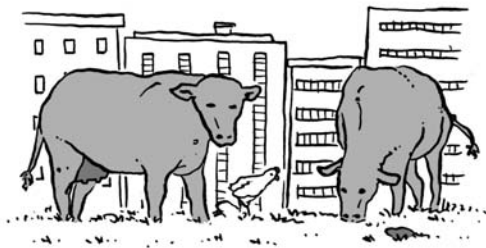
Produce grown by road-sides or areas with heavy air pollution is often also contaminated with heavy metals adding to the health risks.

For urban agriculture to be accepted as a part of modern cities, as it is in some cities in the industrialised world such as Amsterdam in the Netherlands and Vancouver in Canada, the health, hygiene and noise and smell pollution aspects MUST be brought under control. In western industrial cities, water quality is generally high, leafy vegetables are not grown near to major highways and the use of agrochemical and disposal of waste are strictly controlled.

In developing regions though, some, often the majority, are involved in UPA from lack of choice and lack of resources. They grow vegetables for their own consumption to survive and when they manage to produce a surplus, try to sell it. Many would be happy to find other work, but while that does not exist, they have no other option to survive. As such, while they would often be willing to use cleaner water and more hygienic production methods, they do not have time or money to spare hence the first initiatives should not increase either the amount of time needed, or the cost of production.

### **Animal production**

Animal production is usually more of a problem than vegetable production because of the smell, noise and waste products. Some production is not really appropriate to urban



conditions and will need to be controlled and eventually phased out. In some cities, milk production, is still widespread and on a large scale such as in Hyderabad. The majority of the milk for the city is supplied through stall fed cows dependent on fodder brought in from fodder



grass producers groups in the city. With an efficient transport system, good refrigeration and pasteurisation, production would not be needed within the cities, and would be more practical in the rural areas. For the time being, however, it proves to be more practical to produce the milk (and the fodder) near to the consumers. In many cities, there is still a high demand for 'fresh' milk that is then made safe by the traditional method of prolonged and repeated boiling.



### ***Declaration of Quito, 2000***

*We are urging*

*Local governments to promote Urban Agriculture in their cities, develop tax incentives and other policies, and promote the collection of information on Urban Agriculture activities in their territorial planning processes. State and national governments to include Urban Agriculture in their programs to alleviate poverty, food safety, promotion of local development and environmental and health improvement.*

*We are encouraging*

*Cities to recognize the significance of the contribution of Urban Agriculture to social development approaches, generation of jobs and income, self-esteem, environmental improvement and particularly food safety, and to add them to their key development goals in a transparent and concerted way.*

*We reaffirm*

*Our commitment to improve urban management through the promotion of Urban Agriculture experiences in our cities, ...as to enhance food security, address urban poverty, improve urban environment and health management, and develop more participatory and less excluding governance processes, as well as to protect urban biodiversity*

***(Quito, Ecuador, on April 16-20, 2000, on the occasion of the "Urban agriculture in 21st century cities" workshop, signed by 27 Latin-American cities)***



## What can be done?

City authorities, and ultimately all stakeholders, involved directly or indirectly in UPA, need to work together to look for ways to improve the production and hygiene of UPA.

It can help to start with this question for all stakeholders:



### **‘What can UPA do for the city (rather than what can the city do for UPA)?’**

The main answers to this are that UPA can help with poverty reduction, employment, food supply and nutrition, waste disposal, and improving the environment with green areas. Assuming these are areas the city authorities would like to integrate into city plans, the next question becomes,

### **‘How can we encourage these aspects and reduce the problems areas?’**

Measures such as identifying suitable land and provision of a supply of treated water for urban agriculture will need the collaboration of city authorities and concerned ministries.

Aid agencies, NGOs and university departments may be able to help with studies and surveys needed (such as city mapping).

Training courses, publicity and control campaigns can either be arranged directly or in association with Ministries of Agriculture, Extension, Health, Water and waste authorities, NGOs, Aid agencies, universities, colleges and schools etc. who are interested in taking part. Simple measures such as training on safer use of waste-water and disposal of waste often cost little or nothing and as such are practical for even the poorest to take up.

Many of the worst effects of pollution can be avoided by proper use of waste-water and manure (e.g. only applying them to the base of plants, not the leaves), proper levels of treatment of waste water, and selection

of plants and animals for different areas (e.g. not growing leafy vegetables by roadsides).

If the city authorities and departments of health, water, and agriculture can work together to provide access to a treated water supply, UPA producers can help with productive use of city organic waste and in making a cleaner better environment. For example, a group could undertake to keep an area clear of rubbish for the city in exchange for provision of treated waste water for urban agriculture, or in exchange for use of site for compost production.

*Accumulated research experience points to a set of simple recommendations for governments that have made the decision to work with UPA rather than against it. These recommendations may also prove useful to researchers, NGOs, community activists, and others involved in the study or practice of UPA.*

- *Municipal governments should start with the right question: What can UPA do for my city (not what can my city do for it)?*
- *Use UPA to make suitable vacant space productive for all*
- *Include UPA as an urban land-use category and as an economic function in your planning system*
- *Use a participatory policy-making approach*
- *Experiment with temporary occupancy permits (TOPs) for urban producers using private and public open spaces*
- *Support the organization of poor urban producers to manage UPA in more and better ways*
- *Bring the needed research in tune with your policy exercise at the earliest opportunity*

***(Luc J.A. Mougeot IDRC 2006 - Growing better Cities)***



## Group Advisor actions

Discuss the following areas with the producer group (section A) and with the city authorities (section B).

For discussion with the city authorities, it may be practical and appropriate for this to be done jointly with producer group leaders (or IGA/other network leaders). In other cases, it may be more appropriate that initially the approach is made by the GA's organisation or another concerned NGO or aid organisation.



### **CULP: Zambia Copperbelt Urban Livelihoods Project**

*CULP has demonstrated that NGOs can play an important role in improving security of land tenure for periurban farmers, by facilitating interest-based negotiations between landowners and aspiring farmers. At least three components were crucial to the success of this process:*

- *Organisation of farmers into groups;*
- *Willingness and ability of the farmers to adopt appropriate land-use practices; and*
- *Credibility of the NGO or other third-party facilitator.*

For change to take place, action needs to be taken both by the city authorities and the producer groups themselves.

Changing the policy environment is generally a slow process. Every opportunity should be taken to highlight the positive effects of UPA and to work in partnership with all stakeholders. At the same time, action needs to be taken to reduce the negative effects, especially the unsafe/unsanitary aspects of UPA. These two actions together, will eventually lead to more positive views of UPA and its place in the city.



## Section A

### Urban producer groups

The main areas where urban producers can help to improve the quality and safety of their produce, improve the image of UPA and ultimately encourage a favourable policy environment are:



- *Learn about the importance of safe and hygienic production methods and practice the methods in line with department of agriculture recommendations.*
- *Reduce use of chemical pesticides and fertilisers in favour of integrated pest control and organic fertilisers (composts and manures).*
- *Learn how to dispose of all agricultural (especially animal) waste safely.*
- *Look for areas where UPA groups can actively help with reducing waste (composting) and improving the environment (tree production and clearing waste areas for agriculture)*
- *Learn the importance of the image of urban agriculture both for sale of produce and to improve the legal/policy environment*
- *Learn how to be more influential with other stakeholders through advocacy and lobbying*

Discuss the importance of these areas and actions with the producer groups. With their agreement, then arrange training on health and safe production issues (either directly or through your organisation or another suitable agency).

Producer groups can help public health authorities by ensuring all members know of the health hazards of UPA production and keeping to the regulations. The more producers comply with authorities on such vital issues of health and safety, the more willing authorities will be to work with producers on other matters.

Once health and safety of produce have increased, this is worth publicising to consumers as it will increase the standing of UPA amongst consumers and so increase demand. The most effective media for this are likely to be an interview with a local radio station and with city newspapers.

### **Advocacy and lobbying**

For more mature groups (who have been established for some time) or with IGAs and farmers associations, training on advocacy and lobbying can be helpful to enable the urban agriculture groups to influence the authorities more directly. Such training can often be arranged through a local NGO.



Political tactics to influence policy may include such ideas as proposing a candidate from amongst the urban producers themselves for election to the town council, or to make an MP, city councillor or other sympathetic and influential persons, a patron of their organisation. What tactics work best will vary from town to town and country to country. In some, occupation of unused land can lead to eventual formal permission being given for its use for UPA. In other cases, this can be rejected by the city authorities who may even forcibly eject those attempting to take over the land.



### **Legitimacy**

Urban farming is often controversial. Many consider it undesirable, a 'non-urban' activity that causes nuisance and pollution. There are certainly grounds for such negative attitudes and, as found in a study carried out by the African Studies Centre (ASC) Nakuru, Kenya was no exception:

- Over half of Nakuru farmers used chemicals.
- Keeping animals in free range was quite common often being a nuisance to citizens
- One third of the livestock keepers dump their animals' waste in the street.
- Concentrations of heavy metals in soils and plants are higher in areas where sewage water is used for irrigation.

Politicians and municipal officials were against urban farming activities, which were considered illegitimate. The ASC research project however, contributed to bring about an important policy change:

"A workshop in 2002 to present the results of the studies created an awareness among officials that urban farming is a fact of life and a very important livelihood source for the urban poor. It was suggested that it would be better to try to regulate the sector than simply to ban farming activities. The Director of the Department of Housing said the workshop was "an eye-opener: we need to revise our housing policy". The Director of the Department of Environment was initially against any form of urban agriculture, but modified his opinion as the workshop progressed. Recently his department has become actively involved in a programme aimed at developing the sector, provided that farming is done in an environment-friendly way.

The most tangible proof of the impact of the research project is the drafting of Urban Agriculture By-Laws in 2006, which is unique in Kenya and indeed in many other parts of Africa. Based on the recognition that "every person within the jurisdiction of the Council is entitled to a well-balanced diet and food security" and that this entitlement "includes facilitation by the Council to acceptable and approved urban farming practices", farming is now legally recognised as an urban activity. This opens the way for the local government to stimulate the activity among the urban poor – for instance by creating easily accessible zones for farming – as a measure to combat urban poverty."

**African Studies Centre, (ASC) Info Sheet on UA, April 2006**

## Section B City authorities

The main areas where city authorities can help develop UPA to the benefit of the city are in:



- Identifying areas and sites within the city where UPA can be allowed or encouraged
- Assisting groups to move out of the city to peri-urban areas for production which cannot be accepted within the cities for health or nuisance reasons
- Ensuring a safe water supply is available to agreed UPA areas
- Ensuring that waste is disposed of safely
- Providing training to groups on safe production methods
- Providing freely available guidelines on safe production methods
- Encouraging composting of organic waste
- Testing water and produce regularly to ensure health and safety standards are met
- Developing a certificate scheme for safe produce (see chapter 5)

### I Identifying appropriate areas for urban agriculture

City authorities can help by identifying areas where agriculture can be permitted or even actively encouraged at least in the short term through a city survey (see chapter 4). The city can also encourage private owners to let out land that is underused by providing tax incentives. For example, in Cagayan de Oro, Mindanao, the Philippines, a city ordinance is being prepared to give tax incentives to land owners who will make their land available for allotment gardens. For the land to be properly useful for food production though, there also needs to be access to a supply of suitable water and a way to safely dispose of waste.



In some cases UPA is either impractical or unsuitable and it may be best moved out to peri-urban areas as has been done in many cities. City authorities may be able to find a suitable peri-urban area where agriculture can be permitted and an agreement made with the group for at least limited land tenure. The problem is that unless



cities plan for long term zoning for food production and green spaces, inevitably, as cities grow, what was once peri-urban, becomes urban and the same issue arises again. The long term solution is for systematic integration of open space into the growing cities.

One reason for food production within the cities is that it does supply a direct need for fresh produce since production is close to the consumer. Unless or until there is adequate transport from peri urban and rural areas to the cities, local production will always be in demand. City transport and city markets are therefore also stakeholders in deciding the place of agriculture within the city.

As wide a range of stakeholders as possible should be consulted for the most effective planning of the integration of UPA activities into a city. These should include the producers groups themselves or their representatives, consumers organisations, government departments such as health, sanitation, water, transport, agriculture and extension, NGOs and aid agencies etc. **(see stakeholders list chapter 5).**



### ***The Warren Park Women - Harare***

*In a low income suburb some 6 kilometres west of central Harare, a group of women farm a piece of land allocated to them by the Harare City Council some twenty years ago. The land measures approximately 10 hectares. It was allocated to the women as a group to farm it as a cooperative.*

*Whilst they have enjoyed uninterrupted access to the land for twenty years, they have one constraint: they have never received proof of the allocation in writing. Recently they approached an NGO for assistance with training and inputs. The NGO wanted proof that they were allowed to farm the land. Although both the women and the council officials could vouch that the women were authorized, there was no formal proof.*

*At the time of the research, the UPA Forum Coordinator had taken up the issue with a view to asking council to write a letter which would serve as proof of authorization from council.*

***(City case studies, Harare, Zimbabwe)***

## 2 Safer production methods

Training courses can be provided (through the extension department and/or NGOs) to groups in improved hygiene from production to consumption.



These could include:

- *Safe use of waste water,*
- *Disposal of waste*
- *Production and safe use of compost and manure*
- *Safe use of pesticides or shifting to more ecological forms of agricultural production*
- *More hygienic handling of produce from harvest to sale*
- *Safe production of animals in the city – including vaccination, waste disposal and hygienic processing*

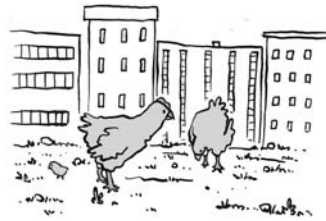
**Simple guidelines** (ideally with illustrations of techniques suitable for illiterate people) should also be produced and made widely available for UPA groups. Allowing groups to continue production could be made dependent on producers following the city guidelines in these areas.

**Regular testing** of both water supplies and produce for infection is an important part of the control of disease and agreement and cooperation needs to be made between the health authorities and urban producers. Water and product quality standards need to be set and monitored. The revised WHO guidelines for wastewater quality for example now include health-based targets and could be used as the basis for food-safety standards.



In China, for example, the government is developing a movement for safe, healthy food production that includes a system of licensing and inspection.

**Animal production** - All animal producers need to be made aware of the dangers through public health campaigns and training in identifying symptoms. It is much easier for departments of agriculture and health to work with producer groups in such matters than individual producers.



**Promoting environmentally sound production** - Improved information and education on cleaner and more sustainable production techniques could lead to better development of urban agriculture production systems that rely on more organic forms of fertilisation and pest-control as opposed to use of chemical fertilisers and pesticides. Ecological farming practices can be promoted through training and experimentation and



*“...the business is okay because in a good month I can make more than 2 million cedis....Last year I did not pay anything for the land I use because there were too many groups from government demanding tolls for using government land; I could not trust any of them...now I know I have to deal with an office in Ayawaso sub-metro...they have advised us to keep the place clean all the time” - Madam Victoria Otutuo, Victory Gardes, Dzorwulu, Accra.*

**(City case studies, Accra, Ghana).**

provision of licenses and incentives to micro-enterprises that produce and supply ecologically friendly inputs. The problem is often one of cost and effectiveness – unless incentives are provided to encourage more ecological farming practices, often revert to chemical controls as being cheaper and more effective as found by the Ghana country study.

**Processing, Transport and Markets** - Sanitary standards need to be improved not only for production, but also for all aspects of the food chain from harvest to processing, transport and particularly markets – where there are often no facilities even for washing or basic sanitation. Regulation, inspection and licensing are also needed in these areas.

### 3 Incentives for improved production

In most cities, there are few, if any, incentives for urban producers. Policies are rarely supportive and may be actually opposed to any form of urban agriculture.

By working together, with urban producers organisations, the city authorities can help to promote better, safer production, particularly of produce which meets a market need and does not cause additional problems.

By providing market space, designating areas of the city for urban agriculture and providing access to treated water and extension advice, city authorities will be providing an incentive for producers in turn to cooperate on health and safety issues.



As the contribution of UPA to city development becomes more widely recognised, policies may gradually become more supportive as with the Harare declaration.

In summary, rapidly growing cities need increased food supplies, better waste management, more green areas and more employment. Urban agriculture can help in all of these areas and the way forward is a dialogue and partnership between city authorities, urban producers and other stakeholders to agree where UPA can best help the city. These areas should then be encouraged. At the same time, the standards of health and safety need to be raised through training and regulation to reduce the health risks. Some aspects of UPA production may be deemed inappropriate in certain areas of the city and the best option in these cases may be to assist the producers in moving to a more appropriate area. Health considerations should thus be taken into account when setting aside zones for specific types of urban agriculture.

## Summary

**UPA is often discouraged or illegal in many cities. Policies are often unclear however and regularly un-enforced.**

**UPA is increasingly recognised as playing a useful role in city employment, food production and environmental issues**

**UPA has a poor image in many cities due to unsanitary production methods and association with noise, smell and waste**

**Improving production methods will help to improve the image**

**Working together with city authorities can be mutually beneficial**

**Partnerships with authorities to improve production and provide services to the city can enhance the image of UPA and help towards enabling a more positive policy environment**

**Joint planning with concerned stakeholder groups is the most effective way to integrate UPA into cities for the maximum benefit of all.**

**The GA can work both with the city authorities and with the producer groups to help bring about these changes.**



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## **Websites**

**FAO (general):** [www.fao.org](http://www.fao.org)

**Food for the Cities Fact sheets.** [www.fao.org/FCIT/factsheets\\_en.asp](http://www.fao.org/FCIT/factsheets_en.asp)

**IDRC:** [www.idrc.ca/index\\_en.html](http://www.idrc.ca/index_en.html)

**RUAF:** [www.ruaf.org](http://www.ruaf.org)

# Annex I

## Group Structure and Dynamics

### I. Motivation, common goal and purpose

For a group to be effective, they must be able to work together towards a common agreed goal and have the time and enthusiasm to do this. Is the main aim of the group to raise some extra cash, to reduce costs through bulk purchase or sales, to be able to access land, water, grants, loans or advice? Is it in order to increase legitimacy of the activities or is it even a legal requirement that they work together?

Members also need to agree on how much time and other resources they will each put into the group activities and how benefits and profits (for a producer group) will be shared. The more similar

the members aims and expectations from the group, the fewer the problems the group will have.

#### ***Main reasons for forming a group are:***

- *Group food and nutritional security*
- *Group income generation*
- *To access land*
- *To access training/extension and other services*
- *To access markets*
- *To access credit/finance*
- *For political advocacy*

#### ***To work effectively together, the group needs to agree in particular:***

- *Who will do what in the group*
- *What contributions everyone will make in terms of time, resources and money*
- *How benefits and profits will be shared out*
- *How to deal with disagreements within the group (who will decide when there are different views)*

These points can be formally written in a group constitution (or group rules) agreed by all members.

## 2. Membership

Groups of 8 to 15 members are usually the most effective. Once a group has some success, others will want to join. Also in many urban producer groups, the membership will change as members leave for other work or to other areas. The group need to agree on who should be able to join with the main criteria being that they agree with the group goal, to abide by the group rules.

The production group needs to have leaders – a chairman, secretary and treasurer (**see the group promoters guide**) – if they do not already have them. Ideally, these roles should be elected and for a fixed period so that they can be changed periodically to allow others to build up experience in running the group and to allow ineffective leaders to be replaced. In order to build up a stock of leadership experience in the group, other members can be given specific responsibilities such as for particular production, processing, or marketing responsibilities. The GA should encourage wherever possible, the development of the skills and experience needed to take on roles of responsibility within the group so that the full resources of the group members can be used within the group and if members change, the group can continue.

*Membership will mean sharing in the work and profits from group activities and should also implies the obligation to:*

- *Attend meetings regularly.*
- *pay the agreed membership fee (this ensures that only serious persons apply for group membership as well as helping to pay for the costs of the group activities).*
- *take part in electing the group leadership.*
- *make regular contributions to the group savings fund if established.*
- *repay group loans quickly.*
- *help other members when in need.*

### 3. Group dynamics

The relationship between the group members has a very large effect on how well the group operates. This is rarely fixed but will change with changing circumstances.

In general, groups go through several different stages:

- 1 Initial formation (**forming**).
- 2 Discussion and getting used to working together (**informing**).
- 3 Argument and disagreement (**storming**).
- 4 Settling into an agreed way or working together (**performing**).

It is important to recognise that almost all groups go through a stage of conflict and that this is normal and not necessarily a cause of concern. If the group has a strong enough reason to work together, and is able to discuss the issues causing conflict openly, they will pass through this stage and be able to work more effectively together (**See also conflict management below**).

Within a group, different members have roles and responsibilities and how they carry out their roles will also affect the stability and success of the group.

**The leader** – needs to be open to discussion and suggestions from the other members and to encourage their contributions to the group activities if the group is to get the most from the membership. There are many different leadership styles from directing to delegating, and which is appropriate will depend on the circumstances and the people involved. In a successful group, however, the aim of both the leader and the GA should be to develop the ability of all group members to contribute the maximum possible to the group.

**The secretary** – needs to be competent at taking notes of meetings and passing information to members as needed

**The treasurer** – must be able to keep accurate accounts and be able to report to the group meetings

Other roles such as specific responsibilities for production, processing and marketing can help ensure that other members learn leadership and responsibility and feel part of the group rather than employees.

*The more open the group members are to discussion about their roles and the more they are willing to help each other, the less conflict is likely. The GA should constantly watch the group dynamics encouraging the quieter members and trying to prevent the stronger members from dominating meetings.*

#### **4. Decision making**

Deciding who will do what is not always easy. Some jobs everyone likes to do - others no one wants to do. Dividing the work can sometimes cause arguments and problems between group members.

*In general, it is preferable for all group members to agree with decisions made by the group.*

**Consensus** does not necessarily mean unanimity (everyone agrees) but that everyone feels they have had a fair chance to consider alternatives and are prepared to support the group decision.

*Usually every effort should be made to achieve a group consensus, as this will strengthen the group. In contrast, if one or two leaders or outspoken members make all the decisions, it can lead to conflict and eventual breakdown of the group. However, while the decisions reached through group consensus are usually the ideal and will often be better than they would have been if individuals made them, they do take time. Sometimes quick decisions are needed and at these times group decision-making can be a disadvantage.*

This is where good leadership is particularly important. A good group leader will know when to discuss issues with all members in a group to try to reach a group consensus, and when decisions can be made on behalf of the group. In these cases, the decision made can be discussed at the next meeting if necessary.

There will be times however, when a group do not all agree on how to do something or who should do it and one of the group rules needs to

be how a decision is reached in these cases. Possible ways to decide could be by majority vote, (with or without a minimum such as 60% majority) or a leadership decision (authority rule). It is generally not enough to assume that because all members can participate in decision-making, that if they do not, it means they agree (silence does not necessarily mean consent). In any controversial decision it is best to at least vote on the best course of action and if there is a clear majority against the decision, it will be necessary to discuss other options.

The main problem with **authority decision-making** in producer groups is that members carry out the decisions because they feel they have to, not because they agree or at least feel that their ideas and feelings have been considered. This ultimately undermines the sustainability of the group.

Many existing groups have a strong leadership which is not particularly participative or democratic which can be acceptable for a business with employees, but it less so for participative groups where members provide equal resources and time and can therefore expect to have an equal say in group decisions. Some form of election for leadership is important in such groups and leaders should normally have a limited tenure (e.g. one or two terms of one or two years) so that others have an opportunity to learn to be leaders or for leaders to be changed if it is felt by the members that they do not properly represent them. One possible course of action where traditional leaders such as local 'kings and queens' (**see box**) dominate a group, is to make a new role for them as patron rather than leader where they are honoured for their role in starting the group and are seen as 'elder statesmen' but do not have a vote or final decision making role in the group.

## **5. Conflict management**

Even in the most homogeneous group, there will be disagreements that cannot easily be resolved through normal group decision-making methods. For example, one or more group members may contribute less than others in time or money but still want an equal share of the profits. One or more members may dominate the group and refuse to allow others to play an equal role.

The group constitution - i.e. a written record of the purpose and rules for the group - helps the group to avoid such internal conflicts and makes the responsibilities of each member clear. If there is no such set of rules for the group, the GA should help them to formulate their own constitution through a discussion meeting where all members (men and women) are encouraged to speak freely. The constitution is for the benefit of the group only, not for outsiders so all members must agree with the rules and to abide by them. Preparing such a constitution will also provide an opportunity to encourage more open participation in groups that are dominated by one or more members.

Where even the constitution cannot solve a conflict, the role of the GA is to act as mediator helping the two sides in the conflict to concentrate on the following steps:

Conflict occurs when individuals or groups are not getting what they need or want and are seeking their own self-interest. Sometimes the

### ***Steps for consensus decision making***

- 1. Identify and clarify the problem. Who is involved? Who does it affect? Can we involve them in solving the problem? Are there others who should be consulted before a decision is made?*
- 2. Analyse the cause. Is it a physical cause or a social/political/personal cause? Is there more than one cause? Which is most important?*
- 3. Look for alternative solutions. Identify as many ways to deal with the problem as possible BEFORE considering which is most practical and the advantages and disadvantages of each.*
- 4. Select one or more alternatives for action which could be practical. Consider the advantages and disadvantages of each and prioritise them for action*
- 5. Plan for implementation. Identify all the steps that must be taken and assign them to members for action with a time for completion. Who needs to be informed of the action to be taken?*
- 6. Summarise what will be done and who will do it.*
- 7. Evaluate the action once it has been taken. If unsuccessful, can the group try the second best alternative? Are there other courses of action that should now be considered?*

individual is not aware of the need and unconsciously starts to act out. Other times, the individual is very aware of what he or she wants and actively works to achieve it.

Conflicts are inevitable because we are dealing with people's lives, jobs, children, pride, self-concept, ego and sense of mission or purpose. Although they are inevitable, there are strategies for dealing with them that work.

Conflicts occur for many reasons, but common ones are when there is:

- Poor communication between group members (or leaders and members)
- When one or more members want more power
- When members are dissatisfied with the leadership style
- When leadership is weak
- When there is a lack of openness in the group

Providing the two sides are willing to openly discuss the conflict with the aim of resolving it, the following approach can be useful:

### **1 Focus on needs, not positions.**

The focus of conflict resolution should be not on what people think they want (their positions) but on what they actually need. Needs, not positions, define the problem. In nearly every conflict, several different needs must be taken into account. Only by talking about and acknowledging personal needs explicitly can people uncover mutual or compatible interests and resolve conflicting interests. Every need usually has several possible ways in which it can be satisfied, and opposing positions may actually reflect more shared and compatible interests than conflicts. Thus, focusing on needs instead of positions makes it possible to develop solutions.

### **2 Look for ways in which both sides can win.**

Before attempting to reach agreement, the two sides in a conflict should brainstorm to consider a wide range of options that advance shared interests and reconcile differing interests. In this process, the two sides



should strive to avoid four major obstacles:

- *Premature judgment.*
- *Searching for the single answer.*
- *The assumptions of a fixed pie (that there are only a fixed number of benefits available - or a fixed amount of production which can be made or sold). and*
- *Thinking that 'solving their problem is their problem'.*

## **6. Self-reliance and sustainability**

The aim of the GA is to no longer be needed by the group. The group should become completely self-reliant. This does not mean that they can do everything themselves and do not need any outside advice, but that they know who to approach and how to obtain outside advice and resources that they need. For example, they know how to manage their accounts, savings and loans, how to deal with authorities and how to find advice and information through other groups and regular organisations. In other words, their continued existence as a group does not depend on the group advisor.

Regular contributions by members to the group and a formal savings scheme are extremely important for the sustainability of the group. Outside loans or grants should only be thought of as a short-term strategy that can be helpful to get started on a new enterprise. In the long term, though, the group must be financially self-reliant to be sustainable.

### **Some indicators of self-reliance are:**

- **Regularity of group meetings and level of member attendance.** *When regular meetings and high attendance continue in the absence of the GA, the group is obviously highly motivated and well on the way to achieving self-reliance.*
- **Shared responsibilities and member participation in group decision-making.** *Groups that share responsibilities and in which there is a high level of participation in decision-making learn more quickly and are better able to cope with members leaving the group. Groups dominated by a few members are often unstable and can be very vulnerable to key members leaving the group which can happen frequently in urban producer groups.*

- **A successful and sustainable group enterprise.** *For the majority of producer groups, increased income from a group enterprise will be a major objective. Success in such enterprises will itself strengthen the group and help make it self-reliant.*
- **Continuous growth in group savings.** *Group saving is a key measure of members' faith in and financial commitment to group activities. It is also a good indicator of the profitability of the group activity. Groups which do not save, or save very little, are less likely to achieve sustainability. Each group should develop its own long-term plan for achieving financial self-reliance through member saving targets.*
- **High rates of loan repayment.** *A group's capacity to repay loans on time is another indicator of group financial discipline and the profitability of its income-generating activity.*
- **Group problem-solving.** *A group which solves its own problems and takes initiatives for its self-development in the absence of the GA has a high level of member confidence.*
- **Effective links with development services.** *The self-reliance of a group also depends on its ability to establish or maintain links with government and NGO development services, in the absence of the GA. Intergroup associations can be particularly helpful in this area.*

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# Annex II

## **Participatory Learning Techniques**

*This Annex lists participatory learning techniques that GAs could use with groups for group formation or development. In some cases it may be appropriate for the GA him/herself to lead the group in these exercises, in others, there may be a group member or leader who can take on this role.*

*The list is intended as a guide only. Be creative when using methods. Try to use drawings rather than words as much as possible. Use pictures, drawings, a flannel board, puppets and so on. Write and draw on poster-size sheets of paper. Special attention should to be paid to women's roles and work.*

### **Activity profile**

Ask different people about their daily activities. Where, when and how much money do they spend? Interview and observe or ask them to write notes.

### **Approach members constructively**

Encourage members either verbally or through privilege for taking initiative and for actions of any kind. Everyone needs to know their contributions are appreciated. Even if their comments are not practical, a reply can begin with 'That's a good point but what about...!', or 'That's an interesting point, what do others think?'

### **Assignments (theoretical and practical)**

Ask participants to practise new roles and new skills - e.g. ask a different person to act as a chairperson or fill in record book. This is particularly important with urban groups with many transitory members. Suggest assignments for members e.g. to find out the current market prices for something. As an exercise, work out the likely demand for a product - e.g. chickens - in the group's market area for one year. Will demand vary through the year?

### **Brainstorming**

Ask members to think of any ideas that come to mind. List all the ideas without evaluation or judgement. The quantity, not the quality, is what matters. Ideas can be discussed later for practicality. Sometimes unlikely or seemingly ridiculous ideas lead to a more practical idea that would otherwise not have been considered.

### **Case studies**

Discuss an imaginary or real situation from the area (e.g. a successful group of marketing women) to encourage discussion on marketing strategies. Use the case study to ask questions about an activity the group is working on.

### **Community surveys**

Survey individuals in the community for their knowledge or opinions. Ask a number of people who represent the audience you are thinking about. For example, if you are trying to find out the extent of demand for mushrooms in the area, ask a number of people - men, women, school teachers, people at the markets, etc.

### **Consultation with specialists**

With several members of the group, meet with a specialist or knowledgeable person on an issue for which you need more information - e.g. for chicken raising, contact the department of extension. For a health issue, contact the department of health. It may be possible to arrange for the specialist to visit the group, in which case, the interview could be carried out in front of the whole group and then an open question session held.

### **Critical Incident**

Use problem situations to analyse advantages and disadvantages and possible solutions to a given situation. Pictures or drawings will help. For example: 'A group has saved up a lot of money - enough to build a chicken house and start up a chicken raising activity. Just before they go to buy the materials, the treasurer tells them all the money has been burnt. What should they do?' Hold a discussion on the issue.

### **Field visits and excursions**

These can be combined with observation and interviewing. Arrange a visit to a place of relevance to the group - e.g. to another group successfully running an activity your group would like to try, or to a place where they can see successful examples of production, processing or marketing or produce.

### **Information collection**

Ask members to collect information on relevant subjects from government offices, service organizations, markets etc. This is useful for finding out what is needed or the likely results of an idea before trying it out in practice.

### **Local histories**

Ask members for a detailed account of the past and how things have changed in the area.

### **Memory game**

Show 20 objects found locally. Ask the participants to remember them. Put them in a bag one by one. Then ask one volunteer to name them and write them down on a list. Ask the other participants as a group to write them down as well. Compare the lists and discuss the advantages of cooperation.

### **Participation game**

Give five sticks (or stones or other objects) to each participant. Start a discussion. Everybody who speaks has to give away one of her/his sticks. No one may speak without sticks. Discuss subjects such as dominance, shyness and importance of participation.

### **Participatory group discussion**

Used in combination with other methods. With the members in small or large groups, discuss a topic of interest. Provoke reactions by using open questions: 'What do you see here? Why do you think it happens? When this happens in your situation, what problem does it cause?'

What can we do about it?' Ask questions that need definite answers: 'When was the last time ... and what did you do then? What did you do yesterday? How many ...? What happens in your family ...?'

### **Practical demonstration**

Show exactly how something should be done - e.g. filling in a record book. Then ask the members concerned to do the same thing. If you do not have the skill in question, ask an expert to demonstrate - e.g. for compost production, ask the department of extension to arrange a demonstration or where the members can go to see a demonstration.

### **Preference ranking**

Ask members to rank items according to their own criteria (e.g. for six seed varieties -which is best to worst for harvesting, fodder, food, storage, etc.).

### **Presentation by a resource person**

Ask a specialist to give a presentation to the group - for instance a market woman or trader explaining about purchase and sale.

### **Presentation of a progress report**

Ask a member to give a personal report about the group's progress. Discuss the presentation among the group. If one member is very critical, you can always ask them to do better!

### **Presentation of experiences**

Ask one participant to describe personal experiences related to daily life or work - e.g. a woman telling what she does from morning until evening, or a man telling how he runs his market stall.

### **Problem-solving**

Make a table with four columns. List main problems of participants in the first column, possible solutions in the second column, what prevents them from solving the problem in the third column, and what will help them solve the problem in the fourth column. Discuss.

### **Testing and experimenting**

Carry out practical trials or experiments (e.g. test different seed varieties to see which work best).

### **Time line**

Ask the members to draw a line and mark on it major events in the community, with the approximate dates. Discuss changes that have occurred.

### **Two-circle exercise**

Draw two circles - one circle represents the community, the other the group in the community. List the problems in the community and list the problems that affect the group especially in the group circle. Discuss how the problems are connected, possible solutions to the problems and how solving group problems will affect the community.

### **Venn diagrams**

Ask people to draw a circle to represent themselves and other circles to represent groups and institutions with which they have relations. The distance to their circle indicates the strength of the relation, the size of the circle their importance to the people. Circles can overlap.

## Annex III: Example result of situation analysis

Situation analysis	What can be done	Who can deal with the issue
<p>Very low land/space availability. Land used may be alongside roads, rail, rivers, temporary land to be built on and on any green spaces. Also backyards and rooftops and balconies. Animals can and are kept wherever there is space for them, (stall fed).</p>	<p>Mapping of cities to identify land available. Temporary user licences. Collaboration on parks and gardens Participatory city planning</p>	<p>City authorities/NGOs/Aid agencies/ University departments interested in funding this City authorities</p>
<p>Land tenure very low or non existent</p>	<p>Temporary licences Provision of land in peri-urban areas Reservation of land in Peri-urban areas Participatory city planning</p>	<p>City authorities City dwellers and community representatives</p>
<p>High cost of land</p>	<p>Zoning or protection of green areas for UJA</p>	<p>City authorities/National policy</p>
<p>High level of construction - land either already built or under pressure for building land</p>	<p>Zoning or protection of green areas for UJA</p>	<p>City authorities/National policy</p>



### Annex III

Situation analysis	What can be done	Who can deal with the issue
High population density	Provides ready market – an opportunity as well as a problem. Can make it easier to organise in groups	National policy – an issue for rural to urban migration in general.
Often a temporary or part time job	Recognise problem of temporary positions in group organisation and ensure enough trained to take over as needed. If other work pays better, this will be the best choice for most	GA
Mainly confined to the very poor with no alternative (in developing countries). In richer countries, UA is from choice, not necessity. The majority in (most) cities are NOT involved in UA	For many, UA is a survival mechanism only. If higher value and more profitable production is possible, it may be sustainable, but may also be seen by the authorities as promoting UA, which they are often reluctant to do. In negotiations, UA should be seen as a transition phase to other work for some, a way out of poverty, and a useful service to the city for others.	Dialogue with City authorities and other stakeholders to improve the conditions of production of UA to mitigate the worst effects which promoting the better aspects
Water easily available but variable quality. Often heavily polluted	Education and training on how grey and sewage water can be used. What level of treatment is needed for what type of water. Testing and controls of water use.	Water boards, city authorities for dialogue with producer groups

Situation analysis	What can be done	Who can deal with the issue
More services (banks, schools, medical centres, power, communications etc.)	No particular action needed. This is an advantage of cities. Group pressure may improve access to some services. Groups may also be able to access loans from banks or NGOs but Savings should be promoted before loans	GA, Financial institutions, service providers
Inputs relatively easily available or from nearby peri urban areas	Bulk orders and supplies can better be arranged through groups	GA/Extension services/NGOs
Good access in many cases to advice and support due to proximity to aid agency and government headquarters	May be better arranged through groups or inter group organizations	GA/Producer groups/extension/NGOs/Govt departments
Knowledge of UA farmers often limited unless they are recent migrants from rural areas. They may not be familiar even then with production techniques needed in urban areas	Learn from others/learn from extension or Agriculture department/NGO training courses on specific subjects	GA/Extension/NGOs/IGAs/University departments/colleges and schools
UA often practiced by poor urban dwellers for survival purposes	Improve quality and reduce health risks through training and extension advice and communication campaigns	Extension /health/ NGOs/ govt regulation of use of water/sewage/ market facilities

Situation analysis	What can be done	Who can deal with the issue
<p>Reasonable availability of inorganic fertilisers, high availability of compost and organic waste</p>	<p>Promote use of compost as a cheaper, safer and better alternative in cities for UA. Can also become a business for sale to other groups-UA producers</p>	<p>City waste authorities/GAs/NGOs/ Agric or extension department for training on compost making.</p>
<p>Lack of space and proximity to buildings often requires use of low space technologies (e.g. hydroponics) and use of bio-pesticides and organic fertilizers</p>	<p>Training on low space technologies IF financially viable (needs financial analysis study first). Similar for use of bio-pesticides. Use of bio-pesticides may be required for health and safety regulations.</p>	<p>City authorities/Health and safety/ NGO/Universities/Aid agency cost benefit analysis/Extension dept or NGO/AID Agency for training courses on Hydroponics etc.</p>
<p>Very easy access to markets</p>	<p>Problem may be cartels in cities preventing access. Group pressure may help. Also problem of hygiene in city markets</p>	<p>Dialogues with GAs and Producer groups//GAs with municipal authorities and other stakeholders. Hygiene in markets is an issue for the city authorities – provision of facilities and monitoring/regulating markets.</p>

Situation analysis	What can be done	Who can deal with the issue
Urban producers economically dependent on the city but also produce largely for self consumption	Not necessarily a problem. Need to improve market access and explore alternative production/value addition to produce. GAs and stakeholder dialogue for market access. Group discussion on market analysis and diversifying production. Training on new production techniques by extension/GANGOs as appropriate	GAs, IGAs, NGOs and training providers
Mainly subsistence based	Increase production levels and move to higher value produce where possible to provide a surplus/other produce for sale	GA or IGA/NGO for group discussion on improving production/diversifying production
Small-scale, scattered and often low-value crops produced in cities	Collaboration in groups may provide enough production to be of interest for markets. Link to dialogue on land availability and on increased value of production.	NGOs, IGA, stakeholder dialogues

### Annex III

Situation analysis	What can be done	Who can deal with the issue
<p>Attitudes often negative to Agriculture by consumers. Producers often work in UA from lack of choice</p>	<p>If quality and hygiene can be improved, attitudes will also improve. For smells and nuisance from animals, this needs to be either kept under control, or the animals moved out to peri-urban areas. Tight controls are needed on animal health particularly regarding zoonoses.</p> <p>Lack of choice – beyond the scope of this manual – general development issue</p>	<p>GAs, IGAs, extension, health and city planning for education of producers, controls on production and health and improving quality. With improved quality, publicity may be worthwhile to advertise the improvements.</p>
<p>Few incentives. Policies rarely supportive. May even be illegal in some cases</p>	<p>Work with local authorities and institutions to improve quality of produce and to integrate in city food production.</p>	<p>IGAs with GAs and other advisors working together with city authorities and departments of agriculture, health and environment</p>

Situation analysis	What can be done	Who can deal with the issue
<p>Poor air quality</p>	<p>Technical issues such as avoidance of production of leafy vegetables near to roadsides. Emphasise production of crops and animals less affected by the air pollution.</p>	<p>Extension/health/NGOs for training on production</p>
<p>High health risks from confined animal production and from use of sewage water and other effluent, air pollution from vehicles and city life in general and from unhygienic transport and sales of produce</p>	<p>As above plus general training on improved hygiene from production to consumption of produce</p>	<p>Extension/health/NGOs for training on production</p>

# Annex IV

## Annex IV – country and city contacts

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Annex IV

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## Annex IV

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