



Project

Social organisations of urban producers. Models for management
and policy advocacy

**NOTE OF METHODOLOGICAL ORIENTATION FOR CASE
STUDIES, LOCAL AGENDAS AND PARTICIPATORY
MONITORING**

(FINAL VERSION)

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CONTENT

ACRONYMS	3
TABLES	3
CHAPTER I. BACKGROUND AND PRESENTATION OF THE PROJECT	4
1.1 Background and general description	4
1.2 Tasks and responsibilities of the Coordinating Team and the Local Teams of Action-Oriented Research	5
1.3 Important dates for the project	6
CHAPTER II: GENERAL METHODOLOGY	8
2.1 Formulation of the problem	8
2.2 General theoretical-methodological approach	8
2.3 Social Organisation of Urban and Peri-urban Producers	9
2.4 Dimensions of analysis	9
2.5 Methodology and general instruments	10
CHAPTER III: DEVELOPMENT OF THE CASE STUDIES	12
3.1 Nature of the Case Studies	12
3.2 Methodology and instruments of the Case Studies	12
CHAPTER IV: FORMULATION AND VALIDATION OF LOCAL AGENDAS FOR ACTION-ORIENTED RESEARCH	14
4.1 Nature of the Local Agendas for Action-Oriented Research	14
4.2 Methodology and instruments for the formulation of Local Agendas for Action-Oriented Research	14
CHAPTER V: MONITORING AND EVALUATION	16
ANNEXES	17
Annex 1: Data register form for contacts	17
Annex 2: Guide for the elaboration of Case Studies	18
Annex 3: Toolbox	21
Annex 4: Guide for the formulation of Local Agendas for Action-Oriented Research	35

ACRONYMS

IDRC	International Development and Research Centre
IPES	IPES-Promoción del Desarrollo Sostenible
LA	Latin America
LAC	Latin America and the Caribbean
NMO	Note of Methodological Orientation
RUAF	Resource Centre on Urban Agriculture and Food Security
SOUPP	Social Organisation(s) of Urban and Peri-Urban Producers
ToR	Terms of Reference
UPA	Urban and Peri-Urban Agriculture

TABLES

Table 1 – Important dates for the Project	7
Table 2 – Methodology and general instruments	10
Table 3 – Methodology for the elaboration of Case Studies	13

CHAPTER I: BACKGROUND AND PRESENTATION OF THE PROJECT

1.1 Background and General Description

- a. Nowadays, there are more governments (local and national), groups of urban producers, academic groups and civil society organisations in countries and cities of Latin America (LA) that carry out actions, projects, programmes and policies oriented to improve access to lands and credit, local economy and food security of urban citizens, specially those who are the poorest.

Between 1999 and 2004, IPES-Promoción del Desarrollo Sostenible and the Urban Management Programme (UMP-LAC/UN-HABITAT), with support of the International Development and Research Centre (IDRC-CIID), the RUA (Resource Centre on Urban Agriculture and Food Security) and other organisations, developed several investigations in Urban and Peri-Urban Agriculture (UPA) in municipalities of Latin America and the Caribbean (LAC). These investigations allowed to teach and train local teams formed by municipality professionals, NGOs, universities, communitarian organisations, and other actors; formulate political guidelines for the implementation of UPA municipal programmes; classify the production, transformation and commercialisation models; and know more about the types of funding and the models of land tenure related to UPA. These studies identified the necessity of strengthening the capacities of the social organisations of the urban and peri-urban producers of Latin America and Europe, thus, enabling the formulation and execution of a specific project.

- b. IPES Promoción del Desarrollo Sostenible (Peru) and the Foundation ETC (Holland), with the collaboration of the International Development and Research Centre (Canada) execute a project of action-oriented research "**Social organisation of urban producers. Models for management and policy advocacy**".
- c. This project seeks to identify strategies, management mechanisms and to develop partnerships, implemented by the Social Organisations of Urban and Peri-Urban Producers (SOUPP) of LA and Europe, which have allowed them to improve their access to resources (credit, land, inputs, etc.) and to influence in the formulation and execution of actions and UPA public policies.
- d. It is expected that the process of action-oriented research reaches the following specific objectives:
- Categorise and characterise the organisations of urban and peri-urban producers that exist in the cities of LA and Europe that have developed innovative partnerships and have a relevant advocacy role.
 - Identify and compare the forms of organisation, management and strategies used for strengthening partnerships and its incidence in the formulation and/or management of policies at a local and/or national level.
 - Analyse the results and effects of these partnerships, and the forms of organisation and management.
 - Develop participatory local agendas of action-oriented research that allow the identification of objectives and activities to strengthen the organisations of urban producers of LA and Eastern Europe.
 - Facilitate access to knowledge and learning for the organisations of producers of LA and Europe; strengthen the establishment of new relations through the exchange and cooperation between the two regions.
- e. At the end of the project, we will have the following results:
- Seven (7) Case Studies of Latin America and Europe.
 - A document of Capitalisation and Compared Analysis of the Case Studies.

Project: "Social organisation of urban producers. Models for management and policy advocacy"

- Six (6) Local Agendas of Action-Oriented Research of LA and Eastern Europe.
 - One Inter-Regional Agenda of Action-Oriented Research.
 - An inter-regional visit or exchange to Holland, of LA and Eastern Europe urban producers.
 - A video report in DVD presenting the project, elaborated after the inter-regional exchange.
 - An interactive website for the exchange, participatory knowledge building and dissemination of information.
- f. For the elaboration of the Case Studies, Local Teams will be created and these will design a participatory methodology based on the instruments that are a contribution of the coordination of the IPES-ETC project. In all the cases, the information will be analysed separately by gender.
- g. For the formulation of Local Agendas, specific participatory workshops will be carried out. For monitoring and evaluation, an Outcome Journal will be used. This is an instrument that comes from the methodology of Stakeholder Analysis of the IDRC. In both cases, a gender-sensitive approach will be incorporated.
- h. The capitalisation and compared analysis of experiences will be done by the Local Teams. The draft will be revised and discussed with local researchers in an Electronic Forum (researchers from the FAO urban producers project will be invited to participate). The Forum will discuss the draft of the Inter-Regional Agenda elaborated out of the Local Agendas.
- i. The inter-regional exchange will allow a group of UPA producers of LA and Eastern Europe to visit two experiences in Europe (Holland) and to share their experiences with other organisations.
- j. Dissemination materials of the project will be elaborated and will be recorded in a Video Report, in a website and in specific electronic documents. Local Teams will participate in these activities.
- k. All the activities of the project will be coordinated by IPES, and supported by ETC in the coordination of activities in Europe.

1.2 Tasks and responsibilities of the Coordinating Team and the Local Teams of Action-Oriented Research

The tasks and responsibilities of the Project Coordinating Team and the Local Teams of Action-Oriented Research are presented below.

a. Coordinating Team:

- It will be responsible of the general coordination of the project during its execution, and it will elaborate the Terms of Reference (ToR) and contracts.
- It will assure the fulfilment of activities and the quality (in time, content and form) of the resulting products. It will authorise the corresponding payments when the products are accepted;
- It will choose the cases with relevant information based on a Case Selection Form;
- It will give methodological training, follow-up and technical assistance to the work of Local Teams, in workshops, through e-mail and on-site (during a concerted mission);
- It will elaborate consolidated documents (Compared Case Studies and Inter-Regional Agenda of Action-Oriented Research);
- It will be responsible of the logistics and it will provide technical assistance in the Inter-Regional exchange;
- It will organise and facilitate the Electronic Forum and it will manage the project website;

Project: "Social organisation of urban producers. Models for management and policy advocacy"

- It will coordinate the activities of the exchange between this project and the FAO-IDRC project.

It will elaborate and disseminate:

- A Note of Methodological Orientation (NMO) detailing the scope, methodology and expected results of the elaboration of the Case Studies, the formulation of the Local Agenda of Action-Oriented Research and the monitoring and evaluation (application of the Outcome Mapping methodology);
- A Toolbox with methodological common instruments (Annex 3 of the NMO);
- Schemes for the formulation of the Case Studies and the Local Agendas of Action-Oriented Research;
- Guidelines for gathering the digital graphic material of the experiences investigated;
- Aide Memoire before the execution of the:
 - Methodological and training workshop;
 - Electronic Forum;
 - Inter-Regional Exchange.
- Guidelines for the formulation of written material of the experience, to be disseminated in the website.

a. **Local Teams:**

- They will elaborate and validate in a participatory form, a Case Study and a Local Agenda of Action-Oriented Research.
- They will apply the methodology of monitoring and evaluation of the project and elaborate the corresponding documents.
- They will contribute to the signing of an Agreement between actors (Cooperative Agreement) of the institutions that are part of the Local Team, and other relevant local actors for the research and promotion of UPA at a local level (public and civil society). This group will have to set the criteria on how to use the information generated, they will have to create monitoring mechanisms for the activities, and they will have to share the advances and obtained results.
- They will provide Case register materials for their dissemination in the website and in the video report, taking into consideration the specifications of the Coordinating Team.
- They will ensure the participation of a producer of the experience investigated in the Inter-Regional Exchange.

They will have to incorporate at least one expert from an NGO or a well-recognised University with experience in action-oriented research in UPA issues; and a representative of the producers related to the experience investigated, promoting the incorporation of an equal number of men and women. If it is appropriate, they could incorporate professionals from the municipality or other NGOs, as well as university researchers, producers from other organisations, etc.

All the Local Teams will have to present to the Coordinating Team a list detailing the contact information of the members (see Annex 1) and designate a *Coordinator* who will participate in a methodological and training workshop.

1.3 Important dates for the project

In Table 1 there are some important dates that have to be considered for the elaboration of the Work Plans of Local Teams.

Table 1 – Important Dates for the Project

Date	Activity
March 4-6	Methodological and Training Workshop. Site: Montevideo, Uruguay.
March-April	Methodological and training assessment of ETC to local European teams.
March 15	Delivery of the Work Plans, calendar of activities and Final Methodology by the Local Teams.
April 1	Delivery of the Outcome Journal Draft by the Local Teams.
May 25	Delivery of the drafts of the Case Study, Local Agenda and Cooperative Agreement.
June 3-19	Technical support missions and Local Validation Workshops.
June 20	Sending of the draft report to IDRC.
July 15	Delivery of the final versions of the Case Study, Local Agenda and digital graphic material.
August 15	Delivery of the Case Studies and Local Agendas in Spanish and English and other materials for dissemination.
September	Inter-Regional Exchange in Amsterdam (date will be confirmed)
October 2-6	Electronic Discussion Forum of the drafts of the Compared Study and the Inter-Regional Agenda.
October 30	Delivery of the final Outcome Journal by the Local Teams. Delivery of the technical-financial reports.

CHAPTER II: **GENERAL METHODOLOGY**

2.1 Formulation of the problem

- a. In LA and Europe there are several UPA promotion experiences (focused on production, transformation, commercialisation, marketing, credit, land access, etc.) at a local and national level, under promotion and research projects of civil society organisations (NGOs, social and academic movements). There are also municipal and national UPA programmes and policies, and experiences (formal and informal) of organisation and management of SOUPP.
- b. In both regions there is a wide range of social organisations of UPA producers, both formal and informal, related to the urban poor and/or family and/or small producers. The organisations assume different administration forms and models (cooperative, associations, small-enterprises, etc.) to satisfy the different demands of their members.
- c. The UPA organisations have knowledge, proven strategies and mechanisms that could be shared with others. Nevertheless, the lack of systematisation and the impossibility of exchanging and disseminating their experiences, limit their capacities of learning, further development, replication and advocacy.
- d. Although there is some progress, the experience that the SOUPP have to establish multi-actor and inter-institutional partnerships between urban producers and other actors, is still weak and needs to be reinforced.

2.2 General theoretical-methodological approach

- a. *Strengthen the local capacities of participatory action-oriented research*
This project is based on the conviction that its success – in the elaboration of the Case Studies and in the formulation of Local Agendas of Action-Oriented Research – is in its ability to contribute on building new knowledge about the SOUPP and their strategies; also, in the strengthening of technical and political capacities of local actors (producers, particularly); and in the improvement of their capacity to establish partnerships and to influence on the formulation and execution of public policies that promote UPA at a local and/or national scale.
- b. *Entrust the project to the actors and reinforce the capacities of local actors*
For this, it is necessary to entrust the project to the local actors, especially in the most consolidated producer groups. The reinforcement of their capacities not only will have to contribute to the improvement of their actions, but also to the strengthening of the SOUPP with less relative development, especially in their abilities to establish partnerships and to make advocacy, and in the improvement of their management and internal organisation.
- c. *Capitalise and transform the local experience into useful knowledge for others*
It is essential to capitalise the knowledge acquired by the SOUPP in the development of their actions (past and present), transforming their accumulated experience and knowledge throughout time into useful knowledge for others, and a key input for the elaboration process of Local Agendas of Action-Oriented Research.
- d. *Monitoring outcomes and formulate comparative information*
The process of action-oriented research, the analysis of relevant information and the use of instruments for monitoring and evaluating the outcomes, will enable the comparison of information. For this, we will use a guideline of contents for the elaboration of Case Studies, a Toolbox with common instruments and operational definitions, concerted between the Coordinating Team and the Local Teams.

e. *Incorporate a gender-sensitive approach*

We will consider the specific roles of the producers, their necessities and rights; as well as the different levels and opportunities for their access to services, resources and benefits derived from their activity. We will identify strategies -from men and women- to establish partnerships that improve their advocacy capacity in the formulation and/or management of UPA public policies. The common and specific instruments will allow the differentiation of the contributions of women and men, and when possible, the information will be analysed separately by gender. The analysis and elaboration of proposals will have to ensure the incorporation of different points of view, giving special attention to the incorporation of specific necessities and demands.

2.3 Social Organisation of Urban and Peri-Urban Producers

For this research, we will consider as Social Organisation of Urban and Peri-Urban Producers the following:

- Formal or informal organisations as associations, cooperatives, solidarity groups, enterprises, small-enterprises, networks and anonymous societies; which have poor and/or small UPA urban producers as members.
- Organisations that have established inter-institutional partnerships to improve access to resources and to make advocacy for management and/or formulation of UPA public policies.
- Organisations that carry out activities of small-scale production, transformation, commercialisation, marketing and financial and non-financial services.
- Organisations that act at a local (neighbourhood or city) and/or national level, and that have representation in first, second or third grade.

The types of urban producer organisations selected for the project belong to two different groups:

(a) small-scale commercial producers for whom UA is their main income; and who are located, generally, in peri-urban areas.

(b) urban poor inhabitants that use UA as a strategy of life (for their food security, generation of income or recreation); located in urban areas.

2.4 Dimensions of analysis

The analysis of the Case Studies and the Local Agenda will include the following dimensions:

- Organisational
It refers to its organisational form (association, cooperative, small-enterprise, network, etc.), the process followed for its creation and operation, its managerial structure (social, productive, etc.), the consideration of a gender-sensitive approach in the internal work and the mechanisms used for decision making. The advantages and disadvantages of the organisational model in relation to the development of partnerships and its influence on the formulation and execution of UPA promotion policies will be evaluated.
- Participatory and actor-oriented
It refers to the number, gender and profile of the organisation members, the roles they have, the participation forms for advocacy and other forms of participation at a local and/or national level (vindication, promotion, etc.).
- Activity
It refers to the type of activity that motivated the creation of the organisation, its current activity, and connection with other activities. We will analyse the current relation between the type of activity and its links with other actors, seeking to identify key elements to improve the establishment of future strategies and partnerships.

- **Institutional and Normative**
It refers to the degree of formality or informality (from the legal point of view) of the organisation and its relation with the existing norm. We will analyse the incidence of the normative frame -local and national- referred to the operation of the organisation, and the advantages and limitations for the development of institutional strategies. Suggestions to modify the institutional and/or normative frameworks will be identified and analysed, as well as the processes of monitoring and evaluation of local policies.
- **Political Strategy**
It refers to the capacity of lobby and advocacy demonstrated by the organisation. That is, its relation with other actors, its participation in actions, projects, programmes and specific public policies for the UPA sector or for social or economic municipal policies, which guarantee a better and more equitable access to resources and services. We will analyse the strategies carried out, the factors that have made advocacy easier or more difficult, identifying its limits and potentialities. Also, we will analyse how the partnerships were established, which are the benefits for participants, how the developed actions could have been strengthened and which are the benefits for their members and the organisation.
- **Infrastructure and services**
It refers to the available infrastructure in the organisation that allows to fulfil its objectives and activities, for instance: production (tools, seeds, others), access to financial services and inputs, and access to public services (credit, water, cleaning, health, education, others), etc.
- **Education and training**
It refers to the identification of training mechanisms and instruments to which members of the organisation have access. The factors that have facilitated their development as well as the difficulties and current demands within this field will be analysed.

The analysis of the dimensions will have to consider a gender-sensitive approach, and when possible, analyse the information gathered by gender; and it will have to incorporate other organisations that have current and/or potential partnerships with the SOUPP.

2.5 **Methodology and general instruments**

- a. Table 2 presents the moments, actions and general instruments for the methodology of action-oriented research.

Table 2 – Methodology and general instruments

Moment	Planned actions	Instruments
Case selection and beginning of activities	Identify and select cases. Contact and hire the members of the Local Teams of Action-Oriented Research. Elaborate the methodology, work plan and local calendar.	Case evaluation form. Case selection matrix. Terms of Reference (ToR). Preliminary methodological document, work plan and calendar.
Training of local teams and definition of the methodology and work plan	Contribute with methodological orientation and common instruments. Train the Coordinators of Local Teams.	Note of Methodological Orientation (NMO). Toolbox
Elaboration of the Case Studies	Elaborate the Case Studies. Identify the principal components of the Local Agendas of Action-Oriented Research.	Case Study Draft. Draft of the Local Agenda of Action-Oriented Research.

Table 2 – Methodology and general instruments

Moment	Planned actions	Instruments
Validation of the Case Studies and formulation of Local Agendas of Action-Oriented Research	Validate the Case Studies with key local actors. Formulate Local Agendas of Action-Oriented Research. Formalise a cooperative agreement.	Aide Memoire of the Local Workshop of Validation and Participatory Planning. Case Study Draft. Draft of the Local Agenda of Action-Oriented Research. Cooperative Agreement.
Capitalisation and compared analysis of the Cases	Extract knowledge from the Cases, formulate lessons and prepare a typology of the organisations.	Document of Compared Cases.
Inter-Regional Exchange	Promote and facilitate the exchange experience between UPA producers from LA and Europe. Register and disseminate the experiences and the exchange.	Aide Memoire of the Exchange. Field visits. Work meetings. Video Report.
Elaboration of the Inter-Regional Agenda of Action-Oriented Research	Elaborate and validate the final document of the Inter-Regional Agenda incorporating the contributions of the Local Agendas.	Document: Inter-Regional Agenda of Action-Oriented Research.
Discussion of the final documents of the project	Discuss the documents of Compared Analysis and the Inter-Regional Agenda of Action-Oriented Research.	Guideline for the operation of the Electronic Forum. Electronic Forum.
Monitoring and Evaluation	Permanent follow-up and identification of the project outcomes.	Technical Support Missions. Outcome Journal.
Dissemination of the results and findings of the project	Elaborate specific dissemination materials and share the principal results and findings of the project in networks, producer groups, cooperation agencies, etc.	Guideline for the production of local dissemination materials. Project Website. Video Report (DVD). Specific publications.

CHAPTER III: **DEVELOPMENT OF THE CASE STUDIES**

3.1 Nature of the Case Studies

- a. The Case Studies will allow the elaboration of a situational assessment of a selected SOUPP.
- b. Its nature will be action-oriented, seeking to search and identify practical mechanisms that will contribute to: a) Improve the understanding of the investigated experience considering the dimensions before mentioned; b) Characterise the main types of producer organisations; and c) Analyse its sustainability and improve its capacity of establishing partnerships and make advocacy for the management and/or formulation of UPA policies.
- c. Special importance will be given to: a) The practical and functional relevance of the information of the studied experience; and b) The relevance and reliability of the information, trying to make it comparable and, when possible, analysed separately by gender.
- d. Each Case Study will be focused on the revision and analysis of: a) Secondary information (bibliographical and normative) that will contribute to make a diagnosis of the experience, improving the understanding of the context, history, organisation, action strategies, main problems and alternatives used to solve them. b) Primary information, which will allow the incorporation of perceptions and valuations of its members and the identification of the strengths and weaknesses of the experience. And, c) Primary information, which will allow the identification and evaluation of behavioural changes in the actors directly related to the experience, through the application of an adapted instrument of Outcome Mapping.
- e. It will contribute to the elaboration of a Case Study Document that will systematise and capitalise the main contributions identified in the Studies, and that will be used as a resource for the formulation of the Local Agenda of Action-Oriented Research.

3.2 Methodology and instruments for the Case Studies

- a. The Case Study will give information about:
 - The description and characterisation of the context in which the experience is developed at a national scale (brief) and local scale (location; economic, political, social institutional and environmental context; statistic information: population, GNP, poverty, employment-unemployment, etc.);
 - The description and characterisation of the experience (background and origin, objectives and/or necessities that originated it, legal frame, organisational form, type of activity, characteristics, number and gender of its members, age of its members, evolution in time, current situation, problems and possibilities);
 - The description and analysis of the strategies followed to establish partnerships (objective of the partnerships, actors, mechanisms for the implementation, operation forms, results, identified problems and possible solutions, etc.);
 - The description and analysis of its actions for the formulation and execution of UPA public promotion policies (strategy, developed actions, actors with whom it works, problems and solutions, etc.);
 - The description and analysis of the results (based on its objectives, strategy, outreach of the experience on its members, etc.); and
 - The description and analysis of the principal lessons learned, identifying strengths and weaknesses, as well as the potential of the organisation.
- b. The elaboration of the Study of Case and the analysis of the information will have to consider the seven dimensions of analysis indicated in point 2.4. Also, a gender-sensitive approach will be considered, incorporating to the discussion and planning, men and women

in equitable form through participatory techniques; and when possible, it will have to ensure the presentation of separated information by gender.

- c. The Toolbox (Annex 3) describes in detail the common instruments that are to be used for its elaboration. A Cooperative Agreement will be elaborated and signed in order to formalise the reach of the investigation process, decide on the use of the information gathered and promote its inclusion to the agendas and actions of the actors interested in UPA.
- d. Table 3 displays the phases, objectives, expected results and suggested common instruments for the elaboration of the Case Studies.

Table 3 – Methodology for the elaboration of Case Studies

Moment	Objective (s)	Common Instruments	Expected Results
Elaboration of the Case profile	Identify, characterise and classify the main components of the experience and the strategies carried out, contributing with basic information for the analysis and the elaboration of the Local Agenda.	Interviews Questionnaires Stakeholder analysis Bibliographical revision	Case profile elaborated
Elaboration and analysis of lessons learned and conclusions	Analyse the information and extract the principal lessons learned and conclusions based on the dimensions of analysis.	SWOT matrix	Draft of the Case Study elaborated
Validation of the Case	Discuss and validate the content, lessons learned and conclusions obtained in the Case Study.	Workshop of Local Validation and Participatory Planning	Draft of the discussed Case Study (lessons learned and conclusions)
Elaboration of the final version of the Case Study	Elaborate the final version of the Case Study incorporating the contributions from the Validation Workshop.	Document of the Case Study	Final Version of the Case Study elaborated

CHAPTER IV:
FORMULATION AND VALIDATION OF LOCAL AGENDAS FOR ACTION-ORIENTED RESEARCH

4.1 Nature of Local Agendas for Action-Oriented Research

- a. As a fundamental objective, the project will develop actions to strengthen the SOUPPs of LA and Eastern Europe. For this, participatory local agendas of action-oriented research will be formulated, to identify and analyse their main strengths and weaknesses; the effectiveness of their partnerships and their advocacy capacity for having access to resources, and for the management and formulation of public policies (municipal and national); as well as the results and effects reached.
- b. The Agenda of Action-Oriented Research is an operational instrument designed by local actors that states the process from the diagnosis and identification of proposals, to the process of programming and execution of actions. The Agenda states the adoption of a strategy and concerted lines of action to face problems and promote the potentialities identified in the Case Study. The Agenda consolidates the political will of the actors and identifies instruments and mechanisms to begin carrying out solutions and actions, facilitating the formulation of a local action programme.
- c. Based on the analysis of the information of the Case Study and Outcome Journal, the Local Team will draft a preliminary document that will contain a first development of possible contents for the formulation of a Local Agenda of Action-Oriented Research.
- d. The lessons and recommendations of the Case Study will be transformed into "Lines of Action" for advocacy and the establishment of future partnerships; and will be incorporated to a Local Agenda that will contribute to strengthen the management models and the SOUPPs of LA and Eastern Europe.
- e. Both the Case Study and the preliminary Local Agenda will be discussed, extended and validated in a Local Validation Workshop that will include the different relevant actors that work on this issue. The results of the workshops will be used in the formulation of the final version of the Local Agenda. The agreements made between the participant actors will be stated in a document of Cooperative Agreement.
- f. The contents of the final Local Agendas will be use to draft an Inter-Regional Agenda of Action-Oriented Research, that will be illustrated with concrete experiences of the different cases.

4.2 Methodology and instruments for the formulation of Local Agendas for Action-Oriented Research

Elaboration of a preliminary local agenda

- a. Each Local Team will formulate an exhaustive preliminary document of Local Agenda of Action-Oriented Research, which will be validated and extended in the Workshop.
- b. A guideline for the elaboration of the Local Agendas of Action-Oriented Research (Annex 4) will include the main components that have to be considered (organisation, operation and policy advocacy).
- c. The Local Agenda will include a gender-sensitive approach incorporating, when possible, information analysed separately by gender.

Local Validation and Participatory Planning Workshops

- d. The Local Agenda requires to be validated to facilitate its implementation, to ensure its legitimacy as an instrument for the future municipal management, and its incorporation to the programmes of the organisations involved. The validation will be done in Local Workshops, with the participation of members of the SOUPPs and other public and private actors whose activity is or could be connected to the promotion, legislation and management of UPA.
- e. The Workshop will have two moments: a) First, the Case Study will be presented, discussed and validated and the preliminary Local Agenda will be elaborated by the Local Team of Action-Oriented Research; b) Second, the proposals will be prioritised and planned. These proposals will be part of a concerted Local Agenda of Action-Oriented Research that will strengthen the strategies followed by the urban producer organisations and improve their policy advocacy. The instruments suggested for the prioritisation of actions are described in the Toolbox (Annex 3).
- f. In the Workshops, a gender-sensitive approach will be assured, looking for an egalitarian representation. The presence feasibility of men and women will be evaluated to define the day and hour of the workshops -this will be done based on their schedules. The scheme of contents suggested for the Local Agenda and other indications for its development appear in Annex 4.

CHAPTER V:
MONITORING AND EVALUATION

- a. Monitoring will allow a close follow-up of the process of the project activities, and will provide assistance and support to the Local Teams of Action-Oriented Research. The Coordination will provide technical assistance to the researchers by email. The assistance process will be complemented with a technical support mission of each experience, in coordination with the Local Teams, and on a date next to the Local Validation Workshop.
- b. The participatory evaluation will allow realising the changes in the behaviour and relations of the organisation members, generated from the implementation of this project. For this, Local Coordinators will be trained in the application of the Outcome Journal. (The Outcome Journal is an instrument included in Outcome Mapping).
- c. Outcome Mapping is an integrated methodology of planning, follow-up and evaluation of development programmes based on the identification of outcomes. It is based on the principles of participation and continuous learning. The "outcomes" are the changes in the behaviour, relations, actions and activities of people and organisations related to the project.
- d. Although the methodology of Outcome Mapping was designed for its application in development programmes, both their theoretical foundations (emphasis on people and their behavioural change; multi-causal and nonlinear approach; commitment, participation and involvement of local actors; participatory knowledge building and social appropriation of the results, etc.) and its specific instruments (Outcome Journal, Strategy Journal, Performance Journal, etc.), are related to the approach of this project.
- e. The principal instrument in the monitoring and evaluation process is the Outcome Journal, which will be applied at the beginning and end of the activities of the project. Its application has been the objective of a specific training carried out during the Methodological and Training Workshop. A brief description of this instrument is in the Toolbox (Annex 3).

**ANNEX 1
DATA REGISTER FORM FOR CONTACTS**

General Data:

City	
Country	
Name of the experience	
Legal address of the organisation (if you have it)	
Telephone of the organisation (if you have it)	
Fax of the organisation (if you have it)	
E-mail of the organisation (if you have it)	

Members of the Local Team:

Last Name	First Name	Institution or organisation	Principal activity within the team	Telephone	Fax	E-mail

Participants in the activities of the project:

Last Name	First Name	Institution or organisation	Principal activity within your organisation	Telephone	Fax	E-mail

ANNEX 2

GUIDE FOR THE ELABORATION OF CASE STUDIES

1. Local context of the experience

- General data of the municipality (referred to the province/state and country): location, basic statistical information (population, GNP, poverty, employment-unemployment, provision of basic services: water, electricity, cleaning, others); alphabetisation rate, health coverage, urbanisation rate and non-urbanisable land distribution (rural, natural, protected, etc.).
- Environmental context of the municipality and surroundings: type of ecosystem, amount of rainfall (maximum, minimum rates), temperature (max./min.), MASL, type of vegetation and other relevant aspects.
- Institutional organisation of the municipality: hierarchical composition of the municipal authorities (executive and legislative organs), election system, number of members and duration of the current government period, decentralisation, municipal enterprises, municipal structure related to UPA (functional-hierarchic organisational chart).
- Legal and normative frame: identify the laws, decrees, by-laws, resolutions, etc. that promote or make difficult the access and tenure of land, the legitimacy of UPA activities (related to the type or urban/peri-urban land) and the type of activity they carry out (production, commercialisation, etc.). Also, identify the requirements and procedures for licenses and/or permits to operate and have access to services, inputs and incentives (similar to the ones given to rural producers), the norms that regulate the operation of NGOs and SOUPPs, and the norms that facilitate or make difficult the participation of women.
- Brief description of the municipal services: programmes or offices related to UPA, specially of those that can facilitate/make difficult the work of the SOUPP. Municipal programmes related to social policies, health, planning, land use planning, economic development or other relevant activities for UPA.
- Stakeholder analysis: types of actors and institutional profile of the organisations with participation in UPA activities (public, private, civil society, etc., at a local and/or province/state/national level), and relations established between them and the studied SOUPP, actions and policies developed by the identified actors.

2. Description and characterisation of the experience and its members

- Reasons of origin: identifying the motivations of the producers and/or urban poor to organise themselves according to the context (social, economic, political, cultural, productive situation, etc.), participation of other key actors in the beginning and continuity of its activity.
- Brief historical description identifying the key dates for the organisation (brief chronology, commented).
- Type of activity identifying the types of activity that motivated the formation and maintenance of the organisation:
 - Participation in policy advocacy.
 - Provision of technological services and inputs.
 - Provision of financial services and credit.
 - Improvement of information access and training.
 - Improvement in the quality of lives of its members and families.
 - Land access.
 - Production, transformation, commercialisation and marketing.
 - Citizenship building and/or promotion of gender.
 - Food security and nutrition.
 - Others.

- Profiles of SOUPP members
 - Socioeconomic characterisation identifying its sociocultural origin, housing, access to municipal basic services, education and health, poverty level, family income (estimations related or not to UPA activity), activities done before being urban producers and being part of the organisation, parallel and complementary activities to UPA; with information analysed separately by gender, as well as other relevant aspects.
 - SOUPP profile
 - For formal organisations, describe the type of legal figure used, and for informal organisations, the organisational form used (identifying its possible relations with the existing legal frame).
 - Number of members (by gender and age) and geographic location of its members (neighbourhood, city, municipality, province, country).
 - Scope of action, identifying the geographic area where it develops its activities (neighbourhood, city, municipality, etc., for instance, to commercialise its products or for training).
 - Managerial structure, identifying the units for social, productive, accounting-financial management, and other relevant units.
 - Instances and mechanisms for decision making. Frequency of assemblies or meetings. Participation level of the members. Identification and characterisation of leaders.
 - Presence or absence of common interests and group solidarity.
 - Participation of women in all the levels of action of the organisation (internal and external), presence in meetings and activities, decision making, etc.
 - Origin of the funds and resources of the organisation (public, NGOs, member fees – in cash or other, self-financing funds).
 - Infrastructure, inputs and services to which the organisation has access: for production (eg. tools, seeds), for administrative and managerial support, for meetings and activities (head office), as well as other relevant aspects.
3. Partnerships with urban actors for access to resources, inputs and markets, and for policy advocacy

It includes the systematisation and analysis of the partnerships established with different actors (eg. individual, institutional or corporative land owners; public health organisations; educational and security agencies; municipal units or ministries; financial institutions; private sector enterprises; supermarkets) for the access to resources, inputs and markets, and for policy advocacy.

The following must be identified and analysed:

- How the partnerships were established
- Which were the mutual benefits from the partnerships
- Which were the concrete benefits for the members of the organisation (collective and individual).
- How and for which issues they could have been strengthened.
- How women participated in the definition of contents and in the appropriation of the partnerships.

The investigation must provide basic information of other organisations that have relation with the SOUPP, as well as their structures. This will allow a better comprehension, characterisation and identification of partnerships (present or past) with other producer organisations (representative or not, public or private).

4. Strategies for access to resources, inputs and markets, and lobby and advocacy

This includes the systematisation and analysis of the strategies used by the SOUPP to have access to resources, inputs and markets, as well as its lobby and advocacy strategies.

Project: "Social organisation of urban producers. Models for management and policy advocacy"

- The influence of the normative frame (local and national) on the operation of the organisation and the advantages and limitations for the development of institutional strategies must be identified and analysed.
- SOUPP strategies for resource, input and market access, and for lobby and policy advocacy. Its participation in actions, projects, programmes and specific public policies for the UPA sector or related social or economic municipal policies. Activities that facilitate access to resources and services, specially of the mechanisms that ensure an equitable and gender-sensitive access to them (eg. participation in discussion meetings, participatory budget, municipal planning, specific projects, etc.).

The following must be identified and analysed:

- Objectives
- Actors (current)
- Mechanisms for its implementation (how they were established)
- Identified problems and possible solutions
- How the developed actions could have been potentiated
- Factors that facilitated or weakened policy advocacy
- Limits and potentialities
- Women participation in the definition of the strategies of the organisation.
- Advantages and disadvantages of the organisational model used for formulating strategies and its influence in the access to resources and in the management and/or formulation of UPA public policies.

5. Results of the implementation of partnerships and strategies

Description and analysis of the results, according to the objectives of the strategy and the experience of its members.

- Results for the organisation:
 - Access to more or better land or water.
 - Access to better inputs.
 - Development of safer or more sustainable practices.
 - Access to larger or more lucrative markets.
 - Access to safer land tenure.
 - Income range derived from the activity: more stable or higher income (specially attending the equitable distribution of excedents).
 - Investment into value-adding employment and enterprises.
- Results for the members of the organisation:
 - More stable or higher income of urban producers and their families.
 - Better access to education and training, nutrition and health, greater food security.
 - Improvement in the acquisition of goods.
 - Investment in other businesses.
 - Improvement in the quality of life (eg. healthier and safer environments).
- Factors that have facilitated or weakened the development of strategies and the establishment of partnerships.
- Identification of the strengths and weaknesses of the organisations, the opportunities and threats to its development and improvement. The analysis will have to consider a gender-sensitive approach, incorporating when possible, information analysed separately by gender.

6. Lessons learned

- Description and analysis of the principal lessons learned, identifying strengths and weaknesses for the establishment of new organisations, in relation to the administration, operation and policy advocacy.

These lessons will considerate mechanisms and strategies to:

- Improve the access to land and sources of water,
- Improve the access to cheaper or more efficient inputs,

Project: "Social organisation of urban producers. Models for management and policy advocacy"

- Promote the development of more sustainable production practices,
- Improve the access to larger or more lucrative markets,
- Obtain higher or more stable income,
- Improve their recognition and policy advocacy,
- Promote successful partnerships,
- Improve their organisation, internal management and decision-making mechanisms,
- Improve the participation of women and their equitable access to benefits.

7. Recommendations

- Strengthen the organisation of urban producers (to have a more efficient, effective and sustainable operation) in terms of its internal organisation, operation structure, management model, decision-making mechanisms and participation of women.
- Modify the institutional and/or normative frames.
- Improve the distribution and access to public resources.
- Establish partnerships that improve the access to resources and services, and the policy advocacy.
- Develop successful strategies.
- Improve the participation of women.
- Improve the processes of monitoring and evaluation of local policies related to UPA.

ANNEX 3 TOOLBOX

Instruments for the formalisation of Initial Agreements

1

INTER-ACTOR OR COOPERATIVE AGREEMENT

The Cooperative Agreement is a document signed by the actors who participate in the process of action-oriented research: the SOUPP, NGOs, academic institutions, the local municipality and other actors (public, civil society and private sector). It is a legally nonbinding operational instrument, based on the mutual agreement of the parts, elaborated to unify criteria on the use of the information built in the action-oriented research process, to monitor the implementation of activities and to establish criteria to fortify and/or establish Inter-Institutional Partnerships that go beyond the development the project.

Objective	To establish a Cooperative Agreement between the actors who participate in the process of action-oriented research, establishing the duties and responsibilities of the actors who take direct part, and identifying the components to be considered when establishing Inter-Institutional Partnerships.
Materials	Cooperative Agreement.
Estimated time	Variable, depending on each process.
Executors	Local Team of Action-Oriented Research.
Participants	Representatives of the Social Organisations of Urban and Peri-Urban Producers (SOUPPs); NGOs that participate in the process of Action-Oriented Research, Social Movements related to UPA, citizen groups, academic institutions, private sector, etc.
Steps to follow	<ul style="list-style-type: none"> ▪ The different local actors elaborate a draft of the cooperative agreement supported in consensus and mutual trust, which is later discussed and approved by all the parties. ▪ The Cooperative Agreement incorporates the principal "agreements" that will rule the general development of the process. This Agreement must have a "democratic" clause that stipulates the outreach of the use of the information built during the process. ▪ A participatory elaboration process is recommended, incorporating the diverse points of view and ensuring that all the actors understand thoroughly the scope of the agreement. ▪ In an activity specially organised for this purpose, the actors sign the Cooperative Agreement, giving a copy to each participating institution.
Results of its application	A Cooperative Agreement signed by the local actors involved directly in the process of Action-Oriented Research that establishes the agreements on the execution of the process and the use of the information, serving as a reference for the development of future actions.

INTERVIEWS

The Interviews allow gathering valuable information on perceived and valued aspects, facts and events, etc. from the conversation with selected informants. An interview contributes with existential elements, being able to generate information on issues that were not tackled with other instruments. There are different types of interview, for example those that are made from a predetermined guideline and that do not admit the incorporation of new questions; these make easier the comparison of data (structured). There are others that include open questions and/or can be modified in the course of the interview (semi-structured); etc. When making the interviews it is possible to elaborate a photographic registry of the interviewed people, their working conditions, etc.

Objective	To gather information from the conversation with key informants previously selected.
Materials	Notebook (or field notebook), pencil, camera and recorder.
Execution time	Not less than 1 hour per interview, depending on the type of interview (structured, semi-structured, in-depth interviews, etc.).
Executors	Local Team of Action-Oriented Research.
Participants	Key informants.
Steps to follow	<ul style="list-style-type: none"> ▪ <i>Selection of people.</i> The selection of people to be interviewed is the first step and has to consider operational criteria to allow its effective fulfilment. ▪ <i>Elaboration of an investigation guideline.</i> Independently of the type of interview (structured, semi-structured, etc.) it is convenient to elaborate a guideline containing the issues of the interview, to remember the relevant aspects and improve the articulation of the interview results with those obtained with other instruments. ▪ <i>Elaboration of the questionnaire.</i> Based on the guideline, a questionnaire that includes the different points of view of the investigation team must be elaborated. ▪ <i>Execution of an interview.</i> It is recommended to carry out the interview with key informants, that is, people who have a significant knowledge of the experience that is to be systematised and capitalised. ▪ Once the key informants are identified, the day of the interview is settled with them. The interview can last at least one hour, depending on the type of interview, the characteristics of the person, etc. If it is possible, the interview must be done in a quiet place. Among the people to be interviewed it is necessary to have women and men, young and adults (to get separated information). ▪ For the identification of people to be interviewed, it is suggested that a Local Team does not concentrate exclusively in one person. It has to consider other opinions. ▪ It is recommended to record the interviews, but it is very useful to write down a detailed register of the interviews in a notebook. It is also useful to enclose photographs in the register. ▪ At the end of an interview, it is important to make a critical evaluation on the questions that were effective and those that were not, and also to identify the influence of the context in the flow of the information given by the person interviewed and the principal characteristics of his/her body language. ▪ <i>Criteria to select the people to be interviewed.</i> To select people for the interviews it is suggested to use the technique called "Snowball". It consists in asking each participant to suggest new names, thus enlarging the universe of "Key Informants".

How to process the information

For the analysis, the interview must be transcribed and it is recommended to identify, at least, four levels of speech:

1. *What is said?* This is the first analysis of the interview results and it allows identifying the main information and elaborating a first transcript of the interview.
2. *How is it said?* It allows identifying the language characteristics used by the participant (direct, metaphoric style, etc.)
3. *Who speaks? Of whom he/she speaks?* It puts us in the perspective from which the person is building his/her speech (as a neighbour, as a neighbourhood leader, as a municipal professional, etc.)
4. *Why is it said what is said? Why it is not said what is not said?* This is a broad analysis that integrates the three levels mentioned above, considering all the speeches and the context in which they are being said.

Instruments for the Case Study

3

SURVEYS

Gathering data through a Survey is a common practice in investigation processes and it assumes a sample selection of units of analysis that will provide information, e.g. People, homes, housing and activities.

Objective

To gather information about people, homes, housing and activities with a gender sensitive approach, through the selection of a sample.

Materials

Map of the studied area, survey form (one photocopy for each pollster) and pencils, ballpoint pens or pens.

Execution time

Variable, depending on each process.

Executors

Local Team of Action-Oriented Research.

Participants

People selected for the application of the survey (sample).

Steps to follow

- *Elaboration of an investigation guide.* Independently of the type of survey, it is convenient to elaborate a guide containing the issues of the survey, to remember the relevant aspects and improve the articulation of the results of the survey with those obtained with other instruments.
- *Elaboration of the survey form.* The survey form can be elaborated by the Local Team of Action-Oriented Research or in a participatory form (involving other actors previously selected).
- *Sample design.* There are different forms of determining the characteristics and size of a sample, depending on the objective. It can be a random sample (simple, systematic, in clusters, stratified, etc.) or intentional (what is convenient for the study). Its size will depend on the size of the studied universe, the variability of the phenomenon to be studied, and the accuracy of data. It is convenient to consider that the level of accuracy will be higher when the size of the sample is closer to the size of the universe.
- *Application of the survey form.* Each pollster will receive precise indications to locate potential people to be interviewed (e.g. a map containing the houses that must be visited to apply the survey form).
- Once in the house (unit of analysis), the pollster must identify a person (unit of observation) to apply the survey. In order to incorporate a gender-sensitive approach, it is advisable to apply the surveys to men and women, stratified by age. In case there is no one in the house, it is suggested to visit the adjacent house. A questionnaire that is not responded has to be considered as with "No data". Each house must be registered in the route

map.

- Once fieldwork is finished and the forms are filled, a data analysis is done (tabulation, insertion in the matrixes and reading of the gathered information).

Instruments for the Case Study

4

STAKEHOLDER ANALYSIS

This Stakeholder Analysis identifies as a system, five dichotomising dimensions of the relationship between actors: the relative importance (more importance and less importance), the proximity of the relationship (close and distant), the direction of the relationship (one-way, two-ways), the strength of the relationship (strong and weak), the nature of the relationship (positive and negative) between the actors and the principal actor and among the actors.

Objective	To make a map of actors (producers, neighbours, municipal professionals, etc.) related to the principal actor (SOUPP), incorporating the relative importance, proximity, direction, strength and nature of the relationship.
Materials	Flipcharts, markers, cards of two colours and two sizes (big and small) and adhesive tape.
Execution time	1 hour approximately.
Executors	Local Team of Action-Oriented Research. Each team must have a facilitator.
Participants	Producers, members of the SOUPP, and eventually, other key actors that participated in the workshop (e.g. local government members, research institutes, etc).
Steps to follow	<ul style="list-style-type: none"> ▪ <i>Formation of the work groups.</i> The number of groups will depend on the number of participants of the workshop. It is recommended that the groups are of 10-12 people (to encourage participation and the free discussion of ideas), and that they are formed so that they can provide information separated by gender, and eventually by type of actor. ▪ Using the "brainstorming" technique, the participants will make a list of the actors related to the principal actor (the SOUPP in this case), and order the actors by type (political, social, economic, etc.). The classification categories of actors must be defined previously and can vary depending on each case. ▪ Each Local Team gives cards of two colours and two sizes, a flipchart, markers, adhesive tape to each group, and explains the form in which a Stakeholder Analysis is built. ▪ <i>Elaboration of the Stakeholder Analysis.</i> Each group identifies in a card the principal actor and sticks it in the centre of the diagram. In this case, the principal actor is the SOUPP studied. ▪ Once this is done, each group is asked to identify the most important and less important actors. The most important actors are written down in big cards, and the less important actors are written down in small cards. The actors that are identified must be institutions, and in exceptional cases, people (e.g. a relevant person at a local level). ▪ All the cards (regardless of their size), must be placed and pasted in the flipchart according to the following criterion: the cards that are together have a close relationship and the cards that are distant have a distant relationship, (with the principal actors and among the actors). The cards must not be pasted before all the actors agree on the position of the cards. ▪ After that, the kind of relationship between the different actors must be identified, drawing a continuous line for those who have a strong relationship and a dotted line for those who have a weak relationship. An arrow on the

How to process the information

- extreme(s) will indicate the direction of the relationship.
- Finally, the positive or negative nature of an actor in relation with the rest of actors must be marked with a positive (+) or negative (-) sign.
- In a plenary session, each group presents their Stakeholder Analysis and the participants carry out a debate aiming at consolidating a common view.
- Next, the Technical Team analyses the information built by the teams.

Instruments for the Case Study / formulation of Local Agenda of Action-Oriented Research

5

SWOT MATRIX

The SWOT Matrix allows making a four-quadrant matrix, which contains the opinions of a quite large group of participants in four dimensions:

1. Strengths
2. Opportunities
3. Weaknesses
4. Threats

The central axes of this matrix are the problems that have to be faced (Weaknesses and Threats), and the ways of overcoming them, through the existing potential and the available instruments (Strengths and Opportunities). If a summarising SWOT Matrix is built, it is possible to identify quickly and in participatory way, the common elements that contribute in the making of a concerted strategy, which are determined by the participants.

Objective

To identify and visualise the most relevant opinions considered by the participants, organised around the problems that must be confronted and the suggested possible solutions.

Materials

Notebook, notes, pens, ballpoint pens, flipcharts and colour markers.

Execution time

1 hour approximately.

Executors

Local Team of Action-Oriented Research. Each work group must have a facilitator.

Participants

Producers, members of the SOUPP, and eventually, other key actors that participated in the workshop (e.g. local government members, research institutes, etc).

Steps to follow

- *Formation of the work groups.* The number of groups will depend on the number of participants of the workshop. It is recommended that the groups are of 10-12 people (to encourage participation and the free discussion of ideas), and that they are formed so that they can provide information separated by gender.
- *Making the SWOT Matrix.* Using the "brainstorming" technique, each group must identify in a first quadrant the principal Weaknesses, which are the obstacles and structural problems perceived by the SOUPP. In a second quadrant the Threats must be written down; these are the circumstantial problems that make difficult to confront the weaknesses. In a third quadrant, the Strengths will be written down; these are the existing potentialities in the SOUPP. Finally, the Opportunities will be identified; these are the circumstantial factors that can contribute to the achievement of the proposed goals, if they are correctly used.
- Before incorporating each Strength, Opportunity, Weakness and Threat identified into the Matrix, it must be discussed, so that the participants understand its importance and agree with its inclusion.
- *Presentation and debate in a plenary session.* Finally, each group nominates a representative and presents to the whole group the results obtained in the SWOT Matrix.

How to process the information	<ul style="list-style-type: none"> It is recommended to carry out in the Workshop a first analysis of the results of each team, thinking of the common aspects and the identified differences. Then, a second analysis is carried out by the Local Team.
Results of its application	<ul style="list-style-type: none"> A Matrix with the Strengths, Weaknesses, Opportunities and Threats identified by the participants, as well as the contribution to the elaboration of a participatory diagnosis and a Local Agenda. It allows visualising in a simple way the different views of each team, which contain the central points to elaborate a participatory diagnosis.

Instruments for the formulation of Local Agendas of Action-Oriented Research

6

MATRIXES FOR PRIORITISING ISSUES AND ACTIONS

Before the formulation of the final version of the Local Agenda of Action-Oriented Research it is necessary to identify in a participatory way the main dimensions, issues and actions that have to be considered. For this, a set of matrixes are used, which facilitate the prioritisation and planning, allowing the identification of the contributions of women and men.

Objective	To identify the dimensions and issues, and prioritise the main lines of action that must be part of the Local Agenda.
Materials	Flipcharts and colour markers.
Execution time	4 hours.
Executors	Local Team of Action-Oriented Research. Each work group must have a facilitator.
Participants	Producers, members of the SOUPP and other participants of the workshop.
Steps to follow	<ul style="list-style-type: none"> <i>Formation of work groups (optional):</i> The formation of work groups can facilitate the organisation of the information by gender, age group, or different social groups. The number of groups will depend on the number of participants of the workshop. It is recommended that the groups are of 10-12 people (to encourage participation and the free discussion of ideas). The results of the work groups will be shared in a plenary session to contrast opinions and decide on a set of actions that consider the necessities and opinions of the different participants. The participation of women in this discussion and decision-making process must be reinforced. The facilitator identifies in the flipchart, the dimensions and issues to be included in the agenda, and this is presented to the participants (Matrix 1). The facilitator presents the lines of action or actions identified previously (Case Study, Outcome Journal, etc.). The participants debate in a plenary session and consolidate actions that are going to be part of the Local Agenda. Lines of action to be considered: <ul style="list-style-type: none"> <i>Projects:</i> development/promotion, research, training, etc. <i>Public policies:</i> design, management, monitoring and control. <i>Financial resources:</i> self-financing, external funding. <i>Participation instances:</i> internal and external. <i>Information and communication activities.</i> The identified actions are marked and ranked. <ul style="list-style-type: none"> Marking. Each participant has 2 or 3 chances of voting and he/she is asked to choose (voting) 2 or 3 actions he/she considers the most

relevant. (As an alternative the participants could be divided in groups of 3-5 people and asked to define their 2 or 3 votes as a group). Once each member or group has marked the actions, those actions that were the most marked (or prioritised) are identified.

- Ranking (Matrix 2): A matrix of identified or prioritised actions is elaborated and each action is compared with the rest, one by one. This comparison "in pairs" makes easier to deeply discuss the criteria of selection and to define individual (or group) priorities. The criteria can include: (a) the scope of the impact that each action will have (e.g. number of beneficiaries); (b) real and relative costs (cost/benefit); (c) the necessity (and availability) of external resources; (d) time (can the action be executed in a short or medium term?)

It is recommended to incorporate a gender-sensitive approach in the prioritisation of actions.

- Once the actions have been prioritised, a matrix of action planning is elaborated (Matrix 3). It contains the actions that were prioritised and identifies the temporal scope of them (short, medium and long term; specific time), the necessary inputs for their implementation (human, financial and material resources), and the institutions that execute and participate in their development/implementation.
 - Planning the actions prioritised can lead to reconsidering them (or identifying new ones), in case that their possibilities of implementation are limited (e.g. because of the lack of funds, the lack of financing institutions, etc.). Weak areas or gaps must be identified, such as:
 - Actions that do not have a responsible actor for their implementation;
 - Financial expenses that are not covered by the available funds (and that require a process of searching and negotiating additional funds);
 - Other resources that cannot be moved in the short term;
 - Limits (technical and/or political) in the capacity of actors for the implementation of actions.
 - Reaffirmation of commitments. It is important that participants reaffirm their commitments (responsibilities, resource contributions, etc.):
 - Formalising Cooperative Agreements.
 - Concerting institutional programmes and budgets.
 - Presenting the commitments in events and in the media.
 - Defining and agreeing on coordination mechanisms.
 - It is important to define and establish coordination mechanisms for the execution of Action Plans, because their implementation involves different actors, generally.
 - Define mechanisms of participatory monitoring.
 - The actors have to define indicators and mechanisms to monitor the implementation of actions, facilitating the feedback process to adjust their development, if necessary.
 - This planning allows elaborating a consolidated Matrix of prioritised actions and mechanisms for their implementation, that constitute the Local Agenda of Action-Oriented Research (Matrix 4).
- Results of its application**
- A consolidated matrix with the prioritised actions that will be part of the Local Agenda of Action-Oriented Research.

<i>Matrix 1 – Dimensions and issues to be incorporated into the agenda</i>	
Dimensions	Relevant Issues
1. Strengthening of the organisation	<ul style="list-style-type: none"> ▪ Profile ▪ Decision making ▪ Leadership ▪ Participation instances ▪ Formality level
2. Improvement in the operation and performance	<ul style="list-style-type: none"> ▪ Strategies ▪ Funding resources ▪ Partnerships: objectives, types, actors and mechanisms for their establishment
3. Policy advocacy	<ul style="list-style-type: none"> ▪ Different advocacy forms: <ul style="list-style-type: none"> - Pressure through demands - Participation in planning and decision-making instances - Formulation, design and approval of a normative legal frame (changes in current laws or new laws) - Formulation and management of projects - Use and management of budget - Monitoring and evaluation of public policies

<i>Matrix 2 – Ranking in pairs</i>			
List of prioritised actions	Action 1	Action 2	Action 3
Action 1	X	Action 1 is identified as more important than action 2	Action 1 is identified as more important than action 3
Action 2	Action 1 is identified as more important than action 2	X	Action 3 is identified as more important than action 2
Action 3	Action 1 is identified as more important than action 3	Action 3 is identified as more important than action 2	X
Conclusion: Action 1 is prioritised, followed by Action 3, and finally Action 2			

<i>Matrix 3 – Matrix of action planning</i>				
Action	Calendar: short, medium and long term / specific time (WHEN)	Inputs: financial, human, materials, etc. (WITH WHAT)	Who executes (WHO)	Who participates (WHO)
1	Short term March-December 2005	\$ Normative modification	NGO	SOUPP GL NGO
2	Long term	\$ Required training	SOUPP	SOUPP University
3

<i>Matrix 4 – Consolidated Matrix (Local Agenda of Action-Oriented Research)</i>						
Dimensions	Lines of action prioritised	Expected results	Calendar (WHEN)	Inputs (WITH WHAT)	Who executes and participates (WHO)	Monitoring indicators/mechanisms
Organisation	1.... 2.... 3....					
Operation and performance	1.... 2.... 3....					
Policy Advocacy	1.... 2.... 3....					

OUTCOME JOURNAL

The Outcome Journal identifies changes in the behaviour, relationships, actions and activities of the direct participants of a project (people and/or organisations). It tries to understand the relation between the direct results of a process (e.g. 20 people trained) and the desired impacts in the long term (e.g. improvement of family food security, income improvement, decrease of environmental pollution), facilitated through a behavioural change in the people trained or in the people with whom they interact.

Objective	To monitor changes in the behaviour, relations, actions and activities of different groups of actors (people and/or organisations) that are part of a specific process.
Materials	Flipcharts, colour markers, Outcome Journal matrixes and pens or ballpoint pens.
Execution time	3-4 hours.
Executors	Local Team of Action-Oriented Research. Each group must have a facilitator.
Participants	Producers, members of the SOUPP and other participants of the workshop. There is no limit in the number of participants in this exercise.
Steps to follow	<ul style="list-style-type: none"> ▪ <i>Formation of the work groups.</i> The number of groups will depend on the number of participants of the workshop. It is recommended that the groups are of 10-12 people (to encourage participation and the free discussion of ideas), and that they are formed so that they can provide information separated by gender. ▪ <i>Establish the vision.</i> The "vision" represents the ideal that a project seeks to achieve and it has to be wide and motivating to maintain its importance and relevance during the execution of a project. ▪ The facilitator gives to each group: a Matrix of the Outcome Journal (photocopy), flipcharts, pens and markers. Then, he/she asks the group to build an "ideal" vision of what each actor involved in the project should do. ▪ Each group writes down in the flipchart the elements that should be part of this vision. Once a common view has been consolidated, each group writes down the "ideal" vision that they have elaborated in the Matrix of the Outcome Journal. ▪ <i>Define Progress Markers.</i> The progress markers are a group of indicators that identify possible ideal changes in the behaviour. ▪ Considering the components identified in the "vision", each group defines indicators (markers) that allow the registration of the actor progress level. At first, the indicators are written in the flipchart, where all the participants can see them, and once they have been consolidated, they are written down in the Matrix of the Outcome Journal. ▪ Each group defines the temporal scope of each progress marker (expected to see, like to see and love to see) and its punctuation range (1=low and 5=high). ▪ <i>Elaborate an Outcome Journal.</i> Once each group has elaborated their Matrix, they discuss them in a plenary session, concur in a common vision and define the progress markers that are going to be used (Outcome Journal) for the project. ▪ Finally, the whole group fills in the Matrix of the Outcome Journal (at the beginning and end of the project). <p>For this project, the Outcome Journal elaborated together will be used at the</p>

Results of its application

beginning and end of the project.

- Construction of a common vision.
- Concerted monitoring indicators (progress markers).
- Identification of behavioural changes resulting from a development process strengthened by the project.

OUTCOME JOURNAL FOR THE ORGANISATIONS OF URBAN AND PERI-URBAN PRODUCERS

Participants of the Monitoring: Social Organisations of Urban and Peri-Urban Producers: (in)formal

VISION/EXPECTED RESULT

The project visualises the urban and peri-urban producers participating, both actively and successfully, in the design of policies, strategic planning, implementation, monitoring, and control of actions of promotion of urban agriculture and sustainable local development. They are recognised by local authorities, planners, funding organisations, technical institutions, the local community, NGOs and other legitimate actors that support and promote these processes using their own and/or external human and financial resources.

They are organised formally or informally in consolidated organisations/associations of producers, which identify and represent the necessities and priorities of their members, men and women. They have a common vision and identity and apply systems for monitoring their performance and evaluating the impact of their activities.

They support the networking among producers, based on solidarity; promote the growth and consolidation of their organisation, the strengthening of their capacities of management, operation and policy advocacy through training and the exchange of experiences. They develop activities that ensure their socio-economic sustainability.

They coordinate activities with public and private organisations (technical assistance and training, financial assistance, technological development, provision of inputs and information, transformation and commercialisation) for the sustainable development of the systems of production, processing and commercialisation.

MARK (1 = LOW; 5 = HIGH)

PROGRESS MARKERS

Expect to see	1	2	3	4	5	Explanation of the mark
1. Urban producers are consolidated in formal or informal organisations/associations.						
2. The producers identify their necessities and priorities differentiated by gender and have a vision, identity and strategies to act on them.						
3. The producers are developing effective partnerships with strategic local actors to fulfil their vision.						
4. The organisation of producers, together with other organisations, is carrying out training events and/or exchange visits to strengthen the capacities of their members.						

Project: "Social organisation of urban producers. Models for management and policy advocacy"

5. The organisation of producers develops capacities that attract external resources.						
6. The organisation of producers develops active and democratic policies that allow them to grow and/or not to reduce the number of its members.						
Like to see	1	2	3	4	5	Explanation of the mark
7. They are participating in local platforms with other actors that carry out actions for the promotion of UPA and sustainable local development.						
8. Income from UPA consolidates as a part of the permanent income of the members of the organisation/association.						
9. They are actively looking for funding and support of governmental and non-governmental organisms, to implement their action plans.						
10. They are working with technical institutions to develop appropriate technologies for sustainable production, processing and commercialisation.						
11. They are implementing associative structures to develop productive chains and/or improve their environment, interpersonal relationships and access to resources.						
12. They are applying permanent systems of monitoring and feedback, which allow them to think about their forms of organisation, operation and policy advocacy.						
Love to see	1	2	3	4	5	Explanation of the mark
13. They are monitoring and documenting permanently the impact of their UPA activities.						
14. They are working together in the development of a technological matrix that promotes a sustainable social inclusion with solidarity.						
15. They have their own resources and qualified staff to provide technical and financial services to their members and to other organisations.						
16. They are establishing relations with other local or national producer associations to carry out lobby activities that allow integrating UPA and other forms of production into programmes of local, national and/or governmental organisations.						

ANNEX 4

GUIDE FOR THE FORMULATION OF LOCAL AGENDAS FOR ACTION-ORIENTED RESEARCH

In the draft of the Local Agenda, guidelines and concrete actions will be identified to:

1. Strengthen Social Organisations of Urban and Peri-Urban Producers in their organisation, structure and management.

It can be considered:

- The group profile: size, composition, gender, homogeneity of interests and solidarity within the group.
- Improvement of the instances and procedures for decision making, quality and level of participation of the group members in the meetings of the organisation, number of assemblies, management of the organisation and involvement in other associative or public policy circles. In all the cases, a gender-sensitive approach has to be incorporated, identifying information separated by gender when possible.
- Improvement in the management units and leadership.

2. Strengthen the Social Organisation of Urban and Peri-Urban Producers in terms of their operation.

- Opportunities and challenges to grow, to improve the achievement of their goals and funding, and to establish strategic partnerships with other actors (individual, institutional or group land owners, public facilities, educational or other institutions, local governments, ministry offices, funding institutions, enterprises, etc.), which facilitate their access to resources, inputs, markets, services, etc. A gender-sensitive approach must be considered, separating the information by gender when possible.

3. Develop or reinforce their capacities, strategies and abilities (empowerment) to negotiate and participate in political processes (definition, implementation, monitoring and evaluation) and to make policy advocacy.

It is recommended to think about:

- How to strengthen the organisation so that it has an active participation in the planning and/or management instances of UPA public policies (UPA tables, UPA forums, etc.).
- How to reinforce the organisation so that it has influence on the formulation and/or approval of norms (local, regional or national) that promote UPA (for land access or use, commercialisation, funding, etc.).
- How to reinforce the organisation so that it participates effectively in the formulation and/or management of UPA development projects (independently of the origin of the resources and the funding institution).
- How to reinforce the organisation so that it participates in the organisation of activities for obtaining demands (land, capital for investment or work, training, etc.).
- How to reinforce the organisation so that it contributes to the monitoring and evaluation of UPA public policies.