



Food and Agriculture
Organization of the
United Nations



Investing in rural people



A learning framework
for inclusive, integrated
and innovative
public policy cycles
for family farming

United Nations
Decade of
**FAMILY
FARMING**
2019-2028



A learning framework for inclusive, integrated and innovative public policy cycles for family farming

PUBLISHED BY
THE FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS
AND
THE INTERNATIONAL FUND FOR AGRICULTURAL DEVELOPMENT

Rome, 2023

Required citation:

FAO & IFAD. 2023. *A learning framework for inclusive, integrated and innovative public policy cycles for family farming*. Rome, FAO. <https://doi.org/10.4060/cc5968en>

The designations employed and the presentation of material in this information product do not imply the expression of any opinion whatsoever on the part of the Food and Agriculture Organization of the United Nations (FAO) or the International Fund for Agricultural Development (IFAD) concerning the legal or development status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries. The mention of specific companies or products of manufacturers, whether or not these have been patented, does not imply that these have been endorsed or recommended by FAO or IFAD in preference to others of a similar nature that are not mentioned.

The views expressed in this information product are those of the author(s) and do not necessarily reflect the views or policies of FAO or IFAD.

ISBN 978-92-5-137867-0 [FAO]
ISBN 978-92-9266-320-9 [IFAD]
© FAO and IFAD, 2023



Some rights reserved. This work is made available under the Creative Commons Attribution-NonCommercial-ShareAlike 3.0 IGO licence (CC BY-NC-SA 3.0 IGO; <https://creativecommons.org/licenses/by-nc-sa/3.0/igo/legalcode>).

Under the terms of this licence, this work may be copied, redistributed and adapted for non-commercial purposes, provided that the work is appropriately cited. In any use of this work, there should be no suggestion that FAO or IFAD endorses any specific organization, products or services. The use of the FAO and IFAD logo are not permitted. If the work is adapted, then it must be licensed under the same or equivalent Creative Commons license. If a translation of this work is created, it must include the following disclaimer along with the required citation: "This translation was not created by the Food and Agriculture Organization of the United Nations (FAO) nor by the International Fund for Agricultural Development (IFAD). Neither FAO nor IFAD are responsible for the content or accuracy of this translation. The original English edition shall be the authoritative edition."

Disputes arising under the licence that cannot be settled amicably will be resolved by mediation and arbitration as described in Article 8 of the licence except as otherwise provided herein. The applicable mediation rules will be the mediation rules of the World Intellectual Property Organization <http://www.wipo.int/amc/en/mediation/rules> and any arbitration will be in accordance with the Arbitration Rules of the United Nations Commission on International Trade Law (UNCITRAL)

Third-party materials. Users wishing to reuse material from this work that is attributed to a third party, such as tables, figures or images, are responsible for determining whether permission is needed for that reuse and for obtaining permission from the copyright holder. The risk of claims resulting from infringement of any third-party-owned component in the work rests solely with the user.

Sales, rights and licensing. FAO information products are available on the FAO website (www.fao.org/publications) and can be purchased through publications-sales@fao.org. Requests for commercial use should be submitted via: www.fao.org/contact-us/licence-request. Queries regarding rights and licensing should be submitted to: copyright@fao.org.

CONTENTS

Acknowledgements	v
Foreword	vii
Executive summary	ix
Objectives of the training	xi
The learning route	xii
Training method	xiv
Preparation for the training: Guidance for trainers	xvi
<hr/>	
PRELIMINARIES Opening and introduction	1
SESSION A Welcome, opening	3
SESSION B Participants getting to know each other	3
SESSION C Presentation of the agenda and goals of the training	4
<hr/>	
LEARNING STAGE 1 Context analysis	5
SESSION 1.1 Analysis of the challenges of current food systems – exploring the context for policy support for family farming	7
Facilitator's notes	8
Technical background	9
Resources	15
SESSION 1.2 Family farming in the country context	16
Facilitator's note	16
Technical background	17
Resources	20
<hr/>	
LEARNING STAGE 2 Principles of public policies: key concepts and relationship to family farming	23
SESSION 2.1 The concept of public policy	25
Facilitator's note	26
Technical background	27
Resources	36
SESSION 2.2 Public policies for family farming: national trajectories, beneficiaries and themes	39
Facilitator's note	40
Technical background	41
Resources	47
SESSION 2.3 Actors and institutions in policy process	49
Facilitator's note	50
Technical background	51
Resources	55
SESSION 2.4 Introducing the policy cycle model	56
Facilitator's note	57
Technical background	57
Resources	60

LEARNING STAGE 3 The policy cycle model	61
SESSION 3.1 The policy cycle model – agenda setting	63
Facilitator’s note	64
Technical background	65
Resources.....	73
SESSION 3.2 The policy cycle model – formulation	75
Facilitator’s note	76
Technical background	78
Resources.....	88
SESSION 3.3 The policy cycle model – adoption	91
Facilitator’s note	92
Technical background	93
Resources	99
SESSION 3.4 The policy cycle model – implementation	103
Facilitator’s note	104
Technical background	105
Resources.....	115
SESSION 3.5 The policy cycle model – monitoring and evaluation	117
Facilitator’s note	118
Technical background	118
<hr/>	
LEARNING STAGE 4 Analytical reflection for contextualized policy solutions for family farming	127
SESSION 4 Public policy process for the support of family farming in the national context	129
Facilitator’s notes	130
Resources.....	131
<hr/>	
LEARNING STAGE 5 Contextualized planning	133
SESSION 5 Public policy forum planning	135
Facilitator’s notes	135
Resources.....	137
<hr/>	
WRAP UP Closing and evaluation	139
SESSION D Final reflection and training evaluation	141
Materials	142
<hr/>	
REFERENCES	144
<hr/>	
ANNEXES	149
ANNEX 1 Case studies	149
ANNEX 2 Case study methodology	173
ANNEX 3 Further readings	177

ACKNOWLEDGEMENTS

This publication was developed by the Food and Agriculture Organization of the United Nations (FAO) and the International Fund for Agricultural Development (IFAD) Joint Secretariat of the United Nations Decade of Family Farming (UNDF), led by Marcela Villarreal (Director, Partnerships and UN Collaboration Division, FAO) and Ron Hartman (Director, Global Engagement and Partnerships and Resource Mobilization, IFAD) involving various experts from FAO, IFAD and several government representatives, parliamentarians, academic and research institutions and family farmers' organizations from different countries.

The development of this learning programme was led by Anna Korzenszky (Lead Consultant, FAO/IFAD) with active support from Edoardo Calza Bini (FAO). The project was implemented under the supervision of Guilherme Brady (FAO) and Shantanu Mathur (IFAD), supported by Maurizio Navarra (focal point, IFAD).

The learning programme was co-authored by Luiz Claudio Campos (IFAD), Anna Korzenszky (FAO/IFAD), Edoardo Calza Bini (FAO), Guilherme Brady (FAO), Lautaro Viscay (IFAD) and Soren Moller (IFAD). Significant contributions were provided by Jean Michel Sourisseau (CIRAD), Mariagrazia Rocchigiani (FAO), Mauro Conti (FAO), Victor Quezada Navarro (FAO), Pierre Ferrand (FAO) and Roberta Croce (IFAD). The authors wish to express sincere appreciation to all FAO colleagues who provided peer-review contributions: Simon Blondeau, Pedro Boareto, Raul Contreras, Maria Hadad, Emma McGhie and Anna Rappazzo. We would also like to thank Jean Leonard Touadi and the FAO's Family Farming Engagement and Parliamentary Networks Unit for the support provided during the global exchange meetings.

The publication benefited from the systematization of case studies related to public policies for family farming undertaken by the Centre de Coopération Internationale en Recherche Agronomique pour le Développement, Chinese Academy of Agricultural Sciences, Companhia de Desenvolvimento e Ação Regional, Initiative Prospective Agricole et Rurale, the Mazingira Institute, Corporación PROCASUR and the Southeast Asian Regional Center for Graduate Study and Research in Agriculture. Special thanks is extended by FAO and IFAD for the global organizations of family farmers, La Via Campesina, the World Farmers' Organization and the World Rural Forum, for including family farmers' perspectives during the development of the learning programme. We also thank the Regional Universities Forum for Capacity Building in Agriculture for the support provided during the piloting of the training programme.

The publication was edited, designed and formatted by Visiontime International, with some graphic elements provided by Graphic Harvest.

FOREWORD

To feed the world and do it sustainably, radical transformation of our food systems is urgently needed. This transformation requires the strengthening of thinking conceptually around different policy areas which relate to food security and nutrition. Interconnecting seemingly disparate topics and increasing the coordination between traditionally independent, sectoral policies, make challenges and needs more visible, and can help find the most appropriate solutions toward sustainable food systems. In addition, this transformation requires “process thinking”: the construction of a clear, (chrono)logical pathway, where each step considers the potentially divergent ideas of actors, giving rise to sustainable solutions. The policy cycle model, applied in this learning framework, provides an excellent tool to support this innovative and integrated way of thinking.

Public policies for family farming – when done appropriately – provide a perfect match between different policy areas related to productive, economic, social, environmental and cultural dimensions of sustainable food systems. Family farmers – including peasants, Indigenous Peoples, traditional communities, pastoralists, fishers, mountain farmers and many other groups of food producers – play multiple roles in our food systems. They provide around 80 percent of the world’s food in value terms, they are caretakers of the environment and custodians of biodiversity; they prevent of soil depletion, water pollution and environmental degradation. Moreover, they develop resilient solutions that can withstand shocks like the COVID-19 pandemic and other future challenges. They promote social inclusion and equity while combining traditional knowledge and culture with locally-appropriate and innovative practices. These unique characteristics, this multidimensional nature of family farming must be supported with political will and commitment.

The Learning framework for inclusive, integrated and innovative public policy cycles for family farming is the first global product developed to support the implementation of the United Nations Decade of Family Farming (UNDF) 2019-2028. By placing family farmers, as agents of change at the centre of action, the UNDF calls on countries to develop public policies and investments to support family farming and contribute to the achievement of the Sustainable Development Goals – as requested by the United Nations General Assembly at its 72nd Session.

To guarantee the success of this Decade, its Global Action Plan (GAP) outlines a set of indicative actions towards policies, programmes and regulation, which consider the needs of present and future generations while protecting and expanding the agency, inclusion and economic capacity and diversity of family farmers (see the Vision Statement of the UNDF).

With its Pillar 1, the GAP aims at accelerating actions toward the construction of an “enabling policy environment”, through the design and implementation of coherent, cross-sectoral policies which can concurrently address the environmental, economic and social dimensions of agricultural and rural development. This enabling policy environment to strengthen family farming underpins further actions delivered through other areas of the UNDF (Pillars 2 to 7) and can accelerate positive changes through the global food system.


Since the launch of the UNDF, in their capacity as its joint secretariat, FAO and IFAD have joined efforts and expertise to enhance the design and implementation of

inclusive and conducive public policies for family farming. Both organizations remain committed to supporting and strengthening sustainable, family farming-based food systems. The learning framework presented here is built through an inclusive and participatory process involving multiple actors, such as government representatives, parliamentarians, academic and research institutions, UN officials and family farmers from around the world. It is a practical tool, adaptable to the specific national context, and geographic and socioeconomic specificities. It serves both state and non-state actors to learn about and manage public policy cycles for the benefit of family farmers, in turn ensuring the well-being of all members of society.

This learning programme comes at a time when countries across the world are investing effort to design and adapt recovery strategies that mitigate and solve the impact of various environmental, social, economic and health crises that impact food systems. FAO and IFAD stand prepared to assist the design and implementation of globally relevant and country-specific interventions for better production, better nutrition, a better environment, and a better life. The organizations remain committed to support the development of complementary actions, which simultaneously preserve and re-adjust global food supply chains and strengthen context-specific solutions that harness locally available resources and goods. The UNDFP offers a unique opportunity for countries to pursue permanent solutions and transformation toward more effective, inclusive, resilient and sustainable agrifood systems.



Marcela Villarreal,
Director,
Partnerships and UN
Collaboration Division,
FAO



Ron Hartman,
Director,
Global Engagement, Partnerships and
Resource Mobilization Division,
IFAD

EXECUTIVE SUMMARY

The *Learning framework for inclusive, integrated and innovative public policy cycles for family farming* was developed under the framework of the United Nations Decade of Family Farming (2019–2028) to support policymakers, family farmers’ organizations and other relevant stakeholders to increase their understanding of public policy cycles and family farming related policies. This technical and methodological capacity development programme is adaptable to local, national or regional priorities. It offers a holistic perspective to building knowledge and capacity of the various actors involved in the design, implementation and review of effective and coherent policies and programmes.

Public policies are essential for family farmers to lead the transformation towards sustainable food systems. But to build sustainable solutions which capitalize on family farmers’ multidimensional nature, some essential changes are necessary. First, a strategic shift is required from policies that merely recognize family farmers to policies that support them effectively and proactively. Second, actors must reveal an intention to truly innovate public policies. Such innovation would require a strategic move away from the traditional, sectoral policies and toward complex, integrated, multi-sectoral strategies. Strategies that consider the broader policy context, including the already existing or planned interventions that can influence one another. This approach will extrapolate one single policy area and bring results to others. At the same time, policy innovations should assist decision-makers, who are often requested to do more with less. This would entail channelling resources in a more effective manner.

To achieve such policies, this training programme offers the use of the policy cycle model¹ as an analytical tool helping to explore and improve public policy-making processes related to family farming. The policy cycle model approaches policy-making as a chronological process including five consecutive stages: agenda-setting, , formulation, adoption, implementation and monitoring and evaluation. This theoretical structure can ease the management of the public policy process in a specific context, thereby ensuring its success in better supporting family farming. Furthermore, the use of the policy cycle model can help locate family farming in existing national policy frameworks and position them in new ones. It can contribute to the design of contextualized solutions, which are based on locally available resources and capacities.

This learning framework responds to the needs of multiple actors, expressed during the UNDIFF pre-consultation process, to identify ways to create truly effective and efficient policy frameworks for family farming, and to better engage and participate during policy processes. To provide an appropriate answer to these needs the learning framework was designed through a participatory process building on the experience of governments and family farmers’ organizations, researchers and UN staff, gathering inputs from all relevant actors around the world. This process included a number of global exchange meetings and webinars organized over the course of 2020–2021 with different actors to collate knowledge and information on the challenges faced along

¹ Adapted from Jann, W. & Wegrich, K. 2007. *Theories of the policy cycle. Handbook of Public Policy Analysis: Theory, Politics, and Methods*, pp. 43–61. Boca Raton, CRC Press, Taylor & Francis Group. www.taylorfrancis.com/books/e/9781315093192; Anderson, J.E. 2011. *Public policymaking: an introduction*. Boston, MA, Wadsworth/Cengage Learning; Howlett, M., Perl, A. & Ramesh, M. 2009. *Studying public policy: policy cycles & policy subsystems*. Don Mills, Oxford University Press..

family farming-targeted policy processes and on existing solutions to these challenges.² These meetings provided an excellent opportunity to present the initial outline and content of the learning framework and to collect inputs from various stakeholders to make the learning framework more responsive to the diverse realities of family farmers. Furthermore, to create a solid evidence base for the learning framework, FAO and IFAD partnered with academic and research institutions: Centre de Coopération Internationale en Recherche Agronomique pour le Développement (CIRAD), Chinese Academy of Agricultural Sciences (CAAS), Companhia de Desenvolvimento e Ação Regional (CAR), Initiative Prospective Agricole et Rurale (IPAR), the Mazingira Institute, Corporación PROCASUR and Southeast Asian Regional Center for Graduate Study and Research in Agriculture (SEARCA). The cooperation intended to document, systematically assess and illustrate the policy cycle model through existing policies and programmes targeting family farming in different regions across diverse areas, sectors, and themes. Additional information about the case studies is introduced further below and provided in the Annex 1: Cases studies and Annex 2: Case study methodology.

² The *Multi-actor Global Exchange Meeting – Developing the Modular Training Program on Public Policy Cycles for Family Farming* held on 27–28 July 2020, received 212 registrations, including participants from more than 50 countries: Members of the Permanent Representations to the Rome-based Agencies (Costa Rica, Dominican Republic, France, Iran and Kuwait), 45 officials from ministries of 13 countries (Austria, Brazil, China, Colombia, Costa Rica, Côte d'Ivoire, Dominican Republic, Democratic Republic of the Congo, Indonesia, Nepal, Palestine, Philippines and Portugal), family farmers and their organizations (FFOs), IFAD, FAO and WFP officers from Rome and decentralized offices, NGOs, researchers and from the private sector. Around 70 representatives of FFOs from 36 different regions were consulted during the Global Exchange Meeting. The *Global Exchange Meeting with Parliamentarians (GEMP) on Public Policies and Legislations for Family Farming – Developing the Modular Training Program on Public Policy Cycles for Family Farming* was held on 26–27 November 2020 was attended by 90 participants, including 37 parliamentarians from 27 different countries (Algeria, Bahrain, Bangladesh, Brazil, Dominican Republic, Ethiopia, Gabon, Gambia, Honduras, Jordan, Indonesia, Italy, Lesotho, Libya, Madagascar, Morocco, Myanmar, Nigeria, Paraguay, Philippines, Rwanda, Congo, Saudi Arabia, Somalia, Spain, Qatar and Yemen), Member State Representatives and representatives of the global and regional FFOs, and officers from the Rome and regional offices of FAO and IFAD. To foster the participation of organizations of family farmers in the development process of the learning programme, global organizations of the UNDRF International Steering Committee – the World Rural Forum, La Via Campesina and the World Farmers' Organization – were consulted through dedicated webinars to ensure that the content and methodologies applied in the Learning Framework serve FFOs to meaningfully engage in public policy processes.

OBJECTIVES OF THE TRAINING

By creating a nexus between policy theory and concrete practices that have been successfully applied around the world, the training aims at increasing the capacities of distinct actors, while providing them with versatile tools, instruments, and competencies to build, implement, and monitor and evaluate effective and context specific family farming-centred policies.

Specific objectives of the training include:

- to increase capacities of state and non-state actors to design, develop, implement, and review context-specific public policies and investments to support family farming;
- to render the public policy cycle tool applicable to family farming related policies to improve enabling environment;
- to provide tools, instruments and competencies to address public policy issues relevant to family farming and family farming-centred food systems;
- to help actors navigate along the policy cycle to re-think the design and realization of concrete solutions in their context, prompting inclusive policy innovations; and
- to prepare participants to manage and lead bottom-up, participatory, multilateral and multi-sectoral collaboration for the development, implementation, monitoring and evaluation of family farming-targeted public policy processes.

Expected outcomes of the learning processes are:

- increased capacity to reflect on where and how to intervene in the public policy cycle, relative to the needs of family farmers and the opportunities they can offer in a specific country/region;
- increased understanding of the complexity of the policy-making process and the various relations and dynamics between policy actors along the process;
- improved technical and functional capacities to trigger the uptake and application of policy innovations;
- improved strategic capacities to identify opportunities for the most effective policy interventions including the capacity to assess and reflect on existing solutions, as well as ways to develop policy responses to a problem faced by family farmers;
- increased creative capacity to develop and design integrated and contextualized policy solutions; and
- increased capacity to promote the dissemination of knowledge and strengthened multi-actor coalitions for building an enabling environment for family farming.

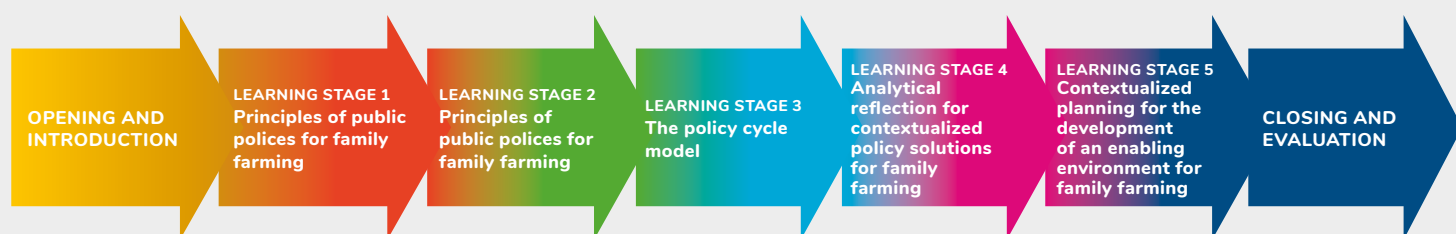
This learning framework and the policy training organized by applying this programme complement other ongoing activities. Specifically, those undertaken within the framework of the UNDFP to enhance development of public policies, projects, programmes and strategies at local, national, regional and global levels, in support of family farming. In particular, it aims at enabling actors to establish national policies that can enhance the realization of the National Action Plans¹ established in the framework of the UNDFP.

¹ Dominican Republic, Gambia, Indonesia, Peru, Brazil, Costa Rica, Nepal, Panama, Sierra Leone, the Philippines, Sierra Leone and Tunisia.

THE LEARNING ROUTE

The training places the policy cycle model in the reality of family farming public policies, programmes and strategies. It contains 17 sessions. These sessions follow each other in a proposed order to reinforce a continued and progressive capacity development process in the specific field of family farming related policies. Departing from a wider, global perspective, training sessions guide participants to explore their national policy context and invite them to explore opportunities in their countries to strengthen the support they provide for family farming.

The capacity development process – created through the subsequent sessions – is called “The learning route”. This route provides a training structure that makes the learning process about policies for family farming easy and logical. The learning route includes 5 distinct “Learning stages”, each with specific objectives progressively and gradually building on the previous stage(s). Successful completion of the learning process in this sense requires the understanding and experimentation of stage-specific issues.



The learning stages

<p>OPENING AND INTRODUCTION</p>	
<p>LEARNING STAGE 1</p> <p>Principles of public polices for family farming</p>	<p>The training starts with participants’ critical assessment of food systems and their challenges at global, regional, national and local levels. Participants also explore the notion and multidimensional nature of family farming. The initial discussions about family farming and their role in food systems provide the foundations of the policy training and, more importantly, of contextualized and well-tailored policy actions.</p>
<p>LEARNING STAGE 2</p> <p>Principles of public polices for family farming</p>	<p>The analysis of food systems and family farming is followed by the introduction of the principles and main features of public policies (dimensions, classification and typologies), to explore how different public interventions can impart benefits or incur costs for family farming. Through a national, family-farming related policy scenario, the learning stage establishes a mapping of the set of existing national policies, laws, programmes and initiatives targeted at or relevant to family farming. It also includes the assessment of actors/ institutions and of their relevance to family farming related public policies. These sessions will lead to the identification of potential entry points for a strengthened and comprehensive support for family farming.</p>

<p>LEARNING STAGE 3</p> <p>The policy cycle model</p>	<p>This central Stage of the learning route unfolds the public policy cycle model from the perspective of family farming. Exploring the distinct phases of the policy cycle (agenda-setting, policy formulation, adoption, implementation, and monitoring and evaluation) can reinforce better-designed and targeted policies in support of family farming. To strengthen trainees' policy-making capacities, the sessions balance and combine policy theory with concrete and well-documented family farming policy practices.</p>
<p>LEARNING STAGE 4</p> <p>Analytical reflection for contextualized policy solutions for family farming</p>	<p>Equipped with profound knowledge collected in the previous learning stages about the national policy environment and policy-making practices, participants apply lessons learned in their national context by reinforcing linkages between the five stages of the policy cycle. The Learning stage invites participants to identify concrete opportunities to build and strengthen an enabling policy environment for family farming in the specific context.</p>
<p>LEARNING STAGE 5</p> <p>Contextualized planning for the development of an enabling environment for family farming</p>	<p>To maximize opportunities to continue comprehensive, multi-actor planning, and to join efforts at national/ regional level for an improved policy environment for family farming, the learning route terminates with the panning of a potential follow-up event, the Policy Forum for Family Farming. The final Learning stage invites participants to prepare a public event that can serve to mobilize and forge solid and sustainable alliances among a wide range of stakeholders, disseminate information discussed at the training and to co-create a roadmap for future actions supporting family farming.</p>
<p>CLOSING AND EVALUATION</p>	

TRAINING METHOD

This training programme applies participatory and experiential learning approaches and includes the use of case studies, videos and other written and audio-visual material. The methodology is designed to conduct the training both for in-person and virtual training settings.

The training methodology combines learning methods to transmit theoretical and practical aspects of public policy making. The sessions depart from the knowledge and experiences of the participants on the specific topic. Based on these personal policy experiences, the facilitator then provides inputs introducing new conceptual material to structure the sessions. The direct use and incorporation of the learners' knowledge and experiences related to the specific issue into the training programme help participants take ownership of their own learning process and maximize exchanges between one another, providing more profound and longer-term knowledge. This training, therefore, relies on the "learning by doing"-approach and applies methods, which can reinforce the active internalization of new – eventually rather theoretical – information through exercises and experimentation.

Collaborative group exercises form the base of the learning process, interspersed with moments of individual self-reflection. The group exercises are designed to encourage participants to share their existing knowledge and experiences with their peers, while also integrating new perspectives and concepts learned during the training. The experiential learning approach aims at stimulating active participation, critical thinking and problem solving in realistic public policy scenarios related to family farming in the local context.

The use of case studies about family farming-policy experiences

Policy experiences and evidence are essential elements of the learning methodology. These solutions and practices – documented through cases studies (see Annex 1. Case studies) – are meticulously tailored into this training programme to link and illustrate policy aspects with concrete policy practices supporting family farming in different regions and countries. Case studies provide experiences from real-life scenarios and are included in the technical background to help the facilitator better understand the topics and to transmit knowledge more effectively to the participants. Furthermore, evidence provides inputs to various training sessions and demonstrates important aspects to be considered by the participants in their own policy-making processes.

Given that each experience has a unique context, case studies are not intended to be replicated. Rather, they aim at demonstrating important aspects to be considered during policy-making processes. The exchanges on and the analysis of existing solutions, as well as the assessment of different ways of developing policy responses to a problem faced by family farmers are among the most effective learning methods that can enable actors to develop contextualized policy solutions.

Facilitators of the learning programme are encouraged to document and systematize case studies from their local/national context. To guide the selection of the most suitable policy to preparation of a case study about it, please see Annex 2. Case study methodology.

The methodology of the Learning framework is based on various programmes FAO developed to strengthen rural institutions.²

Flexible and modular approach towards the contextualization of the learning programme

The training programme is intended as a guide to be used in a modular way (i.e. depending on the needs of the participants, the group composition, their level of knowledge, and on the time available for the training). When implemented at national and regional levels, the training programme should be adapted to the context by directing the focus on the most important and relevant policy issues and priorities related to family farming. The learning process starts from the learners' experiences and gradually builds their knowledge through the five learning stages (see previous section) with each element building on the previous one and feeding into the next.

Depending on the objectives the training programme seeks to achieve, the five learning stages can be fully or partially applied as indicate in Table 1 below.

TABLE 1. Options to applying the methodology

OPTIONS	ELEMENTS OF THE METHODOLOGY	DURATION
<p>Sensitizations</p> <ul style="list-style-type: none"> ■ To explore the national situation and characteristics of family farming, and to map the policy environment related to family farming. 	<p>LS 1. Context analysis LS 2. Principles of public polices for family farming</p>	2 days
<p>Strategic planning</p> <ul style="list-style-type: none"> ■ To explore the national situation and characteristics of family farming, and to map the policy environment related to family farming. ■ To jointly develop a roadmap of action to promote conducive public policies for family farming at national level 	<p>LS 1. Context analysis LS 2. Principles of public polices for family farming LS 5. Contextualized planning for the development of an enabling environment for family farming</p>	3 days
<p>Capacity building, full training</p> <ul style="list-style-type: none"> ■ To explore the national situation and characteristics of family farming, and to map the policy environment related to family farming. ■ To enhance the capacities of training participants on the public policy cycle for family farming and to apply this knowledge to improve specific contexts. ■ To jointly develop a roadmap of action to promote public policies conducive for family farming at national level 	<p>LS 1. Context analysis LS 2. Principles of public polices for family farming LS 3. The policy cycle model LS 4. Analytical reflection for contextualized policy solutions for family farming LS 5. Contextualized planning for the development of an enabling environment for family farming.</p>	5 days

² Such as FAO. 2020d. Empowering farmers and their organizations through the creation of social capital – Bond learning guide for trainers. Rome. <https://doi.org/10.4060/cb1423en>. And to increase the capacity of different actors on the use and implementation of international instruments: FAO/FIAN International. 2017. *Putting the Voluntary Guidelines on Tenure into practice – A learning guide for civil society organizations*. Rome. www.fao.org/3/i7763e/i7763e.pdf and FAO and FIAN International. 2022. *Putting the Voluntary Guidelines on Tenure and the Voluntary Guidelines on Small-Scale Fisheries into practice – A learning guide for civil society organizations*. Rome, FAO. <https://doi.org/10.4060/cc0295en>

DAY 1		DAY 2		DAY 3	
PRELIMINARIES		LEARNING STAGE 2 PRINCIPLES OF PUBLIC POLICIES FOR FAMILY FARMING		LEARNING STAGE 3 THE PUBLIC POLICY MODEL	
A	Welcome, opening	2.1	THE CONCEPT OF PUBLIC POLICY	3.1	AGENDA SETTING
B	Participants getting know each other	2.2	PUBLIC POLICIES FOR FAMILY FARMING: NATIONAL TRAJECTORIES, BENEFICIARIES AND THEMES	3.2	POLICY FORMULATION
C	Presentation of the agenda and goals of the training	2.3	ACTORS AND INSTITUTIONS IN POLICY MAKING. Roles and responsibilities		
LEARNING STAGE1 CONTEXT ANALYSIS		2.4	INTRODUCING THE POLICY CYCLE MODEL		
1.1	ANALYSIS OF THE CHALLENGES OF CURRENT FOOD SYSTEMS – Exploring the environment for policy making				
1.2	FAMILY FARMING IN THE COUNTRY CONTEXT				

Note: More detailed agenda is included in Annex 1.

PREPARATION FOR THE TRAINING: GUIDANCE FOR TRAINERS

Because training situations vary greatly, materials and suggestions provided in this manual should be viewed merely as a guide to conduct a successful training. The level of experience of the facilitator, the knowledge and skill levels of participants, and the training context are all factors that need to be considered when planning the workshop.

Several steps are involved in getting ready for this training:

Identifying the participants: The number of participants should range between 20–30. The recommended profiles of participants is technical officials in ministries working on relevant themes for family farming, and members and technical staff in family farmers' organizations at national, regional and global levels. Participants can also come from academic and research institutions, and from the local

DAY 4		DAY 5	
LEARNING STAGE 3 THE PUBLIC POLICY MODEL		LEARNING STAGE 4 ANALYTICAL REFLECTION FOR CONTEXTUALIZED POLICY SOLUTIONS FOR FAMILY FARMING	
3.3	ADOPTION	4	CONSTRUCTING THE PUBLIC POLICY PROCESS FOR THE SUPPORT OF FAMILY FARMING IN THE NATIONAL CONTEXT
3.4	IMPLEMENTATION	LEARNING STAGE 5 CONTEXTUALIZED PLANNING	
3.5	MONITORING, EVALUATION	5	POLICY FORUM
		FINAL STAGE	
		D	Final reflection Closing

private sector relevant for the family farming context. Multi actor learning events are recommended as they can facilitate the assessment of policy-related issues from various vantage points. They can also enhance the exchange of actor-specific experiences and expectations, enabling a holistic understanding of family farming-relevant policy issues and processes. For multi-actor training, it is recommended to maintain a balanced representation of diverse interests, voices and concerns, with specific focus on representatives of family farmers.

Setting up the training team: At least two facilitators are recommended. Considering the duality of general and context-specific knowledge of public policies for family farming, relying on the inputs of national policy/family farming experts is recommended. The facilitators play a critical role in mediating this process. Rather than providing the answers directly, the facilitators' main objectives are to create a constructive environment for knowledge exchange, to strengthen learners' capacities, and guide them to find their own answers. When delivered successfully, these moments of discovery can have a powerful influence. However, effective facilitation demands a mix of skills, knowledge, experience and careful preparation.

Ideally, the facilitator should be comfortable in the role, having knowledge and prior experience working with participatory and experiential methods. At the same time, the facilitator should have a deep understanding of public policy and family farming in the relevant country. If this is not the case, they should be supported by technical experts in the preparation and implementation of the training.

Choosing a training venue and room set-up: To ensure that the training is inclusive and participatory, it should be conducted in a spacious location that can host plenary and working group discussions.

Preparing training materials: The training organizers should begin preparations approximately two months prior to the training. In addition to the time required to prepare the training, it is essential to also account for a thorough understanding of the proposed concepts, methodology and topics (such as family farming, agrifood systems, public policy analysis, public policy cycle, etc.). The adaptation of the training materials to the local context may include the selection of the best matching case studies (see Annex 1) and time and resources permitting, the documentation of a new local case, and/or the development of training materials that come from the local context (e.g. short video interviews with local actors, selection of video/radio programmes discussions a relevant issues, etc.).

TABLE 3. Checklist of materials and handouts per session

		ALREADY PROVIDED	TO BE PREPARED BY THE FACILITATORS
SESSION A. Welcome, opening			
Resources	Brief note for speakers		#
	List of participants		#
	List of learning objectives	#	
SESSION B. Participants getting to know each other			
Materials	Paper		#
	Sticky notes		#
	Pens		#
SESSION C. Presentation of the agenda and goals of the training			
Resources	Pre-prepared poster/flipchart of the five elements of learning route		#
	Pre-prepared poster/flipchart of the training agenda		#
	Pre-prepared feedback/notes poster		#
SESSION 1.1. Analysis of the challenges of current food systems			
Materials	Flipcharts, notebook/ white paper, markers and pens		#
	Computer, projector		#
Resources	Video		#
	Flipchart 1: Statement for future food systems	#	
Handouts	Box 1: Vision statement of the UN Decade of Family Farming	#	

		ALREADY PROVIDED	TO BE PREPARED BY THE FACILITATORS
SESSION 1.2. Family farming in the country context			
Materials	Flipcharts, markers and pens		#
	Computer, projector		#
	Sticky notes		#
Resources	Flipchart 2: What is family farming in your country/region?		#
	PowerPoint presentation on family farming in the country in question		#
	Flipchart 3: Jointly agreed concept of family farming		#
Handouts	PowerPoint presentation on family farming in the country in question		#
SESSION 2.1. The concept of public policy			
Materials	Sticky notes		#
	Flipchart and markers		#
	Computer, projector		#
Resources	Policy scenarios presented in fictional news articles	#	
	Sheet 2.1 for the exercise	#	
	PowerPoint presentation 2.1. <i>Public Policies – definition and main features: dimensions, classifications and typologies</i>	#	
Handouts	Box 2.1. Public policy definitions	#	
	Table 2.1.1. Dimensions of public policies	#	
	Table 2.1.2. Public policy classification	#	
	Table 2.1.3. Public policy typologies	#	
SESSION 2.2. Public policies for family farming: national trajectories, beneficiaries and themes			
Materials	Flipchart and markers		#
	Computer, projector		#
Resources	PowerPoint presentation – The set of national policies targeted at or related to family farming (based on Sheet 3)		#
Handouts	Table 2.2 Potential categories and themes of public policies targeting family farming	#	
	Sheet 2.2 The set of national policies targeted at, or relevant to family farming		#

		ALREADY PROVIDED	TO BE PREPARED BY THE FACILITATORS
SESSION 2.3. Actors and institutions in policy process			
Materials	Flipchart and markers		#
	Coloured cards		#
	Sticky notes		#
	White boards		#
	Computer, projector		#
Resources	Flipchart 2.3 with the matrix	#	
	Table 2.3. List of actors relevant for family farming policies	#	
Handouts	Table 2.3. List of actors relevant to family farming policies	#	
SESSION 2.4. Introducing the policy cycle model			
Materials	Computer, projector		#
Resources	Video: The Public Policy Cycle for Family Farming – United Nations Decade of Family Farming (2019–2028)	#	
Handout	Table 2.4. Summary of the public policy cycle model	#	
SESSION 3.1. The policy cycle model – agenda setting			
Materials	Flipchart or white paper and markers		#
	Computer, projector (optional)		#
Resources	Role-play scenario 3.1 to exercise agenda-setting (Senegal)	#	
	PowerPoint presentation		#
Handouts	Table 3.1.1. State and non-state actors involved in agenda-setting	#	
	Table 3.1.2. Institutionalized and non-institutionalized channels	#	
SESSION 3.2. The policy cycle model – the formulation stage			
Materials	Flipcharts and markers		#
	Computer, projector		#
Resources	PowerPoint presentation 3.2. Policy formulation	#	
	Scenario 3.2 to exercise policy formulation	#	
Handouts	Table 3.2.1. Actors: Who formulates policy alternatives and how	#	
	Table 3.2.3. Policy instruments	#	
	Table 3.2.6. A brief definition of the logical model's elements through the example of the Support Programme for the Productivity of Women Entrepreneurs (PROMETE), Mexico	#	
SESSION 3.3. The policy cycle model – the adoption stage			
Materials	Flipcharts and markers		#
	Computer, projector		#

		ALREADY PROVIDED	TO BE PREPARED BY THE FACILITATORS
Resources	PowerPoint presentation on the legislative process		#
	Table 3.3.2. Examples of articles	#	
Handouts	Table 3.3.1. Main steps of the legislative process	#	
SESSION 3.4. The policy cycle model – the implementation stage			
Materials	Flipcharts and markers		#
	Computer, projector		#
Resources	PowerPoint presentation 3.4. The implementation stage	#	
	Scenario 3.4 to exercise policy implementation (Brazil)	#	
Handouts	Tables 3.4.1. Key features of leading implementing organization, 3.4.2. Supervision and oversight relations in the implementation, 3.4.3 Interface with policy beneficiaries and target groups and 3.4.4 Interface with policy beneficiaries and target groups	#	
	Table 3.4.5. Types of activity performed by implementing organizations	#	
	Table 3.4.6. Potential challenge faced by implementing organizations	#	
SESSION 3.5. The policy cycle model – monitoring and evaluation stage			
Materials	Sticky notes		#
	Flipcharts and markers		#
	Computer, projector		#
Resources	PowerPoint presentation 3.5. The Monitoring and evaluation stage	#	
Handout	PowerPoint presentation 3.5. The Monitoring and evaluation stage	#	
SESSION 4. Public policy process for the support of family farming in the national context			
Materials	Large space(s) with four separated tables		#
	Flipcharts, markers		#
	Computer, projector		#
Handouts	Table 4. Policy cycle phases – guiding questions	#	
SESSION 5. Public policy forum planning			
Materials	Flipcharts or white papers, markers		#
	Computer, projector		#

The facilitators are invited to disseminate handouts session-by-session as indicated in the facilitators' notes in the beginning of each session. This will help participants to focus on the materials, which are dedicated to the specific exercise.

Opening and introduction



PRELIMINARIES Opening and introduction

- A Welcome, opening
- B Participants getting to know each other
- C Presentation of the agenda and goals of the training

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION A

Welcome, opening

- Objectives**
- Mark a formal opening of the training
 - Welcome participants and encourage their active participation during the training
-

- Steps**
- Identify and invite key speakers to deliver opening remarks (speaker may represent ministry relevant to family farming issues, FAO/IFAD office, family farmers' organization, etc.)
 - During the welcoming/opening remarks, a speaker or the facilitator may introduce the objectives of the training
-

- Resources**
- Brief note for speakers
 - List of participants
 - List of learning objectives
-

Suggested time 30 MINUTES

- Comments and tips**
- Speaking notes may include points on family farming related policies, events, and United Nations Decade of Family Farming (UNDF) related activities in the country/region
 - If relevant, introduce and provide information on and organizations and the individuals co-organizing the training
-

SESSION B

Participants getting to know each other

- Objectives**
- Allow participants introduce themselves to break the ice and become comfortable working with each other
-

- Steps**
- Divide participants in pair
 - Ask each individual to interview the other for about 5 minutes:
 - What are they doing for work?
 - What experiences have they had working with family farming?
 - What are they expecting from the training?
 - After the interview, reassemble the participants into a big circle and ask each participant to introduce their partner to the group
-

- Materials**
- Paper, sticky notes, pens
-

Suggested time 30 MINUTES

- Comments and tips**
- Questions for the "interview" may also include less formal questions, for example:
- How/from where do you get your fruits and vegetables for you/ your family? Are there farmers' markets in your town? Do you go to farmers' markets?
 - What is your favourite fruit/vegetable and why?
 - What do you like to cook the most?
-

SESSION C

Presentation of the agenda and goals of the training

Objectives ■ Inform participants of the learning objectives and schedule of activities during the training

Steps ■ Explain the training component (see Learning route, in the Introduction)
■ Present the agenda of the training
■ Present the agenda of day 1

Resources ■ Pre-prepared poster/flipchart of the 5 elements of learning route
■ Pre-prepared poster/flipchart of the training agenda
■ Pre-prepared feedback/notes poster

Suggested time **30 MINUTES**

Comments and tips ■ The two flipcharts presented here can be displayed in the room for the duration of the training to locate the specific training components throughout the learning process;
■ Use the feedback/notes poster to register ideas, comments of participants that may arise during the training.

LEARNING STAGE 1

Context analysis



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1 Context analysis

1.1 Analysis of the challenges of current food systems

1.2 Family farming in the country context

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION 1.1

Analysis of the challenges of current food systems – exploring the context for policy support for family farming

Learning objectives	<ul style="list-style-type: none">■ Identify features, trends and challenges of food systems in your context.■ Create a common understanding about the complexity of food systems.■ Prepare participants' critical approach to food systems and build a common "statement" that can serve as a basis for upcoming discussions along the learning process.
Key messages	<ul style="list-style-type: none">■ Today's food systems face a complex set of interconnected economic, social and environmental challenges. Food system challenges are interlinked. They cut across different sectors and relate to the production, processing, distribution, preparation and consumption of food.■ The complexity of food systems has to be reflected in family farming-targeted policy frameworks.
Materials	<ul style="list-style-type: none">■ Flipcharts, computer, projector, notebook/ white paper, markers and pens
Resources	<ul style="list-style-type: none">■ Video (example): https://www.youtube.com/watch?v=zkyIDfglf2Y&ab_channel=FoodandAgricultureOrganizationoftheUnitedNations■ Flipchart 1: Statement for future food systems.
Suggested time	1 HOUR 40 MINUTES
Comments and tips	<ul style="list-style-type: none">■ This session is meant to be an introductory step to start exercising critical and conceptual thinking related to food systems. It is recommended to keep the session short, avoiding exhaustive discussions on global food system issues, but focusing on national/ regional food systems.■ You may opt to play another video if it presents more accurate information on food systems challenges within the specific context of the training.■ In the discussion, the facilitator can encourage participants to consider the complexity of food systems by asking follow-up questions that guide them to think about a wide range of relevant issues, which reflect the economic, social, environmental and cultural dimensions of sustainability, and to open up reflections including on the production, processing, distribution, preparation and consumption of food.
Handout	<ul style="list-style-type: none">■ Box 1: Vision statement of the UN Decade of Family Farming

Facilitator's notes

DESCRIPTION OF THE SESSION AND MATERIAL

PLENARY VIDEO PRESENTATION ON FOOD SYSTEMS

10 MIN

- The facilitator introduces the session and presents the video to stimulate reflection on food systems. They then invite participants to take notes on the challenges of food systems which are referred to in the video by using the following questions: What does food mean for you? What did you learn from the video? What aspects of food systems were mentioned and what aspects were not mentioned?
- Video example:
The State of Food Security and Nutrition in the World (SOFI 2020) - Duration 3:18'
https://www.youtube.com/watch?v=64KLuGzGxEQ&ab_channel=FoodandAgricultureOrganizationoftheUnitedNations.

INDIV. & GROUP WORK BRAINSTORMING FOOD SYSTEMS CHALLENGES 30 MIN

- After watching the video, participants start with a 5-minute self-reflection, while complementing their notes in response to the guiding questions: "What do food systems mean to you? What food systems challenges do you consider most relevant within your context?"
- The facilitator should encourage participants to think openly and broadly.
- After the self-reflection, participants are asked to discuss the same questions in pairs for another 10 minutes. Then by merging pairs into groups of four (or three, depending on the number of participants, they should continue the discussion for another 10 minutes). Use any remaining time to continue brainstorming in the small groups.
- Each group should nominate a rapporteur.

PLENARY REPORTING BACK ON FOOD SYSTEMS CHALLENGES

30 MIN

- The rapporteur from each group briefly presents their main findings to the plenary. Other group members may want to briefly complement the spokesperson's summary. After each group has shared, the facilitator opens the discussion to the plenary. The facilitator records all the "challenges" identified and notes them on the whiteboard/flipchart.
- The facilitator should guide the discussion to explore all dimensions of sustainability and ask follow-up questions linked to the economic, social, environmental and cultural dimension of sustainability and the different stages of food production, processing, distribution, preparation and consumption.
- Together with the participants, the plenary should organize the "challenges" into categories (see Technical background for possible categories) to highlight the interconnections among food systems issues. Use arrows to link different problems/challenges as this can help visualize the "complexity" of food systems (e.g. relationships between biodiversity and nutrition).

PLENARY CREATING A COMMON STATEMENT ON FUTURE FOOD SYSTEMS

30 MIN

- Based on the participants' understanding of the complexity and challenges of today's food systems, build a joint statement that can be considered a basis for upcoming discussions of the learning process, responding to the guiding question: **How should food systems look like at the end of the UNDF in**

2028 and beyond? What do food systems mean to you? What food systems challenges do you consider most relevant within your context?

- Use the table on a flipchart that is prepared before the session (see Flipchart 1. *Statement on future food systems* in Resources) and consider the challenges identified earlier by groups to generate this statement that can help guide transition towards sustainable agricultural and food systems.
- As an example, the facilitator can read out the **Vision Statement of the UNDDF** (see Box 1 in Technical background). It can be displayed on a PowerPoint presentation or written on a flipchart, and disseminated it as a handout for participants.

Technical background

Food systems

In this increasingly complex and global world, new challenges and crises need to be addressed and resolved. Food systems are key entry points to drive a worldwide transition to a more sustainable trajectory, and their role in accelerating progress to achieve sustainable development across sectors and sustainability dimensions is now fully recognized (Independent Group of Scientists appointed by the Secretary-General, Global Sustainable Development Report, 2019). They are part of wider economic and geopolitical systems, and depending on the country, they play a decisive role in those systems. In this context, and to enhance the progress of the 17 Sustainable Development Goals (SDGs), healthier, more sustainable and more equitable food systems are necessary (Dury *et al.*, 2019).

Food is indispensable to our existence. Food systems encompass various elements and activities that relate to the production, processing, distribution, preparation and consumption of food, as well as the outputs of these activities, including socioeconomic and environmental outcomes (HLPE, 2020).

Yet, despite the economic growth and progress of recent decades, food systems as they currently operate at the global, national, and local level, are failing to deliver the desired outcomes in terms of climate, environment, human health and social welfare. Many of the world's food systems are fragile and vulnerable to collapse. When our food systems fail, the resulting disorder creates problems in other systems such as in education, health and economy as well as human rights, peace and security. As in so many cases, those who are already poor or marginalized are the most vulnerable (United Nations, 2021).

Increasing hunger and malnutrition indicate that current food systems are not delivering sustainable outcomes. Nevertheless, increasing food production is no longer the main issue: in a world where obesity and dietary-related disease is increasing and a third of the produced food is lost and wasted, the issue is how to increase access to food and, more specifically, how to increase access to a food which is healthy, nutritious, sustainably produced and culturally acceptable (FAO, 2019). In the future, food systems will face increasing pressure from a growing global population, the depletion of natural resources, and loss of biodiversity. Climate change is already impacting food systems and these impacts will become more severe.

Some of the main challenges facing agrifood systems

Poverty and inequality: About 80 percent of the world's extreme poor reside in rural areas and most rely, at least in part, on natural resource-based livelihoods for their economic well-being and food security and nutrition. Most of the poorest are involved in food systems as small-scale agricultural producers, fishers, pastoralists, or forest-dependent communities as well as agricultural wage workers, and those engaged in micro-, small- and medium-sized enterprises along food value chains. To eradicate extreme poverty, reduce inequalities and foster inclusive growth, we must promote food systems and rural transformation that empowers rural people as critical agents of change. Policies and programmes improving the livelihoods and resilience of smallholder farmers, foresters, fishers, pastoralists, and labourers, with particular focus on rural women, Indigenous Peoples and youth as the most marginalized constituencies.

For further information:

- ✂ Transforming agrifood systems and fostering inclusive rural development in the context of COVID-19 to end rural poverty (UNDESA, 2020)
<https://www.un.org/development/desa/dspd/2020/11/end-rural-poverty/>
- ✂ Food systems Summit. Action Track Discussion Starter. Action Track 4 – Advance Equitable Livelihoods and Value Distribution (United Nations, 2021b)
https://www.un.org/sites/un2.un.org/files/at_4_discussion_starter.pdf
- ✂ Ending extreme poverty in rural areas – Sustaining livelihoods to leave no one behind (De La O Campos, *et al.*, 2018)
<http://www.fao.org/3/CA1908EN/ca1908en.pdf>
- ✂ The future of food and agriculture – Alternative pathways to 2050 (FAO, 2018)
<http://www.fao.org/publications/fofa/en/>

Gender inequality: Women account on average of almost half of the agricultural labour force. Yet despite their significant contribution to food and agricultural production, many women remain the most affected by poverty, social exclusion and human rights violations. Women are more likely to be food insecure than men in every region of the world. As producers, rural women face even greater constraints than their male counterparts in accessing essential productive resources and services, market information, financial assets, financial services, technology and job opportunities. This “gender gap” limits rural women’s ability to take advantage of new opportunities, and prevents them from reaching their full potential, thus undermining the achievement of multidimensional and inclusive rural development as envisaged by the 2030 Development Agenda.

For further information:

- ✂ Empowering rural women, powering agriculture (FAO, 2018)
<http://www.fao.org/3/ca2678en/CA2678EN.pdf>

Hunger and malnutrition: SDG 2 doesn’t just specify the need to achieve Zero Hunger, but also the need to achieve the four pillars of food security. Namely, ensuring all people, always, have access to nutritious food that meets their dietary needs and preferences, while using sustainable agricultural methods. In 2020, between 720 and 811 million people of the global population faced hunger, while 2.37 billion did not have access to adequate food (FAO, IFAD, UNICEF, WFP & WHO,

2021). The numbers of hungry and food insecure people in the world have been slowly rising from 2015, with the COVID-19 pandemic, this trend has continued. Beyond hunger, a growing number of people have had to reduce the quantity and quality of the food they consume. Malnutrition affects one in three people and can take the forms of vitamin and mineral deficiencies, stunting, wasting, overweight and obesity. These different forms of malnutrition coexist – including overweight, obesity and micronutrient deficiencies – and expand at alarming rates. Most people living in poverty around the world do not have access to a nutritionally adequate or healthy diet. People who experience moderate levels of food insecurity or worse, including those who do not have regular access to enough nutritious food, are at greater risk of various forms of malnutrition.

For further information:

- ✂ Sustainable Development Goals, Goal 2: Zero Hunger (United Nations)
<https://www.un.org/sustainabledevelopment/hunger/>
- ✂ The State of Food Security and Nutrition in the World Safeguarding Against Economic Slowdowns and Downturns (FAO, IFAD, UNICEF, WFP and WHO, 2019)
<http://www.fao.org/3/ca5162en/ca5162en.pdf>

Lack of healthy diets: The transition to sustainable food systems will not happen without a radical transformation of the way we produce, supply and consume food. From farm to plate, our food systems currently favour the production of high-yielding staple crops. An unhealthy diet is the leading risk factor for deaths from non-communicable diseases, including heart disease, diabetes and certain cancers. In recent decades, we have dramatically changed our diets and eating patterns because of globalization, urbanization and income growth. We have moved from seasonal, mainly plant-based and fibre-rich dishes to diets high in calories such as refined starches, sugar, and fats, as well as diets high in salt, processed foods and excessive consumption of meat. In much of the world, guaranteeing availability and access to healthy diets remains an enormous challenge.

For further information:

- ✂ The future of food and agriculture – Alternative pathways to 2050 (FAO, 2018)
<http://www.fao.org/publications/fofa/en/>
- ✂ Hungry for change: the global food system. (UNEP, 2020)
<https://www.unep.org/news-and-stories/story/hungry-change-global-food-system>
- ✂ Sustainable food systems. Concept and framework (FAO, 2018c)
<http://www.fao.org/3/ca2079en/CA2079EN.pdf>

Climate change: Climate change is one of the greatest challenges of our life: rising temperatures and sea levels, changes in rainfall patterns and water temperatures, ocean acidification and more frequent and intense extreme weather events, will all affect how and where we produce our food. Given that the changing climate will increase pressure on the use and governance of land and water while reducing yields, food systems need to continuously adapt to changing conditions. At the same time, food and agricultural production remains one of the key drivers of climate change and environmental degradation, contributing up to 21-37 percent of

all greenhouse gas (GHG) emissions. Although climate change will affect us all, it will disproportionately affect poor and vulnerable groups, including by multiplying the impact of other threats (e.g. hunger, pests and diseases, biodiversity loss and water scarcity).

For further information:

- ✂ Climate change is one of the biggest challenges of our times (European Environmental Agency, 2021)
<https://www.eea.europa.eu/themes/climate/climate-change-is-one-of>
- ✂ Special Report: Special Report on Climate Change and Land. How does climate change affect food security? Chapter 5 (Intergovernmental Panel on Climate Change, 2020)
<https://www.ipcc.ch/srccl/chapter/chapter-5/>

Biodiversity loss: Biodiversity of food and agriculture includes all plants and animals (and their genetic resources) – both wild and domesticated – that provide food, feed, fuel and fibre. It also includes the myriad of organisms and ecosystems that support food production through ecosystem services – called “associated biodiversity”. This includes all plants, animals and micro-organisms (such as insects, bats, birds, mangroves, corals, seagrasses, earthworms, soil-dwelling fungi and bacteria) that keep soils fertile, pollinate plants, purify water and air, keep fish and trees healthy, and fight crop and livestock pests and diseases. Agriculture and food systems are responsible for up to 80 percent of biodiversity loss, while only nine plant species account for 66 percent of total crop production, even though throughout history, more than 6 000 species have been cultivated for food. We currently rely on only three crops (wheat, maize and rice) to provide nearly 50 percent of the global dietary energy supply. The world’s livestock production is based on about 40 animal species, with only a handful providing the vast majority of meat, milk and eggs. Of the 7 745 local (occurring in one country) breeds of livestock reported globally, 26 percent are at risk of extinction. Nearly a third of fish stocks are overfished, more than half have reached their sustainable limit. A diverse variety of foods is crucial for providing healthy diets, strengthening the resilience of food and agriculture systems, and safeguarding the environment.

For further information:

- ✂ The biodiversity that is crucial for our food and agriculture is disappearing by the day (FAO, 2019b)
<http://www.fao.org/news/story/en/item/1180463/icode/>

Natural resources depletion: Food systems rely on a variety of natural resources, such as land, water, minerals, fossil fuels, biodiversity and ecosystem services. These resources are needed not only for agriculture and fisheries, but also to process, package, distribute and consume food. Agriculture and food systems continue to overuse increasingly limited natural resources – including water, forests and land. Indeed, agriculture accounts for up to 70 percent of all freshwater use and 80 percent of all deforestation, while more than one-quarter of the energy used globally is expended on food production and supply. Without a transformation of food systems, the potential of these resources to support food production will be reduced, resulting in lower crop yields, fish catches and

livestock production. It is crucial to avoid crossing critical thresholds or “tipping points”. Beyond these boundaries, feedback effects can further accelerate global environmental change, and processes of regeneration can become compromised (e.g. soil degradation) or impossible (e.g. species extinction).

For further information:

- ✂ The State of Food and Agriculture. Climate Change, Agriculture and Food Security (FAO, 2016)
<http://www.fao.org/3/i6030e/i6030e.pdf>
- ✂ Natural Resource and Environmental Dimensions of Agrifood Systems, Chapter 35 (Campanhola, C., *et al.* 2019)
<https://doi.org/10.1016/B978-0-12-812134-4.00035-2>

Inadequate level of generational turnover in agriculture, youth: Engagement of youth (both women and men) is key in making the transition towards sustainable and healthy agriculture and food systems. Youth are not simply objects or instruments of development and economic growth but are active citizens and agents and potentially powerful political, social actors of territorial development who can integrate modern agriculture methods with traditional knowledge. The migration of unemployed youth from country to city in search of employment is altering the demographic in the global South, contributing to an aged rural community as the global average age of farmers approaches 60 years.

For further information:

- ✂ Promoting youth engagement and employment in agriculture and food systems (HLPE, 2021)
<http://www.fao.org/3/cb5464en/cb5464en.pdf>
- ✂ Creating opportunities for rural youth (IFAD, 2019)
<https://www.ifad.org/ruraldevelopmentreport/>

Food loss and waste: Almost one-third of food produced for human consumption – approximately 1.3 billion tonnes per year – is either lost or wasted globally. The reduction of food loss and waste is essential to improve food security and to reduce the environmental footprint of food systems. The energy used to produce food that is lost or wasted is approximately 10 percent of the world’s total energy consumption, while the food waste footprint is equivalent to 3.5 Gt CO₂ of greenhouse gas emissions per year. Re-designing food systems can help address the global food waste challenge by making food value chains shorter and more resource-efficient (e.g. circular economy, short-value chains, etc.).

For further information:

- ✂ UN expert panel urges collective action to reduce global food losses, waste (United Nations, 2014)
<https://news.un.org/en/story/2014/07/472222-un-expert-panel-urges-collective-action-reduce-global-food-losses-waste>

Urbanization and its impacts: The world is experiencing unprecedented urban growth: By 2050, more than 68 percent of the world’s population is expected to live in urban areas. Urbanization can take shape in diverse socio-spatial

forms (mega-cities, smaller but rapidly growing cities, towns, conurbations, suburbs, rural villages and hinterlands), and can create uneven geographies and imbalance between urban and rural areas. Challenges of the urban context include health issues due to lack of adequate water, sanitation and hygiene facilities, pressures from high levels of employment instability, irregular housing and poverty. Significant levels of child undernutrition or micronutrient deficiencies, overweight/obesity due to the easy physical and financial access to ready-made meals and processed foods with high levels of fat, sugar and salt, diet-related non-communicable diseases are also concerning in urban areas. Considering that urbanization affects every aspect of our food systems, it is critical that cities are provided with high quality, fresh and nutritious food at affordable prices, where everyone working in the food sector can make a decent living today and tomorrow.

For further information:

- ✂ FAO Framework for the Urban Agenda (FAO, 2019c)
<http://www.fao.org/3/ca3151en/CA3151EN.pdf>

BOX 1.1 Vision statement of the UN Decade of Family Farming (FAO and IFAD, 2019)

A world where diverse, healthy and sustainable food and agricultural systems flourish, where resilient rural and urban communities enjoy a high quality of life in dignity, equity, free from hunger and poverty.

Family farming is essential to achieve this vision.

Sensible policies, programmes and regulations considering the needs of present and future generations must protect and expand the agency, inclusion and economic capacity of family farmers putting their diversity at the centre of sustainable development and contributing to the Agenda 2030. This journey must start now.



Crises and food systems: Crises have significant impacts on countries with high levels of food insecurity, primarily affecting the most vulnerable groups of the society and the poorest people. The recent COVID-19 crisis put lives and livelihoods at risk. While the disease impacted countries, societies and individuals at different speeds and intensities, it has been affecting both food supplies and demands, worldwide. COVID-19 showed that health is a public good, and underlined the importance of systemic and comprehensive interventions. To mitigate the pandemic's impact across the food system, both global and country interventions are necessary. Measures meant to preserve and readjust food supply chains need to be complemented with context-specific solutions using locally available resources and goods.

For further information:

- ✂ Coronavirus disease 2019 (COVID-19) and family farming (FAO, 2020)
<http://www.fao.org/3/cb0417en/CB0417EN.pdf>
- ✂ COVID-19 and smallholder producers' access to markets (FAO, 2020b)
<https://doi.org/10.4060/ca8657en>
- ✂ Responsible investment and COVID-19: Addressing impacts, risks and responsible business conduct in agricultural value chains (FAO, 2020c)
<http://www.fao.org/3/cb1602en/CB1602EN.pdf>

Resources

FLIPCHART 1. Statement for future food systems



**S
T
A
T
E
M
E
N
T**

OBJECTIVES

SESSION 1.2

Family farming in the country context

Learning objectives	<ul style="list-style-type: none">■ Identify the various dimensions and characteristics of family farming in your context.■ Link these dimensions to the UN Decade of Family Farming.■ Formulate an agreed “concept” of family farming in the country.
Key messages	<ul style="list-style-type: none">■ Family farming is context-specific and multidimensional.■ Family farming is essential for sustainable food systems.
Materials	<ul style="list-style-type: none">■ Flipcharts, sticky notes, computer, projector, markers, pens
Resources	<ul style="list-style-type: none">■ Flipchart 2: <i>What is family farming in your country/region?</i>■ PowerPoint presentation including data and information on family farming from the country (see Sheet 1.2) and key features of family farming as it is reflected in the UNDFG GAP.■ Flipchart 3: <i>Jointly agreed concept of family farming.</i>
Suggested time	1 HOUR 20 MINUTES
Comments and tips	<ul style="list-style-type: none">■ Depending on the context, inputs from participants can be collected through a more formal approach (giving the floor to participants by calling their name), or more informally by through a game (e.g. passing a ball from one participant to another).■ Other than the “concept of family farming” in the UNDFG GAP, the facilitator can present other region or country-specific concepts or definitions of family farming.■ A technical expert may be invited to deliver the presentation at the end of the session about family farming in the country or region.■ At the end of the session, participants can be invited to complement the presentation with information they are aware of through their work, experience or knowledge.
Handout	<ul style="list-style-type: none">■ PowerPoint presentation on family farming in the country in question.

Facilitator’s note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY BRAINSTORMING ON FAMILY FARMING

20 MIN

- The facilitator presents the main question of the session: **“What is family farming in the country?”** (Modify question by adding the name of the country where the training is being held).
- They invite participants to suggest elements which characterize family farming in the country (related to e.g. the size, management, labour, production, etc.).
- The suggestions can be written on sticky notes and collated on a flipchart.

GROUP WORK DEVELOPING CONCEPT ON FAMILY FARMING**30 MIN**

- The facilitator divides participants into smaller groups (5–6 per group).
- By using the earlier identified characteristics of family farming and adding new ones if needed, the facilitator invites the groups to develop a contextualized “concept” of family farming in the country in question. This concept can be written on a flipchart.
- Each group nominates a rapporteur.

PLENARY REPORTING BACK & FACILITATORS’ OR EXPERTS’ INPUT ON FAMILY FARMING **30 MIN**

- The rapporteur from each group presents their concept of family farming in the country in question on the flipchart.
- To complement these concepts, the facilitator provides a presentation including:
 - Data and information collected on family farming – Sheet 1.2. Contextualized presentation of family farming in the country/region with information included from the country in question.
 - Concept of family farming from the UNDF Global Action Plan and other key features of family farming (multidimensionality, UNDF GAP Pillars 5-6-7, etc.).
 - To complete the presentation, the facilitator should highlight that the identification of data and evidence about family farming is strategically important, as this creates a pool of information that can be used to support policy processes for the benefit of family farming.
 - This presentation can be disseminated as a handout.
- At the end of the session, the facilitator invites participants to consider all information presented and discussed, to **jointly formulate an agreed concept of family farming that will be used as the basis during the training.**
- The facilitator notes this agreed-upon concept on a flipchart and hangs it on the wall so all participants can see and refer to it during the learning process.

Technical background

The “concept” and key features of family farming

Family farming is a complex, multi-layered and multi-dimensional phenomenon where the farm and family, food production and life at home and in the community, farm ownership and work, traditional knowledge and innovative farming solutions, the past, present and future are all deeply intertwined (Bosc, *et al.*, 2018).

Diversity and heterogeneity: family farming refers to all types of family-based production models agricultural, forestry, fisheries, pastoral and aquaculture production. Considering this diversity, the concept of “family farming” can be expressed with different, country or region-specific terminologies. The term family farming is mostly used in Latin America, in the Caribbean and in West Africa with references to peasant agriculture (“Agricultura Familiar Campesina” or “Agriculture Familiare”). In Asia and other parts of Africa, smallholders, small-scale or household farming are commonly used terminologies. In practice, all these groups indicated with different terms, tend to largely, though not completely, overlap. Beyond these

mostly small-scale farming dominated regions, in North America or countries such as Australia and New Zealand, family farming is tend to be operated on a large scale (FAO, IFAD, 2019b).

Multidimensionality and interconnectedness: Family farming does not just produce food. It creates employment and generates economic development and simultaneously fulfils environmental, social and cultural functions, protects and maintains biodiversity, preserves landscapes and makes communities and cultural heritage flourish. Since family farming has proven its capacity to use highly productive, sustainable, resilient, innovative and dynamic agricultural practices, and thus produce nutritious and culturally appropriate food, it significantly contributes to achieving food security (Van der Ploeg, 2013).

- Family farming is characterized by a unique nexus between the family and the farm, where family life and the farming profession are strongly connected, and it is difficult to draw a border between the two elements. The family provides the main part of the labour force on the farm.
- Farms provide the farming family with a part or all of its income and food. Often, family farmers, especially small-scale farmers, carry out and combine various economic activities to ensure their family's income: While families produce and sell as a primary activity, their income is often complemented by additional formal or informal, permanent or temporary work.
- The family and the farm are part of the rural economy and are strongly embedded in the local communities and territories where they continuously interact, combine and mutually transform and renew ecological, economic and social resources. The family farm is part of a wider rural landscape and environment.
- The multifunctionality of family farming relates to farmers' roles within the community and as caretakers of the environment, allowing for efficient and sustainable use and management of natural resources, such as the conservation and sustainable use of biodiversity, the prevention of soil depletion, water pollution and environmental degradation as part of the provision of ecosystem services and landscape management. The role of women farmers in this context is paramount.
- Family farming also promotes social inclusion and equity, the preservation and transmission of knowledge and culture. The family is part of a flow that links past, present and future. The farm is the place where experience accumulates, learning takes place and knowledge is passed on. It is where culture is applied and preserved. This transmission of knowledge and information between generations is essential for ensuring the continuous renewal of family farming (FAO and IFAD, 2019).

BOX 1.2.1 Concept of family farming

Family farming is a means of organizing agricultural, forestry, fisheries, pastoral and aquaculture production that is managed and operated by a family and is primarily reliant on the family labour of both women and men (FAO, IFAD, 2019).

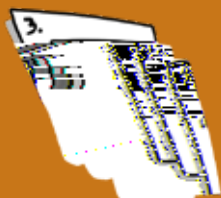
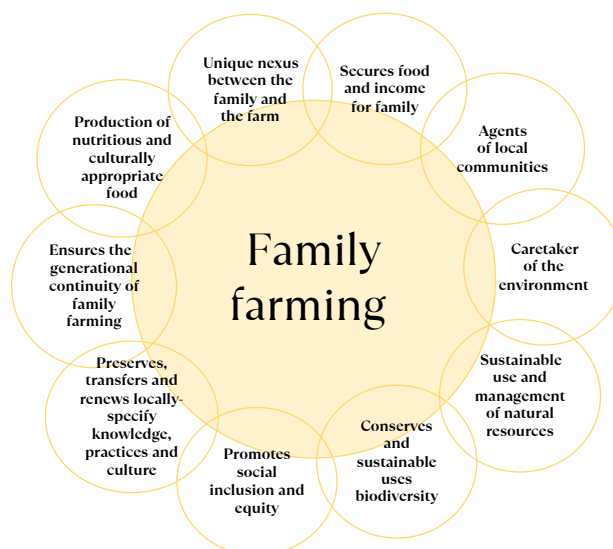


FIGURE 1.2 Key dimensions of family farming



Source: Developed by the authors, adapted from van der Ploeg, D. 2013. Ten qualities of family farming, pp. 8–11. Farming Matters. <https://library.wur.nl/WebQuery/wurpubs/fulltext/289501>

Key figures about family farming

- There are approximately 608 million farms in the world. More than 90 percent of all farms are run by an individual or a family and rely primarily on family labour. Family farming produces the majority of the world's food in value terms (Lowder, *et al.* 2021) and therefore is the foundation of food security and healthy and sustainable food systems. Estimates suggest that family farms occupy around 70–80 percent of farmland and produce more than 80 percent of the world's food in value terms.
- Family farms are mostly operated at small spatial scales, with 95 percent of farm units having an area of less than 5 ha and more than 98 percent of farms having less than 20 ha (HLPE, 2013).
- Species and crop richness increases with the decreasing of farm size (Ricciardi, *et al.*, 2021). Small (≤ 20 ha) and medium-sized farmers (>20 –50 ha) (i.e. the vast majority of family farmers) are the most important producers of nutrients worldwide (Herrero *et al.*, 2017). Globally, they produce between 51 percent and 77 percent of the volume of the major food groups for human consumption: cereals, fruits, pulses, roots and tubers, and vegetables, which are essential for healthy diets.
- “Family farmers, including smallholder producers, Indigenous Peoples and pastoralists, are at the heart of agroecology” (Romeo *et al.*, 2021, p. xi).
- Despite the fact that family farming is the foundation of food security and sustainable healthy food systems, family farmers are those who are most impacted by poverty and vulnerability, and face the highest levels of economic, financial, social and environmental risks. Small-scale food producers, especially women, youth, Indigenous Peoples and ethnic minorities, are among the most disadvantaged groups. 75 percent of the world's poorest live in rural areas and depend on agriculture for their livelihoods (IFAD, 2013). They often have limited access to natural resources, productive assets and markets.
- Small-scale fisheries contribute about half of global fish catches and employ almost 94 percent of the 120.4 million people employed in fisheries. About half of those employed are women who are mostly responsible for marketing and processing. 97 percent of the total employment in small-scale fisheries is concentrated in developing countries.
- An estimated 200 million pastoralists herd their animals on rangelands that cover a third of the earth's land surface. Up to 500 million pastoralists derive sustenance from extensive nomadic, semi-nomadic and transhumant livestock rearing (FAO, 2018d).
- Mountains cover more than one-quarter of the Earth's land surface and are home to 1.1 billion people. Mountain farming is largely operated by family farming (FAO, 2018d), who manage highly rich ecological systems and maintain genetic diversity: “Of the 20 plant species that supply 80 percent of the world's food, six (apples, barley, maize, potatoes, sorghum and tomatoes) originated in mountains, and a large proportion of domestic mammals (sheep, goats, yaks, llama and alpaca) originated or have been diversified in mountains” (Romeo *et al.*, 2021, p. 2).
- The unique combination of forest and farm resources has created complex natural resource management systems all over the world. Around 33 percent of forests are managed by Indigenous Peoples and local communities. There are over 370 million Indigenous Peoples living in more than 90 countries

BOX 1.2.2 Characterization of family farming at country level

For policy-making purposes, countries often select and define specific parameters as a base to set measures on who can belong to the group of family farming and therefore who can benefit from the specific policy. Knowing who family farmers are and where they are located is essential in identifying and responding to their needs. Moreover, the characterization of family farming allows planning differentiated public policy interventions, which are well adapted to the real needs of family farmers. These information systems vary from country to country and are sometimes called “family farming registries”. The parameters most often used include farm size, the use of family labour for production, with whom the responsibility for the management of the holding lies, yearly income or capital, and whether the family’s residence is on the holding or nearby.

For further information:
Multiple definitions of family farming by public policies in South and Central America – Chapter 1.1.7 (Bélières, J.F. et al., 2015).



across the world. They constitute about 5 percent of the world’s population yet account for about 15 percent of the world’s poor. Traditional Indigenous Peoples’ territories encompass up to 22 percent of the world’s land surface and coincide with areas that hold 80 percent of the planet’s biodiversity (FAO, 2018d).

■ Despite the paramount role of women farmers in family farming, they remain the most affected by poverty, social exclusion, and are more likely to have their basic human rights infringed upon. Almost 50 percent of farm labour is performed by women, but they hold only 15 percent of farmland. For every 100 men living in extreme poverty, there are 122 women (FAO and IFAD, 2019).

■ Youth are agents of change across all dimensions of food systems, they are important actors in the dynamic transformation of contemporary food systems (HLPE, 2021). The coming generations of family farmers play an important role to shape the future of food and agriculture. Despite the importance of youth entering into agriculture, farming population across the world is ageing often without adequate replacement by the next generation. Globally, 27.5 percent of agricultural holders are aged over 55 (Heide-Ottosen, 2014).

Resources

■ Sheet 1.2 is to be complemented by the facilitator, national expert, or researcher to collect and systematize data and information on family farming in the specific country or region. Consider the various sectors, such as peasants, Indigenous Peoples, fishers and fish workers, mountain farmers, forest farmers, pastoralists, women and youth. This table should be filled with existing data and used to support the presentation at the end of this session.

■ For information, consult relevant national and international agricultural and rural development statistics and studies, such as household surveys, agricultural census, academic studies and publications, and visit the FAO STAT, Family Farming Knowledge Platform or to the World Agriculture Watch.

■ The facilitator is invited to complement the characterization with other relevant information.

■ With this presentation, the facilitator should remind participants that the identification of data and evidence about family farming is strategically important, as this generated pool of information, can then inform and support policy processes for the benefit of family farming.

SHEET 1.2 Contextualized presentation of family farming in the country/region

CATEGORY/ PARAMETERS	DESCRIPTION	INFORMATION FROM THE COUNTRY
Family	Nuclear family? Larger family? Community based? Other?	
Farm management	How many farms in the country are managed by the family? Of all farms, what is the percentage of family-managed farms?	
Farms	What is the total number of farms? What is the average size of farms? What is the most prevalent farm size?	
Producers	Providing data is available, what is the average age of farmers? Providing data is available, what is the number of farms led by youth (under 35)? Providing data is available, what is the number of farms led by women in the country? Providing data is available, what is the average number of hired labour?	
Most common type of production by family farming in the country? Please describe.	Crop production, as in which crop types are dominant? Livestock husbandry Pastoralism, animal husbandry that requires moving with herd Capture fisheries Aquaculture Forestry, agroforestry	
Labour	Is family labour used for agricultural production? Are temporary or permanent workers used on the farm? If yes, what is the average number of temporary/permanent workers? Is community supported agriculture relevant? If yes, please describe.	
Available natural resources for family farming		
Describe the dominant agricultural production model in the territory/ country/region	Conventional? Conservation agriculture? Organic? Agroecology? Other?	
Farming and other income-generating opportunities	Which is more dominant, full-time or part-time farming? Do farmers undertake other income-generating activities? If yes, what?	
Women in family farming and in the local community	What are the most common activities undertaken by women on the farm and in the community?	
Family farmers' organizations	Are family farmers organized in associations/cooperatives/ unions or other types of networks. If so, please list them.	
On-farm investment made by family farmers		
Other relevant information		

LEARNING STAGE 2

Principles of public policies for family farming



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2 Principles of public policies for family farming

2.1 The concept of public policy

2.2 Public policies for family farming: national trajectories, beneficiaries and themes

2.3 Actors and institutions in policy process

2.4 Introducing the policy cycle model

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION 2.1

The concept of public policy

Learning objectives	<ul style="list-style-type: none">■ Reflect on the concept of public policy.■ Explore policy definitions, dimensions classification and typologies.
Key messages	<ul style="list-style-type: none">■ Public policy involves the actions of states and governments to address public problems and needs.■ Public policies and their classification and typologies define different ways in which public interventions can take place and attribute benefits and costs in society with different patterns of political behaviour and mobilization.
Materials	<ul style="list-style-type: none">■ Sticky notes, pens, flipcharts, computer, projector
Resources	<ul style="list-style-type: none">■ Policy scenarios presented in fictional news articles■ Sheet 2.1 for the exercise■ PowerPoint presentation 2.1. <i>Public Policies – definition and main features: dimensions, classifications and typologies</i>
Suggested time	2 HOUR 10 MINUTES
Comments and tips	<ul style="list-style-type: none">■ Depending on time availability and on the national context and interest, the session can be shorter or longer, focusing discussions and exercises on policy typologies and classification or just on one of the two aspects.■ For the exercise, the facilitator may collect news articles from the national press, ensuring policy classification and typologies can be gleaned from them.■ To facilitate the discussion related to the policy news exercise, facilitators can rely on information included in 2.1.4. Solutions for the exercise on policy news on public policies.
Handouts	<ul style="list-style-type: none">■ Box 2.1. Public policy definitions■ Table 2.1.1. Dimensions of public policies■ Table 2.1.2. Public policy classification■ Table 2.1.3. Public policy typologies

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

INDIVIDUAL EXERCISE GENERATING INPUTS ON PUBLIC POLICY DEFINITION **30 MIN**

- The facilitator introduces the main focus of the session and invites participants to individually generate and write on sticky notes their ideas concerning two specific questions:
 - **What is a public policy and what is it for?**
 - **What are the main features of said public policy?**
- After 5-8 minutes, the facilitator asks participants to present and stick their notes on the whiteboard, which should be placed somewhere in the room that is visible to all participants. While participants are gradually posting their definitions on the whiteboard, the trainer should start to group ideas.

PLENARY FACILITATOR'S INPUT ON PUBLIC POLICIES **30 MIN**

- To complete the discussion on the definition of public policies and its dimensions/ typologies/classification, the facilitator provides a brief PowerPoint presentation (see Resources).
- At the end of the presentation, the facilitator distributes Box 2.1, Table 2.1.1, Table 2.1.2 and Table 2.1.3 as handouts.

GROUP WORK NEWS ON PUBLIC POLICIES **40 MIN**

- Participants are divided into smaller groups of 5-6 people.
- The facilitator distributes the news articles about an action or measure undertaken by the government that affects family farmers (see Resources).
- Participants read the article individually, and then, in their respective groups, reply to the guiding question: **Which policy classifications and typologies do you recognize in the news article?** In the groups, participants can take notes on sheet 2.1 distributed for the exercise, to detail, under which policy classification and typology the policy presented in the news article falls, and why.
- Each group should nominate a rapporteur.

PLENARY REPORTING BACK: POLICY TYPOLOGIES/CLASSIFICATION **30 MIN**

- Each group has up to 5 minutes to report to the plenary by reading or presenting the content of the news article and the information they included in sheet 2.1. After each group's presentation, the facilitator moderates the plenary discussion where participants from other groups can raise questions or add further points. The facilitator can rely on information included in table 2.1.4. Solutions for the exercise on policy news on public policies to underline and elaborate on the implications of different policy typologies/classification.

Technical background

Key features of public policies

- Public problems can be addressed by “doing something” but also by “not doing something”. “Inaction becomes a **public policy** when officials decline to act on a problem” (Anderson, 2011, p. 9).
- Public policies are primarily made by **state actors** in their “mandate” to solve problems that affect societies. While non-state actors also deal with public problems through autonomous actions, these actions cannot be defined as public policy (despite their importance and social impact). In cases where public policies count on the participation of non-state actors, this takes place under the initiative and rules established by state actors.
- If public policies are the materialization of the intention of the governments to address public problems, they are also the product of the demands of different actors that are forged through the political system.
- Public policies are **not isolated**, single or *ad hoc* actions, but reveal an intention, and the establishment of a set of informed decisions and activities organized to achieve a determined objective and generate a desired change. They are developed within a broader political environment, including several other existing policies that can influence one another. Moreover, this influence extends to previous policies that have since been removed, replaced or updated by previous governments.¹
- The definitions suggest a **rational planning process** (Hill and Varone, 2017) and a **problem-solving approach** (Howlett, Perl and Ramesh, 2009). However, because of the interactions and competition between different actors and an environment characterized by uncertainty and complexity, public policies do not always address public problems in a rational way. Sometimes, public policies are designed chaotically, with ambiguous or contradictory statements. They may reveal contrasting intentions, or they may conceal ulterior motivations or intentions.
- Note: **Project** can be defined as “an individual development intervention designed to achieve specific objectives within specified resources and implementation schedules, often within the framework of a broader programme” (OECD, 2002). Compared to a programme, strategy or plan, which target broader objectives and runs without an end date, projects usually have more specific/narrow objectives and a pre-defined timeframe. Various distinct projects can be part of a programme or can be developed and interacted with external actors.

¹ See Hill and Varone (2017) for an initial discussion of the issues of policy succession and termination, which will be further explored in the following sessions.

BOX 2.1 Definitions of public policy

Public policy can be defined as:

- 1) *Anything a government chooses to do or not to do* (Dye, 1972).
- 2) A set of interrelated decisions taken by a political actor or group of actors concerning the selection of goals and the means of achieving them within a specified situation (Jenkins, 1978)
- 3) A relatively stable, purposive course of action or inaction followed by an actor or set of actors in dealing with a problem or matter of concern (Anderson, 2011).



Dimensions of public policy

One way to conceptualize public policy is to consider its different dimensions. These may include interrelated (1) authoritative, (2) legal, (3) managerial, (4) financial and (5) temporal dimensions. The various dimensions are illustrated with elements of the Philippines' Magna Carta of Small Farmers (see in Annex 1).

FIGURE 2.1 Dimensions of public policy



TABLE 2.1.1 Dimensions of public policies

NAME	THEORETICAL DESCRIPTION	POLICY EXAMPLE
Authoritative dimension	Public policies are established under a legal framework (especially in constitutions) and an organizational structure that gives states the ability to oblige people and organizations to follow the rules, and to sanction them in cases of non-compliance. It also gives citizens and organizations the prerogative to request the government (and other actors) to enforce the same rules and provisions. Citizens tend to recognize (to a greater or lesser degree and scope) the legitimacy of directions and rules established by the state, based on the understanding that the state represents citizens and organizes the most essential collective aspects of a society (and because of that, state rules shall be followed in a mandatory way), or because the state has the means to coercively make them act in a determined way.	<i>The Magna Carta of Small Farmers in the Philippines gives the responsibility to the government to promote small farmers' welfare and support their development. The law gives the government legitimacy to intervene to guarantee small farmers' equitable access to productive resources and empower them to participate in the national agricultural development.</i>
Legal dimension	In modern states, decisions and actions are established through a formal legal system and law-making process. This is generically referred to as "the rule of law", or the principle of legality, which establishes the limits of legitimate state action. States can only operate (and consequently oblige and sanction anyone) if there is an existing provision in a primary law (or in a secondary or subsidiary legislation that derives from a law). Public policies are established by legislation and infra-legal regulations and instruments, developed through formal rule-making processes. A second legal dimension is related to the fact that public policies are a concrete tool for the realization of different rights asserted by national and international legal frameworks.	<i>The Magna Carta was adopted under a new constitution and followed a sequence of rules to become valid legislation. Technical legislative committees, governmental agencies, and non-state actors participated in public hearings and drafted different proposals. The House of Representatives and the Senate debated and voted a consolidated version. With the President's posterior ratification in 1992, it formally entered into the country's legal system and shall be observed by all.</i>
Managerial dimension	Public policies involve a set of informed decisions and actions rather than a single act (see definitions above). Therefore, planning processes are necessary to establish, structure and implement the different elements of a public policy. This involves a complex process to define the content of a policy – for example, gathering and using data to frame a problem, defining the beneficiaries (and/or targeted groups), activities that will be implemented, related outputs (service delivery, different types of restrictions or social and economic regulations, tax collection, financial benefits, educative campaigns, etc.), desired outcomes/impacts, organizations that will be responsible for implementing the policy, etc.	<i>The Department of Agriculture of the Philippines is responsible for the planning and implementation, with the help of regional field offices, local governments and other partners. Directives and operational routines were established to organize the process. One of its areas of intervention is to ensure access to farm equipment and machinery facilities. Local governments and farmers' organizations submit the machinery requests. It involves procuring and distributing them to selected family farmers' organizations, delivering supportive services organized around commodity clusters (banana, cacao, cassava, coffee, fruit, rice corn, livestock, etc.) and monitoring the use.</i>

NAME	THEORETICAL DESCRIPTION	POLICY EXAMPLE
Financial dimension	Most public policies require financial resources to be implemented. Financial considerations will be important in deciding between different technical alternatives and instruments to enact a public policy. Public policies are assigned budgets to cover their costs and must follow several rules on how the budget is spent.	<i>The financial resources to buy and deliver equipment and machinery facilities must be inserted in the Philippines Department of Agriculture's annual budget. Similarly, national and local governments should establish their budgets to pay personnel who will deliver and supervise agricultural support services. An annual budgetary law is voted by the legislative branch, authorizing the executive branch to spend public resources while implement policies. Public budgets can be complemented, for instance, by external funds provided by development partners or private donors.</i>
Temporal dimension	Public policies are formed by successive and cumulative decisions and actions that unfold over time. For more complex public problems, more time is generally required to develop a policy (considering all the other dimensions), and to evaluate its impact after it has been established. Moreover, public policies are often influenced by, or are derived from, previous policies.	<i>The Magna Carta was preceded by a new constitution and influenced by policies that, in the last decades, tried to promote agrarian reforms (like the Comprehensive Agrarian Reform Act from 1988). After almost thirty years since its adoption, the Magna Carta became a reference and is consolidated in the implementing organizations' routine operations. It is connected and interacts with other posterior policies that also impact small family farmers in the Philippines, like the Agriculture and Fisheries Modernization and Mechanization Acts. The government monitors the access to machinery and adoption of relevant mechanized technologies and its possible contribution to the expansion of cropped areas, land productivity, and labour-saving.</i>
Technical-operational dimension (transversal)	Policies involve complex processes of framing public problems, deciding on which course of action to follow, establishing content, processes and costs, and managing decisions, activities and organizations in a coherent and sequential way that allows the policy to reach its objectives.	<i>The technical operation dimension is present in the Magna Carta, for instance, in the formal law-making process, in the way it defines small farmers' problems, the types of interventions selected to address them, the assigned budget and how actors organize to implement the policy.</i>
Political dimension (transversal)	Public policies are established by the state and impact the daily lives of citizens and organizations. The choice of a policy's content and instruments are technical questions, but they are also political questions as they "involve conflict and struggle among individuals and groups, officials and agencies, with conflicting ideas, interests, values and information on public-policy issues" (Anderson, 2011, p 11).	<i>The political dimension appears when the Magna Carta expresses one vision of commitment to empower family farming. Based on this vision, governmental organizations act with specific interventions, which directly impact farmers' lives and their organizations. It guarantees representation to farmers' organizations in policy-making processes and national government agencies. The amount of annual budget (a "technical" issue at first sight) is indicative of the real governmental priority level, beyond the official narrative.</i>

Public policies reveal aspects of the exercise of power and division of resources among different groups in society, and who has more influence and capacity to mobilize the government's actions and the state's structure toward their demands and needs. In conclusion, policy content and instruments are technical matters, but they are also political questions as they "involve conflict and struggle among individuals and groups, officials and agencies, with conflicting ideas, interests, values, and information on public-policy issues" (Anderson, 2011, p. 11).

Classification of public policies

In order to recognize patterns, including similarities and differences, and to better understand a complex environment of multiple interacting policies, public policies can be organized under the classification and typologies presented.

The classification of public policies is important because it can help identify distinct trajectories in different policy sectors, and demonstrates what issues governments prioritize as public problems and how they deal with them.

Beyond (1) thematic/sectoral classification, policy theories consider: (2) the level of government involvement, (3) the participation of other actors (Lippi, 2020), and inter-sectoral and transversal policies.

A. Thematic/sectoral policies

At a basic level, public policies can be grouped according to thematic/sectoral focus (Lippi, 2020) for example, health, education, infrastructure, environment, tourism, housing, social protection, agriculture, fiscal policy, etc. Classification by themes/sectors generates several groups and sub-groups of policies, reflecting the large number and different types of public problems and needs that governments try to address.

From these criteria it is also possible to classify policies into more general groups, such as economic or social policies, or to subdivide a broad policy theme into more specific sub-themes. For example, health policy aggregates various specialist fields (e.g. prevention, care and treatment, pharmaceutical policy, etc.). In some countries, family farming is considered a sub-theme of a broad agricultural policy. In others, it is considered a specific and separate thematic policy field. In both situations, it is possible to classify family farming policies into more focused categories. Some countries have diversified sets of policies, while others cover a more limited range. It is also possible to identify groups of policies that are not directly targeted at family farming but have an indirect influence, such as environmental policies.

Sectoral public policies are the most common way states organize their actions and administrative structures by creating specialized units (ministries, agencies, bureaus, departments, etc.) with dedicated personnel and budgets. Some traditional policy fields such as health or education may have a more consolidated trajectory, with relatively stable sets of policies and programmes. Other fields are more recent and reflect emerging problems that have challenged states and governments, leading to the creation of new policies and programmes (e.g. climate change, gender equality and digitalization).

From the thematic/sectoral basic classification, other useful criteria can be applied:

TABLE 2.1.2 Public policy classification

NAME	THEORETICAL DESCRIPTION	POLICY EXAMPLE
The level of government policy “ownership” or entitlement	Policies can be managed by supranational, central/federal, regional/provincial, or municipal governments. Entitlements can also be shared by more than one level of government, sharing joint responsibilities in policy-making. Different levels of government can (and probably will) have different rules regarding policy-making processes.	<i>In Kenya, the new 2010 Constitution established a devolution process of several themes, including agriculture, from national to county governments. It required counties to formulate comprehensive policy frameworks to promote and regulate agriculture in their territories.</i>
The involvement or participation of other state and non-state actors	Policies can be exclusively managed by a single responsible agency, or they can include the participation of other levels of government, NGOs, universities, farmers’ organizations and private firms at different stages of the process. Different policy-making styles can be more hierarchical or more participatory. Governments can manage policies exclusively through their own administrative structures and personnel or they can opt to involve other actors at specific moments of the policy process or on particular parts of the policy. These different styles reveal distinct visions of the roles of the state, markets, and civil society, but also limitations on the available alternatives to deal with public problems.	<i>In Guatemala, various international partners assisted the National Government in designing the policy framework that created the protected forest area and a forestry concession instrument. This assistance included the provision of financial resources and technical assistance to strengthen community organizations’ management and attain international sustainable wood certification to increase access to markets.</i>
Inter- or cross-sectoral	Public policies that address themes or problems that demand the involvement of different policy sectors, such as policies that address rural poverty to mitigate a multidimensional problem. When considering the needs of the rural poor and other vulnerable groups in society, it will be necessary to coordinate several different sectoral policies, each with specific actions already targeted at these groups to be more effective and to generate better outcomes.	<i>In Viet Nam, the New Agriculture and Rural Development Programme built standards to guide and qualify communes, districts and provinces. Standards have 19 criteria covering 11 themes, such as infrastructure, socioeconomic development, social protection, cultural life, environment, education and training, water and sanitation, and health, etc. Under the guidance of a Central Coordinating Office, agencies from central to local levels have specific functions and tasks to ensure the programme’s implementation and reach of standards. In the project called Bahia Produtiva in Brazil, the territorial approach is to organize the activities and give grants to family farmers’ organizations. The state is divided into 27 “identity territories” based on their socioeconomic and geographic characteristics. The territorial approach complements other criteria, like the most important value chains for family farming and support to specific sub-groups of beneficiaries. The identity territories also organize the delivery of federal policies to family farming, poverty reduction and food security.</i>

NAME	THEORETICAL DESCRIPTION	POLICY EXAMPLE
Cross-cutting or transversal^a	They address public problems that are not confined by sectoral boundaries, policies to address wider inequalities in society, which may cut across multiple sectors in different ways. For instance, the promotion of gender equality aims at influencing existing policies by proposing new approaches and offering guidance on how sectoral policies can include a gender perspective in their activities by reorganizing or updating them. Transversal policies were designed to address issues related to equity and inclusion: to counter racial discrimination, promote human rights, to protect and enhance the well-being of potentially vulnerable groups (e.g. people with disabilities, the LGBTQ+ community).	<i>In Brazil, the transversal approach to youth on family farming related policies are being progressively developed, identifying specific entry points. The National Programme on Land Credit, for instance, established one specific credit line labelled “Our First Land” to grant land access to youth. It helped young farmers’ access land next to their family’s land. The credit policy can be accessed by youth to build infrastructure and contract technical assistance services to promote viable and sustainable productive projects. Beneficiaries of the policy have priority access to other federal programmes targeting family farming.</i>

Note:

^a The terms cross-cutting/transversal and inter-/cross-sectoral policies are often used as synonyms (Marcondes, Sandim and Diniz, 2018). Inter-/cross-sectoral is generally used for policy situations where the organs/units responsible for specific (but still not adequately integrated) actions already exist, and some type of coordination arrangement is needed to achieve more effectiveness. Cross-cutting or transversal policies, in contrast, are used to describe emerging themes or perspectives that need to be incorporated into traditional sectoral policymaking processes. These themes are often associated with the specific challenges or vulnerabilities facing particular groups. This is considered a public problem when it perpetuates socioeconomic inequalities, discrimination, disadvantage or exclusion, with new or amended policies established in response.

B. New management strategies towards integrated policies to address the limitations of sectoral policies

Cross-sectoral and transversal policies can be described as new management strategies developed to address limitations of sectoral policies and provide more effective answers to complex public problems.

They acknowledge historical and structural aspects of the vulnerability and exclusion of marginalized groups (and consider these when framing a problem that public policy is supposed to address). They aim at promoting better opportunities including improved access to and coordination among sectoral policies.

They also demonstrate different possibilities to organize the activities of the state, moving beyond the isolated actions of specialized and hierarchical policy units, by also introducing new types of policies based on specific groups or territories and non-hierarchical coordination arrangements. It remains evident that sectoral policies are fundamental and will continue to exert their function. However, they can be strengthened and expanded by the new approaches introduced by cross-sectoral and transversal policies.

The turn towards more holistic approaches can be seen as a response to a mismatch between traditional sectoral policies (dealing strictly with agricultural production) and to the need to effectively address the multidimensional characteristics of family farming, which require integrated and comprehensive policies managed through inter-institutional coordination mechanisms.

In the Latin American context, for instance, although the debate on gender advanced in the last decades and became part of the policy and legal environment, equitable access to inputs, credit and extension services still remains a challenge. Despite the progress on innovative projects that promoted food security and productive inclusion of women farmers, there is a need to promote capacity building for policymakers and farmer's organizations and adopt a broader gender perspective that includes their partners and other men in the families and communities (for more details see PROMETE in 3.2).

More recently, integrated approaches to provide opportunities for rural youth are gaining attraction, also to ensure generational turnover in family farming, considering the increasingly ageing farming populations and de-population of rural areas.

Policy typologies

The Lowi's policy typology can be used as a descriptive and analytical tool.² It focuses on the authoritative dimension of public policies. Using a matrix, it presents four main types of public policies based on different patterns of state coercion as applied to individuals, groups and organizations. The four policy types are: constituency, regulatory, distributive and redistributive (see Table 2.1.3).

The four policy types are not mutually exclusive. The classification of some public policies within one typology is open to debate, while other public policies may exhibit characteristics of more than one type of policy (to a greater or lesser degree). The balance of these characteristics can also shift over time as policies evolve.

² This section introduces the policy typology developed by Theodore Lowi (1972). The description of policy types was enriched by another bi-dimensional matrix built by James Wilson (1973) considering distribution of costs and benefits inside public policies (disperse or concentrated).

TABLE 2.1.3 Public policy typologies

NAME	THEORETICAL DESCRIPTION	POLICY EXAMPLE
Regulatory	Establish limitations or restrictions to the social and economic behaviour of individuals, groups and organizations. These policies try to prevent an undesirable behaviour from happening, sanction it and/or encouraging desirable behaviour by establishing positive incentives, e.g. regulations of pesticides use in agriculture (under threat of sanction), policies defining criteria for certified organic production (with price premiums and favourable lines of credit for those who follow the procedures).	<i>Policies and programmes related to family farming may share a mixture of distributive, regulatory and redistributive characteristics. As in the case of local policies supporting urban and peri-urban agriculture in Kenyan cities. The policy trajectory shows an initial turning point when a broad constitutional reform makes urban and peri-urban agriculture legal and defines mandatory support and regulation at the local level (constituency policy). The initial policy framework promoted several activities though extension and veterinary services to stimulate family farmers with low income to produce food by facilitating their access to inputs and equipment (distributive policy). At the same time, urban and peri-urban agriculture has to consider issues such as food safety, sanitation, public health, environmental protection, and urban planning that may limit farmers' activities (regulatory policy). Questions such as access, tenure, and specific uses in public and private land evidence aspects of a redistributive policies.</i>
Distributive	Establish and distribute tangible and focused benefits to a group of eligible beneficiaries. Groups of beneficiaries can be large or small. These policies are usually financed by a general system of taxation paid by individuals and firms. While it may be easier to identify the beneficiaries of the policy, the costs are diffused and distributed throughout the society. Family farming policies often fall in this category: For example, policies that provide access to credit, technical assistance and markets, education, social protection services, etc.	
Redistributive	Establish tangible and focused benefits that are directed to an eligible group of beneficiaries. Groups of beneficiaries can be large or small. However, the costs of the policy are also focused on a specific group, who support the cost of making benefits available to the beneficiary group(s). These policies may be used as instruments to reduce socioeconomic inequalities, transferring resources from specific groups to others. For example, fiscal policies that establish progressive taxes on income, property and land; policies that expropriate and redistribute unproductive land.	
Constituency	Establish the rules governing the structures and the functioning of the state (e.g. laws that define the policy-making process, laws that create new state structures such as ministries and agencies, rules on government budgets and spending, personnel, etc.). Laws, which define family farming and set rules for their identification (and registration – see Session 1.2) can be considered constituency policies, as they also set the rules of accessing other policies.	

Resources

POWERPOINT PRESENTATION 2.1 The concept of public policy

SESSION 2.1 The concept of public policy



1. Definitions of public policy

- 1) Anything a government chooses to **do or not to do**.
- 2) A set of interrelated decisions taken by a political actor or group of actors concerning the selection of **goals and the means of achieving them within a specified situation (...)**
- 3) A relatively stable, purposive course of action or inaction followed by an actor or set of actors in **dealing with a problem or matter of concern**.

- It is the materialization of the intention of the governments to address public problems, they are also the product of the demands of different actors.
- Non-state actors also deal with public problems through autonomous actions, but these actions cannot be defined as public policy.
- They are **not isolated**, single or ad-hoc actions, but reveal an intention, and the establishment of a set of informed decisions and activities organized to achieve a determined objective and generate a desired change.
- Require rational planning process and a problem-solving approach.

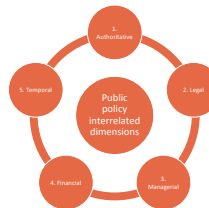


2. Dimensions of public policies

1. **Authoritative dimension**
 - established under a legal framework (constitutions)
 - gives states the ability to oblige people and organizations to follow the rules and to sanction them in cases of non-compliance
2. **Legal dimension**
 - established by legislation and infra-legal regulations and instruments, developed through formal rule-making processes.
 - concrete tools for the realization of different rights asserted by national and international legal frameworks
3. **Managerial dimension**
 - set of informed decisions and actions including the definition of the problem,
 - definition of activities to be implemented, related outputs (service delivery, different types of restrictions or social and economic regulations, tax collection, financial benefits, educative campaigns, etc.), desired outcomes/impacts, etc.
4. **Financial dimension**
 - identification of financial resources to implement policies, assign budgets to cover costs
5. **Temporal dimension**
 - formed by successive and cumulative decisions and actions that unfold over time, often influenced by, or are derived from previous policies.

Transversal dimensions

- **Technical-operational dimension:** complex processes of framing public problems, deciding on which course of action to follow, establishing content, processes and costs, and managing decisions, activities and organizations in a coherent and sequential.
- **Political dimension:** Public policies are established by Governments and impact the daily lives of citizens, organizations, and firms; citizens respond to these demands.



3. Classification of public policies

- | | |
|--|---|
| Thematic/sectoral policies | Thematic/sectoral focus: health, education, infrastructure, environment, tourism, housing, social protection, agriculture, fiscal policy, etc. This can generate several groups and sub-groups of policies, reflecting the large number and different types of public problems to be addresses. |
| Levels of government - "ownership" or entitlement | Supranational, central/federal, regional/provincial, or municipal governments. Entitlements and responsibilities can be shared by more than one level of government – applying different rules. |
| Involvement or participation actors | Management can be done by a single responsible agency, or with the participation of other levels of government, NGOs and private firms at different stages of the process. Policymaking styles can be hierarchical or participatory, revealing distinct visions of the roles of the state, markets and civil society, but also limitations on the available alternatives. |
| Inter- or cross-sectoral | Require the involvement of different policy sectors. |
| Cross-cutting or transversal | Transversal policies were designed to address issues related to equity and inclusion: to counter racial discrimination, promote human rights, to protect and enhance the wellbeing of potentially vulnerable groups (e.g. persons with disabilities, elderly, LGBTQ+, Indigenous Peoples.) |

4. Typologies of public policies

- | | |
|-----------------------|---|
| Regulatory | Establish limitations or restrictions to the social and economic behaviour of individuals, groups and organizations, to prevent and/or incentivise different behaviour |
| Distributive | Establish and distribute tangible and focused benefits to a group of eligible beneficiaries financed by a general system of taxation paid by individuals and firms. |
| Redistributive | Establish tangible and focused benefits that are directed to an eligible group of beneficiaries. |
| Constitutiony | Establish the rules governing the structures and the functioning of the state (e.g. laws that define the policymaking process, laws that create new state structures such as ministries and agencies, rules on government budgets and spending, personnel, etc.). |



Policy scenarios presented in fictional news articles

These five news articles have been created based on real cases to introduce participants to the session topics. They provide a brief narrative that evidences policy dimensions, classifications, and typologies discussed and exemplified in the technical background.

Avalon plans for change

An integrated plan announced

By staff reporters

The central government of Avalon announced an integrated plan to strengthen public policies to fight rural poverty, promote regional socioeconomic development, and improve the quality of life of thousands of families, while ensuring their rights and citizenship.

A government spokesperson explained that policies will be developed through an established cross-ministry working group in close dialogue with province councils representing the local governments, farmer organizations and the other members of rural communities.

The main lines of action are focused on six areas: improving rural infrastructure, providing support for family farmers' productive activities, social protection, food security and nutrition, health and education. In line with the available ministry programmes, each province will propose a local development plan.



©FAO/Hudson Guerrero Michelan

Farmers' protection against pesticides in Laputa

By staff reporters

The Ministries of Health, Environment and Agriculture in Laputa are worried about the smallholder farmers' exposure to pesticides. Although smallholders tend to use smaller quantities compared to intensive, larger-scale agricultural holdings, they do not often use individual protective equipment nor make adequate disposal of the pesticide packages. Following technical advice, the ministries decided to target this problem. Their main recommendations were i) to restrict the commercialization and use of pesticides classified at a higher level on the scale of risk and toxicity; ii) to qualify extension services to provide information and training for farmers on agroecological farming practices and integrated pest management.

Land for all

By staff reporters

The National Parliament of Eldia recently enacted a law creating a Land Redistribution Programme. The objective is to reduce the imbalance in the country's land distribution and to address the root causes of rural poverty by empowering smallholder family farmers, Indigenous Peoples and other traditional communities.

The law establishes two main instruments to implement the programme: It authorizes the Ministry of Rural Development to expropriate land and redistribute it in small plots. It also authorizes the Ministry of Finance to create and collect a new tax. The tax will be levied upon medium and large-scale commercial farms, with the revenue utilized to fund housing and productive projects to assist the beneficiaries. Several associations representing different segments of the farming sector are now discussing the programme's details with the two ministries, including the criteria by which land can be expropriated, the price to be paid and a progressive tax rate, considering different sized farms.

Gender equality in Mypos

By staff reporters

A recently created division within the Presidential Cabinet of Mypos has been credited with supporting a shift to make agricultural policies targeting family farmers more responsive to the needs of rural women. The division has a mandate to promote gender equity in all policies implemented by the government.

After six months of consultation between the Ministry of Agriculture and rural women's movements, it was agreed that existing programmes targeting family farmers would be tailored to better respond to the demands and specific needs of women. The ministry will provide training on gender equity for its units and partners, designed with the help of beneficiaries. Important policy changes include the establishment of new and additional credit lines for women with low interest rates, and specific guidelines to guarantee that technical assistance programmes are more attentive to women's priorities within the productive activities of the family farm. The ministry also pledged to establish annual funding and participation quotas for women in all technical assistance projects. In addition, partner organizations will be required to have technical teams comprised of at least 30 percent women.

Parador's procurement law

By staff reporters

The Parliament and the National Department of Agriculture in Parador are working on the current legislation and administrative procedures of institutional food procurement (especially for schools) to strengthen

family farming. During the public hearings held, farmers' organizations explained that the Procurement System's rules make it extremely difficult for smallholder farmers to sell their products to formal state

organizations. If approved, the new legislation will allow preferential access to institutional food procurement, introduce flexible contractual arrangements with speedier payment and improve

students' diet diversity. The review of the national legal framework can also incentivize local procurement from province governments.

TABLE 2.1.4 Solutions for the exercise on NEWS ON PUBLIC POLICIES

ARTICLE 1		ARTICLE 2		ARTICLE 3		ARTICLE 4		ARTICLE 5	
CLASSIFICATION									
The level of government that exercises policy "ownership" or entitlement	Leadership by central government, involving province councils.	Leadership by government through Ministries of Health, Environmental and Agriculture	Leadership by national parliament and two government bodies (Ministry of Rural Development and Finance)	Leadership from national level, by the presidential cabinet, central government	Leadership by both national (Parliament and National Department of Agriculture) and province level entities				
The involvement or participation of other state and non-state actors	Establishment of cross-ministerial working group; Collaboration with province councils: local government, family farmers' organization, other rural community representatives	Extension service	2 ministries, farmer organizations (from different scale), Indigenous Peoples, traditional communities, private sector	Cabinet, ministry of agriculture, women associations and other non-state actors	Department of Agriculture; province level government, family farmers' organizations.				
Inter- or cross-sectoral	Yes, rural infrastructure, agriculture, social protection, health and education	Yes, involving three different ministries: health, environment and agriculture	Yes, involving land, finance and agriculture sector. Addressing income, inequality, rural poverty, housing and taxation.	Yes, addressing financial and technical issues relevant for rural women	Yes, involving education, agriculture and financial sectors.				
Cross-cutting or transversal	Not relevant	Not relevant	Not relevant	Promotes gender equality	Not relevant				
TYPOLOGY									
Regulatory	DISTRIBUTIVE	REGULATORY				REGULATORY			
Distributive					DISTRIBUTIVE				
Redistributive			REISTRIBUTIVE						
Constituency					CONSTITUENCY				

SHEET 2.1 Notes on policy classification and typologies

CLASSIFICATION	NOTES RELATED TO THE NEWS
The level of government that exercises policy "ownership" or entitlement	
The involvement or participation of other state and non-state actors	
Inter- or cross-sectoral	
Cross-cutting or transversal	
TYPOLOGY	
Regulatory	
Distributive	
Redistributive	
Constituency	

SESSION 2.2

Public policies for family farming: national trajectories, beneficiaries and themes

Learning objectives	<ul style="list-style-type: none">■ Map and construct a set of existing national (and regional, if relevant) policies targeted at and relevant to family farming.■ Identify main themes and highlight gaps and interconnections in the policy framework.
Key messages	<ul style="list-style-type: none">■ To adequately address the multidimensionality of family farming in public policies, an integrated policy framework is necessary. Beyond policies which support the productive aspect of family farming, it is critical to broaden the policy spectrum to include other categories and themes to reinforce other dimensions of family farming and provide systematic interventions to rural communities and territories.■ The specific set of public policies vary between countries, reflecting different national agrarian trajectories, the socioeconomic roles attributed to family farming, the role that agrifood sectors have in the national economy, and the specific policy goals that governments want to promote.■ Collecting the national family farming-focused public policies can facilitate the assessment of the existing policy scenario related to family farming. It can help to identify if and how specific themes are addressed and can also highlight policy gaps.
Materials	■ Flipchart, pens, computer, projector
Resources	■ PowerPoint presentation: <i>The set of national policies targeted at or related to family farming</i> (based on Sheet 3)
Suggested time	1 HOUR 20 MINUTES
Comments and tips	<ul style="list-style-type: none">■ This exercise has to be adapted according to the specific national public policy for family farming context: a) countries that have dedicated policies deliberately targeting family farming, and b) countries that do not have specific policies directed towards family farming (but policy measures that affect family farmers nonetheless).■ The presentation provided at the end of the session may be printed and distributed.
Handouts	<ul style="list-style-type: none">■ Table 2.2 Potential categories and themes of public policies targeting family farming■ Once filled with information from the country, Sheet 2.2 The set of national policies targeted at, or relevant to family farming

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

WORK IN PAIRS LISTING FAMILY FARMING POLICIES

20 MIN

- The facilitator recalls the features of family farming in the country discussed in Session 1.2 and underlines the need for family farming public policies to consider all these aspects.
- They divide participants into pairs (participant to the left).
- The pairs are requested to generate a **list 3-5 of national policies and programmes (3-5 policies)** that they are familiar with, which are **targeted at or relevant to family farming and to noted the key policy area/topic and the expected results of the policy.**

PLENARY CONSTRUCTING THE SET OF EXISTING NATIONAL POLICY FRAMEWORK

30 MIN

- Each pair presents the policies and programmes they listed. During their presentation, the facilitator notes the mentioned policies on a flipchart to build a first set of existing policies relevant to family farming (if a policy is mentioned twice, no need to repeat it).
- In case the policies listed are not diverse enough, the facilitator distributes *Table 2.2. Potential categories and themes of public policies targeting family farming*, and invites participants to observe and discuss: **On which major categories and themes do the policies listed on the flipchart focus? Which categories or themes were not mentioned? Why?**

PLENARY FACILITATOR'S INPUTS AND DISCUSSION ON THE SET OF NATIONAL FAMILY FARMING POLICIES

50 MIN

- To complete the session and the list of policies mentioned earlier, the facilitator – or a resource person (national policy expert) – provides a brief presentation of the national agrarian trajectories and the existing set of national policies targeted at, or relevant to family farming. (This presentation has to be compiled as part of the preparation for the training. For the preparation, please rely on the guide included in Resources). Once filled with information from the country *Sheet 2.2. The set of national policies targeted at or related to family farming* can be distributed to the participants as a handout.
- After the presentation, the facilitator moderates the plenary discussion:
 - **How does the existing national policy framework support family farming?**
 - **Are there policies which are not coherent with this approach and might undermine support for family farming?**
 - **Where are gaps that need to be filled and the opportunities to strengthen this support to them?**

Technical background

Patterns of national agrarian trajectories

Agriculture has always been an important “state affair”, making a fundamental contribution to national economies and social relations. However, the specific configuration of each country’s agricultural sector varies, reflecting differences in historical trajectories, attributed socioeconomic roles and forms of production. These specific national configurations (and consequently, the way in which agricultural policies have been established) consider family farms in different ways (Bélières *et al.*, 2015).

From this historical perspective, current policies for family farming are inserted in a broader context related to national agricultural policies and can be understood as a succession or an unfolding of previous agricultural policies.

Three general patterns (Bélières *et al.*, 2015; Sabourin, Samper and Sotomayor, 2014) can be used to characterize the national agrarian trajectories of different countries and the relationship between the wider agricultural sector and family farming:

1. **Countries that do not differentiate between family farms and the agriculture sector as a whole.** Family farms are considered the dominant or exclusive organizational form of agriculture. In this model, every agricultural policy can be considered as a policy targeted at family farmers.
2. **Countries where a dual agricultural sector has evolved.** In this model, family farming is recognized as a differentiated and specific form of agriculture compared to corporate farms. It is a specific sub-set within the broader agricultural sector. Such configurations emphasize a more recent political recognition of the multiple economic, social, cultural and environmental functions of family farming, and a push to establish targeted policies for family farms. Previously, family and subsistence farming had often been perceived as “backward”. Strategies for agricultural modernization expected that unproductive family farms would exit the agricultural sector and smaller farms would be consolidated into corporate structures benefitting from economies of scale. Prior to the political recognition of family farming, there was little policy effort to improve the production of small and family farms. Family farms may have had access to social protection policies at best.
3. **Post-communist countries that support family farming as a strategy to manage de-collectivisation as part of the transition to market-based economies and to promote integration of the national agricultural sector into global value chains.** As part of this process, policies have been promoted to reintegrate and re-legitimize the remaining family farms (given the previous collectivization phase) and/or to transform collective holdings into private companies, without integrating family farmers. The role attributed to family farming can be significant or shared with other structures, including state-owned and private companies.

Based on a) the global historic trends described above and b) the three general patterns used to characterize different national trajectories, the set of policies related to family farming in a given country can be understood as a product of dynamic processes that involve (Bélières *et al.*, 2015; Sabourin, Samper and Sotomayor, 2014):

- The economic, social and political importance of the agricultural sector as a whole, and within it, the influence of different models of production.
- Power relations between actors inside the agricultural sector and between the agricultural sector and other actors in the economy and society.
- The configuration of states and their capacity to structure, finance and implement their own agricultural policies.
- The visions, representation and influence of family farming and the political capacity of family farming actors and coalitions to lobby for specific policies.
- Trends, ideas and/or financing from international institutions and cooperation with other countries that influence the national policy debate on agriculture and family farming.

Targeting public policies toward family farming

Global studies have demonstrated that family farming is the predominant mode of agricultural production and employment in the world, and a major contributor to food security and nutrition at local, national and global scales (FAO and IFAD, 2019). Moreover, family farmers have been recognized as critical actors in fighting rural poverty, promoting the development of rural territories, and ensuring the sustainable management of natural resources and provision of ecosystem services (World Bank, 2008).

At the same time, several social, environmental, political and economic factors mean that family farmers experience different types and levels of constraints and vulnerability (FAO and IFAD, 2019; IFAD, 2014). These factors include social and economic inequalities between rural and urban areas, limited economic or educational opportunities in rural areas, limited access to land and productive inputs, high levels of poverty, poor nutritional standards, the impact of climate change and degradation of natural resources, among others (Bélières *et al.*, 2015; FAO, 2017; FAO and IFAD, 2019; IFAD, 2010, 2014).

These issues are complex and go beyond the private sphere of each family and the limits of their territories. They cannot be considered only from a localized perspective, as farming families and their communities have limited agency to address some of these challenges by themselves.

In response, specifically designed public policies can help promote the potential of family farmers while also addressing their specific vulnerabilities, making family farming a “more secure, profitable and attractive livelihood” (IFAD, 2014, p. 2). Targeted public policies can also promote better agricultural systems, the socioeconomic development of rural territories and environmental protection (FAO and IFAD, 2019).

If they are sufficiently coordinated and scaled, policies to strengthen family farming can have a positive impact on more complex and broader issues, like the structure of food systems and the efforts to tackle climate change.

Potential beneficiaries of family farming policies

Beneficiaries can be defined as those whom a policy or programme aims at reaching to address their problems and needs.³ While farmers themselves (women, men, young old, pastoralist, fisher, landless, rural worker, etc.) and farming families are the most significant beneficiaries of family farming policies, policies can also – directly or indirectly – target other beneficiaries. Policies can focus on specific members within households or “collective beneficiaries”, such as organizations, communities and territories. Family farming policies often combine a range of measures targeting different beneficiaries. Even when policies specifically target households (or beneficiaries at other scales), there will be impacts that “spill over” between the levels.

Policy “categories” and “themes” relevant to family farming

Public policies targeting family farming respond to different problems and needs. The specific mix of public policies varies between countries, reflecting different national agrarian trajectories, the socioeconomic roles attributed to family farming and the specific policy goals that governments want to promote. A range of potential policy themes are presented in Table 2.2, organized into broad categories.

The table provides a non-exhaustive starting point to build a more systematic and holistic understanding of the national set of policies. It outlines one possible way to organize and classify policies – however, there may be several different connections and overlaps between different categories and themes. It is possible to amend the table with new categories, themes or policies or re-organize them.

The initial category considers sectoral policies focusing on agricultural production, commercialization and consumption. They can target agriculture generally (regardless of the mode of production) or they can be specific to family farming (and to family business agriculture, in some countries).

Consider three typologies:

1. General agricultural policies with the same configuration and themes for all modes of agricultural production.
2. General agricultural policies with specific configurations or themes for family farming.
3. Specific agricultural policies exclusively targeting family farming.

The category of agricultural production, commercialization and consumption includes several possible themes⁴ linked to specific moments of the agricultural production cycle. Further categories include connected economic policies and legal-administrative policies, which establish the organs responsible for managing policies for family farming, data collection and eligibility criteria to access the policies.

³ The terms “beneficiaries” and “target groups” are often used interchangeably (sometimes with adjectives like direct/indirect). In some situations, they will be the same. In others, a policy intervention can target one specific group, but aiming at benefitting another one. For instance, capacity building to extension agents, which targets agents but with the goal of benefitting family farmers.

⁴ Some of the themes are mentioned in Sabourin, Samper and Sotomayor, 2014; Bélières et al, 2015; FAO and IFAD, 2017; FAO, 2017.

Other policy categories focus on rural communities by promoting rural territorial development and social protection, as a strategy to supply essential public goods, services and guarantees to rural populations (following a similar logic to structured policies targeting urban areas). These policies can also be designed to rehabilitate vulnerable rural territories through participatory mechanisms (Sabourin, Samper and Sotomayor, 2014), and support and incentivize rural populations and specific groups such as youth to remain.

Finally, the category of environmental policies impacts agriculture activities and the configuration of rural territories. The more recent policy developments (the categories of rural territorial development, social protection, and environmental policy) address important aspects of family farming from a perspective that extends beyond agricultural production alone. They also reflect emerging themes that reflect world changes in the last decades and can direct or deflect impact from family farmers (for instance, climate change and digitalization/informatization).

Each of the themes identified in Table 2.2 can be integrated in a bespoke policy or programme for family farming, with specific rules and legal provisions. There are several possible ways to translate these themes into specific policies, programmes and concrete actions.⁵

TABLE 2.2 Potential categories and themes of public policies targeting family farming

CATEGORY	POSSIBLE THEMES/TOPICS
Agricultural production (including livestock/fishery/animal production), commercialization and consumption	<ul style="list-style-type: none"> ■ Access to land and natural resources, land use rights or land tenure ■ Access to productive inputs (e.g. local genetic resources/seeds, organic/bio inputs/fertilizers/ pesticides, water, etc.) ■ Modernization of the household means of production/assets/infrastructure (e.g. irrigation, mechanization, motorization, etc.) ■ Technical assistance and rural extension/education and training ■ Harvest, storage and transport ■ Agroforestry, agroecological and organic farming – environmentally friendly practices and approaches ■ Urban and peri-urban agriculture ■ Access to markets, fairness, transparency, efficiency and functioning of markets ■ Adding value ■ Product certification/labelling ■ Local fairs, markets and other short food supply chains ■ Public procurement/access to public markets (e.g. school feeding programmes) ■ Food safety regulations, health and consumer protection ■ Strengthening and capacity development for family farmers’ organizations ■ Agricultural research and development, innovation and new technologies ■ Information and communications technology (ICT)

⁵ Recall the managerial dimension of public policies discussed in the previous session.

CATEGORY	POSSIBLE THEMES/TOPICS
Economic	<ul style="list-style-type: none"> ■ Access to financial instruments, credit (land, infrastructure, inputs, etc.) ■ Insurance against production and market risks ■ Price regulation/minimum price guarantees ■ Food stock regulation ■ Taxes ■ Subsidies for family farming products/production (specific measures for organic/agroecological producers) ■ Trade negotiations/agreements on agriculture products
FFOs/ associations and cooperatives	<ul style="list-style-type: none"> ■ Criteria to give legal recognition to family farming and govern policy access/eligibility: identification and registration ■ Legal and regulatory frameworks for farmer organizations, association and cooperative ■ Participatory approaches in agricultural and rural advisory services (participatory research, participatory plant breeding, horizontal learning approaches, farmer to farmer, etc.)
Rural territorial development	<ul style="list-style-type: none"> ■ Promotion of infrastructure development (electricity, internet, roads, railways, drinking water supply, sanitation, etc.) ■ Housing ■ Promotion of non-agricultural economic or inclusive activities (e.g. rural tourism, eco-tourism, recreation, sport and cultural activities) ■ Public security ■ Territorial governance ■ Migration ■ Land reform ■ Land regularization/legalization ■ Geographical indication (GI) systems and Globally Important Agricultural Heritage Systems (GIAHS) ■ Urban territorial development and urban planning linked to short circuits, circular and solidarity economies
Social inclusion and protection	<ul style="list-style-type: none"> ■ Personal documentation ■ Health ■ Education ■ Social assistance/social security ■ Human rights ■ Gender equity and equality ■ Youth empowerment and engagement in agriculture ■ Decent labour and employment (including green jobs) ■ Child labour eradication ■ Prevention of hazardous working environments ■ Generational turnover ■ Poverty reduction/safeguarding livelihoods and pro-poor growth (e.g. cash/assets transfers, rural income guarantees/generation)
Environmental	<ul style="list-style-type: none"> ■ Definition and management of protected areas/ecosystems/biomes ■ Management and regeneration of common access to natural resources ■ Environment degradation ■ Water resources ■ Promotion/protection of biodiversity ■ Payments for environmental services ■ Land use planning and restrictions (e.g. legal reserves, specific or prohibited crops/cultivation/input application)) ■ Shock mitigation/resilience building ■ Climate change mitigation, adaptation and resilience ■ Deforestation prevention and control ■ Renewable energy ■ Restoring degraded areas and ecosystems (e.g. in response to deforestation, desertification, water pollution, land degradation etc.)

There are several ways that sectoral agricultural policies can be interconnected with the other policies from other categories (see above: New management strategies towards integrated policies to address the limitations of sectoral policies).

Policy approaches differ between countries and governments. Some focus closer on production and economic policies, while others establish broader policy frameworks with different areas of focus, such as the promotion of rural territorial development and actions to combat rural poverty, hunger and malnutrition. In some countries, the integrated policies targeting family farming simultaneously include access to differentiated credit, technical assistance and capacity building to strengthen associations and cooperatives (Sabourin, Samper and Sotomayor, 2014).

A cross-cutting issue that needs to be built into policy design across all categories is the inclusion of potentially marginalized groups – in particular, women and young farmers and Indigenous Peoples. By better understanding the causes and manifestations of inequalities, policy interventions can be designed to target specific groups of beneficiaries and promote their rights and opportunities.

In conclusion, although policies that support and enable the production of family farms are critical, it is also necessary to broaden the policy spectrum to include new categories and themes – not only because they impact production policies, but also to reinforce the other functions of family farming in supporting rural communities and territories (Bélières *et al.*, 2015). Such a broadening sums up the policy challenge that calls upon states and governments to holistically support family farming by promoting inter-institutional coordination across sector and line ministries and integrating “the three dimensions of sustainable development: economic growth, social inclusion and environmental protection” (FAO and IFAD, 2019, p. 3).

Resources

GUIDE TO DEVELOP THE POWERPOINT PRESENTATION: The set of national policies targeted at or related to family farming

SECTION TITLE	DESCRIPTION OF THE KEY ELEMENTS TO BE ADDRESSED IN THE SECTION
National agrarian trajectories (1–2 slides)	<ul style="list-style-type: none"> ■ Brief presentation of the historical perspective of the national agricultural policies: Main approaches to promote agriculture through public policies in the country.
Main national public policies targeted at or related to family farming (2–3 slides)	<ul style="list-style-type: none"> ■ To present the national initiatives targeted at and relevant to family farming, use Sheet 2.2. Focus on the most relevant ones. ■ Sheet 2.2 is to be complemented by the facilitator, a national policy expert, or researcher to collect information about main family farming directed/relevant initiatives in the country. This can help to establish a general overview of actions developed for the support of family farming. ■ For information, consult relevant national and international database: <ul style="list-style-type: none"> - FAOLEX (search and filter the keywords “family farming” or small-scale food producer’ “smallholder”, “peasant”. - UNDRR reports - FAO regional and country factsheets, documents and studies - Digital legislative platform in the country - Public institutions’ websites (ministries of agriculture, forestry, fisheries, education, social development, health, etc.) - Website of agencies working on agricultural and rural development - Interview with relevant actors <p>To complete the presentation, reflect on:</p> <ul style="list-style-type: none"> ■ To what extent have governments acted strategically to support family farming sectors to be more dynamic and organized? Or promote other types of policies that challenge the supporting approach? ■ To what extent have arguments in favour of specific family farming policies been considered and discussed in the country? ■ To what extent do state and non-state actors consider public policies a concrete and effective lever to address the potential, needs and vulnerabilities of family farmers?

SHEET 2.2 The set of national policies targeted at or related to family farming

CATEGORY	DESCRIPTION	INFORMATION FORM NATIONAL LEVEL
Family farming definition/ concept/ categorization/registry	The definition/categorisation/criteria of family farming for public policy-making purposes	
Family farming laws/ legislation	List of laws related to family farming in the country starting from the most recent to the oldest. Add only those, which make an explicit mention of family farming in their title.	
Family farming plans	List of plans related to family farming in the country starting from the most recent to the oldest. Add only those, which make an explicit mention of family farming in their title.	
Family farming public policies, programmes and strategies	List of plans, policies, programmes and strategies related to family farming in the country starting from the most recent to the oldest. Add only those, which make an explicit mention of family farming in their title.	
Institutionalization of family farming	List of legislation and regulation that, without being family farming laws, institutionalizes family farming. For this purpose, the delivery of definitions of family farming/family producers, the creation of records of family farmers, the designation of institutions in charge of developing policies related to family farming, etc. can be considered.	
Indirect/ supporting laws for family farming	Laws that, without being explicitly family farming laws, promote/support the development of Family Farming through the designation of resources, credits, social protection, territories, incorporation into public purchases, aimed at family farmers.	
Indirect public policies and strategies for family farming	List of plans, policies, programmes and strategies indirectly strengthening and/or supporting family farming in the country indirectly.	
Other, (territorial development related) initiatives	Territorial development initiatives with indirect support for family	
Other initiatives	Other initiatives that refer to family farming	

SESSION 2.3

Actors and institutions in policy process

Learning objectives	<ul style="list-style-type: none">■ Identify the different actors, their influence and contribution to policy processes related to family farming.■ Engage in drawing a map of relevant actors at national or local level.■ Discuss relations and connections between the different actors.■ Understand the power dynamics between actors related to family farming policies.
Key messages	<ul style="list-style-type: none">■ The type of actors involved in public policies is broad, their relation is dynamic and diverse. Depending on the specific issue, the group of actors in the policy arena and their relation vary, while their relationship can also change as a policy process unfolds.■ When actors engage in dialogue, build networks and collaborate with each other, they are more likely to succeed in influencing policy processes.
Materials	<ul style="list-style-type: none">■ Flipcharts, computer, projector, sticky notes, markers, coloured cards, white boards or simply walls
Resources	<ul style="list-style-type: none">■ Flipchart 2.3 with the matrix■ Table 2.3. List of actors relevant in for family farming policies
Suggested time	1 HOUR 50 MINUTES
Comments and tips	<ul style="list-style-type: none">■ During the brainstorming plenary (tour the tables), pass a ball to give the floor to the participants. Participants can then throw the ball to the next person.■ To facilitate group work, flipcharts with the matrix can be prepared in advanced and given to the groups.■ Relevant actors can be represented on the map by drawing their symbols or simply by writing down their names.■ Clarify that the aim of this session is two-fold: 1. to establish an initial list of the stakeholders who can influence public policies relevant to family farming, and 2. to show participants that the power-relations, constellation of alliances and conflicts may differ according to the central issue discussed but also as time progresses.■ The session may require more time than the one allocated as the participatory drawing of the stakeholders' map may highlight divergent views.■ In case the list of actors becomes too long (first part of the exercise), focus on the most important ones when drawing the map.
Handout	<ul style="list-style-type: none">■ Table 2.3. List of actors relevant to family farming policies

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY BRAINSTORMING ON FAMILY FARMING POLICY ACTORS

20 MIN

- The facilitator introduces the topic of actors in policy-making and highlights the importance of building a stakeholders' map, which identifies the relevant actors at national or local level and the relationships among them.
- By touring the tables, the facilitator invites participants to jointly develop a list of actors by responding to the guiding questions:
 - **Based on your experiences and work, which actors are involved in policy processes relevant to family farming?**
 - **What are the roles and contributions of these actors to policy making?**
- The facilitator notes the different actors in a table prepared on Sheet 2.3. Actors and their roles/contribution to policy processes relevant to family farming. In a second round, the facilitator opens the discussion to explore if there are actors who are missing from the list *or* if there are actors who are currently not involved but should be involved. Include any relevant actors missing from this list (see a list of relevant actors in Table 2.3).

GROUP WORK DRAWING THE MAP OF FAMILY FARMING POLICY ACTORS

45 MIN

- On a flipchart, the facilitator draws two axes (see Resources, Flipchart 2.3 Map of actors) and explains:
 - The vertical axis (y) represents **influence or power**, which is related to the decision-making capacity of each actor with respect to the issue at stake. The more influence an actor has regarding an issue, the higher it should be placed along this axis.
 - The horizontal axis (x) is the **interest**, which allows to distinguish the objectives of each actor or network
- The facilitator divides participants into groups.
- The groups have to **place all, or the most relevant actors listed in the plenary, on the matrix**. The level of power/influence (axis y) and their interest (axis x) with respect to family farming related issues should be considered.
- Discuss dynamics and connections between these actors and **draw lines** and arrows to indicate their relationships (whether they are strong, weak, normal, occasional, collaborative or conflicting). Participants can use continuous, dashed, stronger or lighter lines and arrows (see Legend in Resources).
- Each group should nominate a rapporteur.

PLENARY REPORTING BACK AND DISCUSSION

ON THE MAP OF FAMILY FARMING POLICY ACTORS

45 MIN

- The rapporteur from each group presents the result of their discussion. They show where and why they placed the actors on the map, and what types of relationship they drew between them. The flipchart developed by each group should be visible to all participants

- After all groups have presented their map, the facilitator moderates the plenary discussion:
 - **Is there a general agreement or contradiction regarding the place and/or relationships of some actors?**
 - **Highlight the existence of empty quadrants and/or actors for whom no relationship has been established, asking participants if this is due to a lack of awareness on their part about this type of actors or to their actual absence;**
 - **Analyse if there is a concentration of actors and relationships in certain rows or columns of the matrix.**

Technical background

The map of actors – the tool to orient in the public policy arena

The map of actors is a tool to understand a specific social setting. It is used to “take a picture” of people, groups, institutions, associations, organizations and networks that participate in a series of sustained social interactions aimed at addressing a public issue. Additionally, this instrument helps determine general characteristics of actors such as power and interests, and their relation in the public policy process. It is akin to a lens that identifies the level of commitment, participation, resistance, empowerment and existing coalitions. The public policy process is the scenario, where these interactions, competition and cooperation occur for different resources and programmes.

A complete map of actors can become a useful tool not only to diagnose, design and implement policies, plans, programmes and projects, but also, to assist collective and participatory policy-making processes.

The increased knowledge about the actors (their behaviours, roles, relationships, interactions, resources, repertoire of actions, interests, contributions and influence) can also help to illuminate the **policy environment**, rules and the context in which policy-making occurs.

With the mapping of actors, we can start to understand the concept of **public policy as a chained set of decisions and actions**, the result of structured and repeated interactions between various state and non-state actors who for various reasons are interested in a public issue.

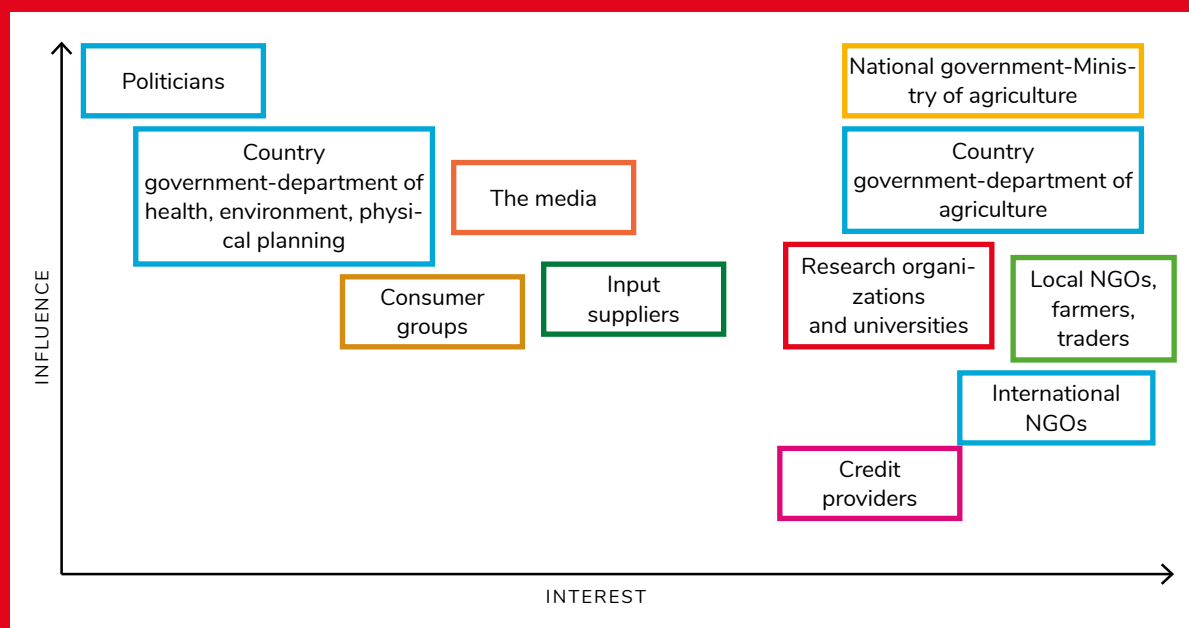
Mapping actors in relation to family farming policies

In a sector as complex and diverse as family farming – one that adopts different forms and practices according to the context and socioeconomic and ecological features of a given territory – the map of actors can help explain the **motivations, visions and interests that** mobilize people and social groups relevant to family farming policies. It can also assist to strategically analyse the **position and relationship** of relevant social actors (see list below), in order to anticipate possible oppositions or alliances for building an enabling policy environment for family farming. The map should include all actors who may be affected by and involved in family farming related issues, or

actors who have or require the necessary information, experience or resources to contribute to policy solutions. Actors themselves and their position to each other in family farming can change completely according to a specific issue. Their relationship is **dynamic**, possibly varying as time progresses and/or according to a specific question. Agreement or oppositions between actors can create space for thematic or conjunctural coalitions, interactions or collaborations at local or national level to advance and influence the policy agenda for the support of family farming.

BOX 2.3 Example of mapping of actors relevant to family farming in urban and peri-urban agriculture in Kisumu, Kenya

In the city of Kisumu, Kenya, the stakeholder map presented below was developed by actors involved in the creation of a comprehensive policy framework for urban and peri-urban agriculture at local level. The map was used as an effective tool for collectively reflecting on common issues, concerns, problems and priorities. The map represents a set of actors and positions them according to their influence and interest, e.g. see local NGOs with high interest but with low level of power to influence the policy process. This map adequately considers various relevant ministerial departments, since urban and peri-urban agriculture entail dealing with food production as well as sanitary, environmental and urban planning interfaces (see Annex 1).



Main steps to build a map of actors

Mapping actors is a relatively simple process that involves the following three steps:

1. Specify the topic/problem to frame the scenario for the identification of relevant actors (family farming). Remember, actors and their power relationships can change completely according to different issues.
2. Identify the social actors involved or should be involved in the issue (see list below)
3. Position the actors on the map according to their influence or power and interest (see matrix below)
4. Identify the existing relations, including collaborations or tensions

List of actors

According to the local/national/regional realities, key actors relevant to family farming may include:

TABLE 2.3 List of actors relevant to family farming policies

ACTORS	DESCRIPTION
State	Political organization made up of a set of bureaucratic institutions with responsibilities and sovereignty within established territorial limits.
Market	In economics, a market is a set of transactions, processes or exchange of goods or services between groups and individuals. Marketing agents. Concentrating markets; quality certifiers; financial system (banks, credit agents for the agrifood sector). Suppliers of inputs and services. NGOs linked to social economy and ethical banking.
Global governance	Integrated by different types of organizations, international cooperation allows a balance by acting on different global agendas (health, education, environment, economy and reduction of inequalities). In addition to making contributions to the peaceful resolution of disputes, scientific and technological development, the fight against poverty and the promotion of economic agreements. International cooperation, UN agencies.
Government	The separation and division of powers is a political principle in some forms of government: The legislative, executive and judicial branches of government are exercised by distinct, autonomous and independent government bodies in representative democracies. National executive branch, ministerial levels, secretariats, directorates. Specialized and decentralized agencies. Provincial or state and/or municipal departmental levels.
Parliamentarians (and their alliances/networks)	Parliamentarians are critical actors in the fight to eradicate poverty and malnutrition, given their legislative, budgetary and policy oversight roles also on innovative proposals in regulatory frameworks. They play a significant role in establishing an enabling policy legislative environment. They (i) represent citizens and make laws to address public problems and promote social and economic development; (ii) play a key role in building, strengthening and updating legal and institutional frameworks; (iii) promote and inform policy dialogue in a participatory way and feed into the drafting of national legislations; (iv) are also involved in allocating financial resources for the implementation of national public policies, (v) oversee governments' actions on the implementation of the enacted laws.

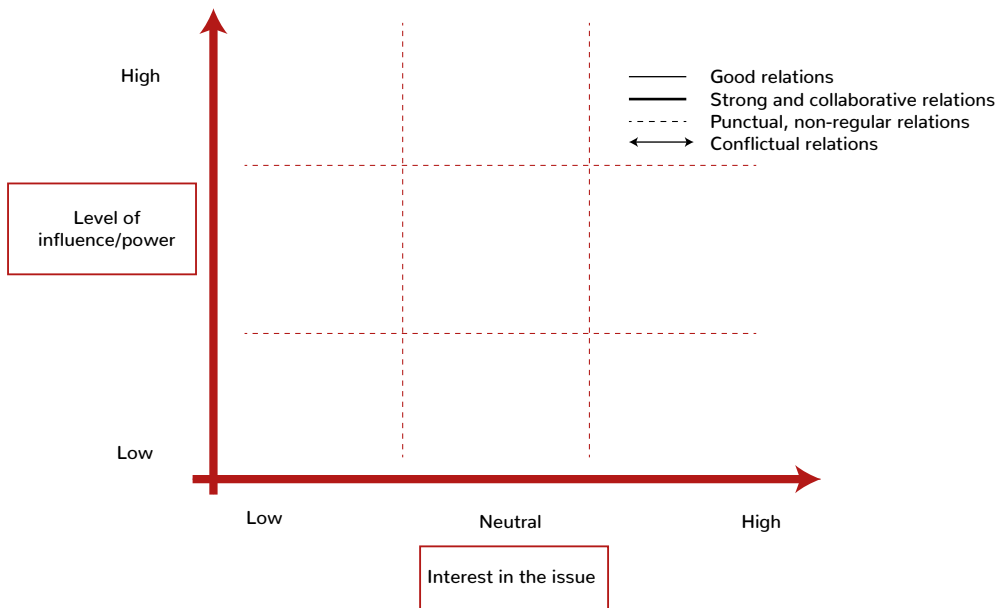
ACTORS	DESCRIPTION
Family farmers and their organizations (FFOs)	Family farmers and their representative union organizations, associations, cooperatives. FFOs are organized through different legal forms for different purposes. In the case of cooperatives it may be to improve their positioning in and attain volumes in the market. Associations are also formed for similar purposes in addition to social representation. Unions on the other hand offer a way of responding to political and sectoral issues.
Cooperatives of different sectors	Cooperatives of different sectors that formally allow governance by members. Within the same organization or within specialized organizations, consumers, producers, workers, volunteers or supporting members of the community at large may be included.
Consumers	May be organized or not. When organized in informal or formal groups, they share agendas and strategies related to consumption. When not organized they are individual consumers of goods and services.
Academic and research institutions	Universities, thinktanks, knowledge centres and technology hubs for agriculture and food
Communities	Through commonalities such as language, customs, values, tasks, vision, geographic location and roles
Social leaders	A social leader is someone who exercises leadership to energize a group or an organization for its development, based on a common project or a shared project. Different types of leadership including cultural, political, religious and local leaders in general.
Community networks	Participation of citizens in a shared and specific agenda, the roles and organization for action can be adapted according to the contexts and triggers that drive and motivate them. Community networks can include clubs, churches, environmental groups, diverse formats of local organization of neighbours and inhabitants of a territory, community associations, rural workers' unions, cooperatives, self-organized groups by themes, and others.
Non-governmental Organizations (NGOs) and Foundations	NGOs are generally independent and have their own agenda, different purposes, non-profit (NGOs supporting FFOs etc.). The foundations have assets destined to activities of general interest and not-for-profit. Foundations of private and public origin with diverse purposes, from knowledge production to investment in different segments of the development agenda
Small-medium agribusiness	Retailers, small distributors, transporters, sub-national traders, etc.
Large agribusiness	Medium-to-large exporters, processors, distributors, etc.
Others	

Resources

SHEET 2.3 Actors and their roles/contribution to policy processes relevant to family farming

ACTORS	ROLES/CONTRIBUTION

FLIPCHART 2.3 Matrix for the map of actors



- **Power** relates to the capacity to promote ideas and to formally or informally **influence** the behaviour of other actors. It reflects the ability to participate and influence a decision-making process.
- **Interest** refers to the level of importance an actor gives to a specific topic; their vision of the public problem, its causes and possible solutions; the perception regarding a public policy and the interest of the other actors involved.

SESSION 2.4

Introducing the policy cycle model

Learning objectives ■ To familiarize participants with the policy cycle model and its stages.

Key messages ■ The policy cycle is a way to see policies from five basic stages. It allows a systematic vision of policy trajectories.
■ The policy cycle is a useful analytical and practical instrument/framework that can navigate development actors along policy processes allowing them to reflect on and improve the policy environment for family farming.

Materials ■ Computer, projector

Resources ■ Video: *The Public Policy Cycle for Family Farming – United Nations Decade of Family Farming (2019–2028)*

Suggested time **20 MINUTES**

Comments and tips ■ The session will rely on the video and on the participants' impressions of it relative to the policy process. It should remain an introductory session to allow participants to engage with the policy framework that will be expanded in LS3.
■ In case this session is used as part of a “sensitization” event (see Training method – Flexible and modular approach towards the contextualization of the learning programme), the facilitator can dedicate more time to the discussion by including further questions, such as: *How can I use my influence /knowledge/ experience/ networks to strengthen policy processes and outcomes to help build an enabling environment for family farming in the country?*

Handout ■ Table 2.4. Summary of the public policy cycle model

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY VIDEO PRESENTATION OF THE PUBLIC POLICY CYCLE FOR FAMILY FARMING 10 MIN

- The facilitator will introduce and project the video presenting the Public policy cycle from a concrete case.
- The aim is to expose participants to the policy process enabling them to see it as a logical sequence. The facilitator will ask participants to pay attention to the video and note the most interesting elements/keywords of the story presented and/or questions to be clarified in the plenary discussion.
- The facilitator plays the video:
 - **The public policy cycle for family farming:** <https://youtu.be/6lt5LJ7ML9Y> (Duration 4'35)

PLENARY DISCUSSION 20 MIN

- After watching the video, the facilitator moderates the plenary discussion to highlight interesting/challenging elements of policy processes for family farming in the local context and to clarify issues, if needed.
- The facilitator can distribute the *Table 2.4. Summary on the public policy cycle model* as a handout and reinforce the message on the policy cycle model with its five stages.

Technical background

The policy cycle model

- The policy cycle model is an analytical tool that has been developed by researchers and practitioners around the world to analyse public policy-making processes.
- It describes the policy-making process using a (chrono)logical sequence of basic stages (Jann and Wegrich, 2007). This structure helps present policy-making processes in a more manageable way.
- These policy cycle stages are connected. Each stage contains specific sets of interrelated legislative and administrative decisions and actions, associated with specific moments of the policy-making process (Hill and Varone, 2017; Howlett, Perl and Ramesh, 2009). These sets of interrelated decisions and actions evolve and gradually define a flow of action leading to policy outputs, outcomes and impacts.
- The cycle perspective also emphasizes feedback loops between stages and between cycle-rounds in a continuous process of policy development (Jann and Wegrich, 2007).
- The model contains a **theoretical perspective** but also a **pragmatic approach**, representing “policy-making as a cycle of problem-solving attempts, which result in “policy learning” through the repeated analysis of problems and experimentation with solutions” (Howlett, Perl and Ramesh, 2009. p. 3). It can be used to analyse specific stages in detail, or alternatively, by focusing on the interactions and influences between stages (Hill and Varone, 2017). Moreover,

the model can be used to focus on the impacts, roles and interactions of specific actors, ideas and institutions at each stage and through the stages (Howlett, Perl and Ramesh, 2009).

- By analysing a distinct policy from this perspective, researchers and practitioners aim at identifying the components that contribute to its formation and development as well as the factors that explain the policy's observed trajectory. The policy cycle model can be used to analyse factors that contribute to success or failure in terms of a policy achieving its desired outcomes, including ways to overcome pitfalls in the future.⁶
- The model has been used in different policy fields around the world to describe, analyse and compare different government policies and programmes. It has been used to understand and plan policy development and to identify lessons and provide recommendations for future policy improvements. In other words, it can be a useful roadmap for planning policy development (based on the current understanding of best practices), to guide reflection, and to drive improvement as existing policies pass through periodic cycles of development and evaluation.

Recognizing the limitations of the policy cycle model

- As with any theoretical framework or model, the policy cycle model is an attempt to organize and simplify complex and multifaceted phenomena to better understand the real world. Although the model assumes initially a rational and sequential process, it recognizes that real-world policy-making tends to unfold in more complex (and sometimes chaotic) ways (Howlett, Perl and Ramesh, 2009). Policy-making is hardly ever linear or completely rational, and each policy/programme has its own unique trajectory and interactions with other policies.
- In practice, policy stages will be blurred, merged, incomplete, or even unfold in a different sequence. Feedback loops can occur before a complete cycle ends, in a continuous process of adaptation and change.
- Despite the utility of "isolating" one policy/programme for the purposes of analysis, the boundaries of when one policy/programme begins and ends will not always be clear. A new policy can represent a succession of a previous policies, rather than something completely new (Jann and Wegrich, 2007; Peters, 1992). After one or more cycle rounds, policies can be terminated too.

Being aware of these limitations and the variable nature of actual policy processes, users can take advantage of the model's flexibility to adapt it to the specific circumstances of a given case.

This learning programme adopts a five-stage version of the policy cycle model (see Table 2.4) that can be used to present, organize and discuss the most important features of policies/programmes and policy-making processes.

⁶ The policy cycle model is not the only one used to analyse policymaking processes. There are several other frameworks, models and theories from different areas of knowledge (see, for instance, Hill and Varone, 2017 and Weible and Sabatier 2018). Moreover, authors developed different versions and sequential schemes (since the initial versions of the 1950s), based on different theoretical perspectives and the different areas of research focus. Over this period, a significant body of accumulated knowledge has been developed and these findings can offer valuable insights to policymakers.

TABLE 2.4 Summary of the public policy cycle model

POLICY CYCLE STAGE	DESCRIPTION	POSSIBLE EXAMPLES OF RELATED ACTIONS
1 – Agenda-setting	How problems are framed as public and enter the governmental agenda.	<ul style="list-style-type: none"> ■ Gathering and analysing data on the situations of family farmers and rural workers to assess the claims of non-state actors and confirm a public problem. ■ Mobilization strategies employed by family farmers and their organizations to gain political support.
2 – Policy formulation	How different alternatives are presented and discussed by actors.	<ul style="list-style-type: none"> ■ Defining the objectives of the programme. ■ Defining the beneficiaries/target-groups. ■ Defining the means to achieve the policy objectives. ■ Cost estimation. ■ Discussing draft legislation with farmers and their organizations. ■ To propose a law/legislation (or modify a current one) and debate/negotiate it within the legislative branch of government.
3 – Policy adoption	The adoption of one alternative and the process of enacting laws and regulations.	<ul style="list-style-type: none"> ■ The Government selects one of the alternatives presented during the formulation stage and creates (or revises) a policy or programme through the approval of a law. ■ Define which government organ will be responsible for the new programme.
4 – Policy implementation	How policy decisions are put into practice.	<ul style="list-style-type: none"> ■ Writing and passing detailed laws, regulations, plans. ■ Identifying and registering beneficiaries to access the programme. ■ Executing administrative procedures and activities (bids, contracts, grants, service delivery, etc.). ■ Linking the new programme to existing policies and programmes targeting the same beneficiaries. ■ Establish appropriate vertical and horizontal institutional coordination and accountability mechanisms.
5 – Monitoring and evaluation	The assessment of outputs, outcomes, and impacts.	<ul style="list-style-type: none"> ■ Defining how government will monitor the implementation of the programme and progress against its defined goals. ■ Evaluating the outcomes and impacts of the programme.

Resources

VIDEO The public policy cycle for family farming



#SDGs #Agenda2030 #GlobalGoals

The Public Policy Cycle for Family Farming – United Nations Decade of Family Farming (2019-2028)

LEARNING STAGE 3

The policy cycle model



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3 The policy cycle model

3.1 Agenda setting

3.2 Policy formulation

3.3 Adoption

3.4 Implementation

3.5 Monitoring and evaluation

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION 3.1

The policy cycle model – AGENDA SETTING

Learning objectives	<ul style="list-style-type: none">■ Understand the emergence and framing of a public problem.■ Explore different pathways of how family farming related matters can enter the governmental agenda (through what channels and by which actors).
Key messages	<ul style="list-style-type: none">■ Accurately defining a public problem and gathering reliable data and evidence about it can increase the likelihood of the problem entering into the governmental agenda. The agenda-setting is not solely a technical process – it also involves assessment, judgment, and debate among actors with different visions, interests and power. It is about convincing, persuading and negotiating among actors.■ Actors will be successful in influencing the agenda, if they can convince political actors who have legal prerogatives to acknowledge (or deny) a public problem and to initiate the next policy-making stages. Ultimately, government actors will make the “final” decision about which issues to prioritize as public problems and how to include them in the governmental agenda (or not), however organized action can influence policy reform processes.
Materials	<ul style="list-style-type: none">■ Flipchart or white paper and markers, computer, projector (optional)
Resources	<ul style="list-style-type: none">■ Role-play scenario 3.1 to exercise agenda-setting (Senegal)■ PowerPoint presentation (to be prepared by the facilitator, if needed)
Suggested time	2 HOURS
Comments and tips	<ul style="list-style-type: none">■ The use of icebreaker questions will stimulate interest and provide information to the facilitators upon which they can build on during the session.■ Time allocated for the warm-up exercise may be extended if participants show active engagement.■ At the end of the session, if possible, do not use a PowerPoint presentation, rather reflect freely on the key elements mentioned during the discussions complementing those points with information from the Technical background.■ Further information about the case used for the exercise can be found in Annex 1.
Handouts	<ul style="list-style-type: none">■ Table 3.1.1. State and non-state actors involved in agenda-setting■ Table 3.1.2. Institutionalized and non-institutionalized channels

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

WORK IN PAIRS AND REPORTING BACK IN PLENARY

ICEBREAKER ON AGENDA SETTING

30 MIN

- The facilitator divides the group in pairs (participant to the right) and asks them to discuss and take notes of the following two questions:
 1. **Name two topics relevant to family farming which were recognized by the government and made them take action in the recent years. Why do you think this happened?**
 2. **Now, try to think about other two topics related to family farming which were not recognized by the government. Why do you think this happened?**
- The facilitator invites two or three participants to share the outcome of their discussion in plenary. They can capture keywords on a flipchart and highlight the differences between the issues that drove government attention (and the issues that did not). Other participants can be invited to complement the discussion.

GROUP WORK ROLEPLAY ON AGENDA SETTING

60 MIN

- The facilitator introduces the roleplay to discuss agenda-setting through an enjoyable and useful exercise. This roleplay will help participants explore and experience different first-hand strategies applied by potential actors to insert a public problem into the governmental agenda. By playing and acting the role of the protagonists of a concrete scenario, the exercise will allow collectively analysis of a real-life situation from divergent viewpoints.
- The facilitator then gives an introduction about the scenario (see Resources), divides participants into groups and assigns each group a role: **(1) family farmers, (2) government officials, (3) parliamentarians, (4) regional-intergovernmental bodies, (5) NGOs, (6) international organizations, (5) researchers, (6) citizen, (7) media and (8) private sectors.**
- The groups (e.g. farmers' group) read the scenario and reflect upon it to create their own story for the roleplay (40 minutes) considering the questions:
 - **Why do you consider the issue as a problem for family farmers?**
 - **What is your objective?**
 - **What resources/means can you mobilize?**
 - **What channels/events/opportunities can you use to bring the problem to the attention of other actors, particularly the government?**
 - **How do you engage with other actors?**
 - **For government: How do you wish to raise the issue through law-making and oversight activities/decisions and legal interpretations?**
- To support the preparation of the scenario, the facilitator may disseminate Tables 3.1.1 and 3.1.2 among participants as a handout.
- Each group needs to identify people/actors, who will participate in the roleplay. Alternatively, everyone can participate.

- Once the preparation is completed, the facilitator invites participants to carry out the roleplay by interacting with one another (10 minutes). If necessary, the facilitator can kick off the roleplay by asking the first question to one of the “actors”.

PLENARY COLLECTIVE REFLECTION ON AGENDA SETTING

30 MIN

- Once the roleplay is completed, participants conduct a collective reflection of the roleplay using three or four prepared facilitation questions. The reflection could include:
 - Feedback to the other groups;
 - Individual sharing of experiences playing a specific role; and
 - Identification of elements that arose during the roleplay that are normally forgotten in actual situations.
- Guiding questions:
 - What strategies were used (evidence, public pressure through communication/ advocacy campaigns; lobbying with decision makers, alliances to expand the public perception of the topic; mobilization, etc.).
 - Could this have been an opportunity to forge alliances between actors with conflicting interests?
 - Was there anyone willing to block the agenda? If yes, why?
 - What kind of strategies could have been/were used to overcome opponents' power?
- To conclude the session, the facilitator can provide more information about the *La loi d'orientation agro sylvo pastorale (LOASP)/The agrosylvopastoral law* – see Annex 1.
- In addition, the facilitator may also summarize key elements of the agenda-setting stage for family farming. If possible, do not use a PowerPoint presentation but rather reflect on key elements mentioned during the discussions and complement it with information from the Technical background.

Technical background

The agenda-setting stage

Agenda-setting processes are about persuasion, negotiation, dispute and cooperation among **actors**. Actors will be successful in influencing the agenda if they can convince political actors who have legal prerogatives to acknowledge (or deny) a **public problem** and to initiate the next policy-making stages.

In addition to national actors raising the importance of an issue, family-farming-relevant issues may arrive to the country from an external perspective: Emerging global issues such as discussions about sustainable food systems, climate change, as well as requests for technical cooperation or issues proposed by donors can also influence the agenda-setting.

Actors can use formal and institutionalized **channels** to insert their issue in the policy agenda. Institutional channels are the formal and regular arenas with specific

rules and procedures where policy-making is done. Ad hoc channels emerge from specific, unexpected, or transitory circumstances, contributing to promoting certain issues in the governmental agenda.

Actors often have different ideas about the public nature of a problem and the need or lack thereof for state intervention. Ultimately, government will make the “final” decision about which issues to prioritize as public problems and how to include them in the governmental agenda, or not. The more mature an issue or the solution for a public problem entering the agenda, the better it can proceed in the subsequent phases of the policy-making process (see later in Formulation, adoption, etc.) and the less space remains for proposing alternative courses of action.

When concluding an agenda-setting process, there are three possible options:

- The government recognizes an issue as a public problem and starts discussing and formalizing alternative courses of action (leading to the next policy stage).
- The government recognizes an issue as a public problem, but not as a priority, or it claims it is not in a position to address the problem (e.g. because of insufficient funding, insufficient political support, lack of feasible technical solutions, etc.). This may be a deliberate strategy for inaction.
- The government does not recognize an issue as a public problem and takes no action.

Public problems

Public problems tend to affect many people, directly and indirectly, and cannot be solved by individuals. They have broader effects on society, leading individuals, families, groups, organizations, and firms to request the government to intervene (Anderson, 2011).

Socio-political factors are important in differentiating between “private” and “public” activities and problems. **For problems that are considered “public”, the state has the legal authority and the legitimacy to intervene** – by helping and incentivizing people, groups, organizations and firms, or by limiting their liberties in different ways.

The – social and then political – definition of a matter that needs attention always represents a collective construction directly linked to the individual perceptions, social representations, material interests and moral values of the actors concerned. It always depends on persons directly affected by the problem and/or those whose behaviour may need to change to solve it (Hill and Varone, 2017, p. 165).

Public problems tend to be more complex, have multiple and interconnected causes and effects, and affect different individuals and groups in different ways. Some problems and their consequences are highly visible. Other problems are more diffuse, and their effects may be difficult to perceive (e.g. they might not be immediately visible and may emerge over time).

Defining a public problem with as much accuracy as possible, and gathering reliable data, evidence and analysis can increase the likelihood of a problem entering the

governmental agenda. This is not solely a technical process – it also involves valuation, judgment, and debate among actors with different visions, interests and power.

The box below offers a general set of questions to frame public problems.

Actors and how they act in the agenda-setting phase

- Actors may have different ideas about the public nature of a problem and the need or lack thereof for state intervention. They try to build a narrative about social and economic problems and why they should be considered public to attract the (limited) attention and resources of the government.
- Actors who disagree will try to deny a problem's public nature, arguing that it should not be addressed by the government. They may dispute the impacts of a problem or try to reframe the problem by focusing on restricted points of the cause-effect chain.
- Actors that want to frame a public problem and bring it into the governmental agenda will implicitly or explicitly construct a narrative to describe the problem, its causes, the means to address it, who suffers from government inaction, and the benefits of a solution. Some actors have greater capacity and power to influence the governmental agenda and public opinion. For example, organizations with greater financial and human resources are likely to be more effective.

“Social construction refers to the ways in which we as a society and the various contending interests within its structure and tell the stories about how problems come to be the way they are. A group that can create and promote the most effective depiction of an issue has an advantage in the battle over what, if anything will be done about a problem (Birkland, 2007, p. 71).”

In the policy arena, at least three different groups of actors attempt to influence the government:

- Groups that already benefit from public policies and see some of their problems getting attention and resources from the government.
- Groups that are concerned about existing or emerging problems, which they believe need to be (urgently) addressed by the government.
- Groups that want to block or remove problems from the governmental agenda because they do not consider them public and/or are against the intervention and the use of public resources to tackle them.

BOX 3.1 How to frame public problems? Hints for reflection:

- 1) What is the situation?
- 2) Can it be described as a problem? Why? What are the negative consequences?
- 3) What evidence supports this claim?
- 4) What/who causes the problem? Who is affected?
- 5) If there is a problem (but the evidence is not clear), should it be addressed by the government? Or should it let be addressed by the market or other actors in society without government involvement? Why?
- 6) Think of a scenario where some of the actors use evidence to deny the public nature of a problem. What counterarguments could be made?



TABLE 3.1.1 State and non-state actors involved in agenda-setting

STATE ACTORS			
<p>State actors are in the position to formally insert themes into the policy agenda because of their constitutional/legal prerogatives.^a Governments may be more responsive to certain groups because they occupy a strategic position within the country's economy and society – and they are likely to have already developed strong links with the government. The ability to influence the media is another important factor (and media organizations themselves should also be considered as actors in the policy arena). Governments can respond to demands for action by developing different policy approaches or they may deny the existence of a problem or contest its public nature.</p>			
EXECUTIVE BRANCH	LEGISLATIVE BRANCH	POLITICAL PARTIES ^b	JUDICIAL BRANCH
In the executive branch, presidents and prime ministers, with the help of their cabinets, can introduce new issues that will become part of government planning ^c and can be the subject of new proposed legislation. Ministries and agencies can also use their legal mandates to insert new issues into the government agenda.	In the legislative branch, parliaments have different means to raise issues through their law-making and oversight activities. This can be initiated by a individual parliamentarians, a group of parliamentarians, or by party leaders. Parliamentarians are often closely linked to their territorial constituency and play the role of mediating between national policy-making and territorial action.	Political parties promote their own interests and themes. They can influence the governmental agenda through their internal staff (who often contain policy experts), leaders and elected representatives who can operate in the executive and the legislative branches.	In some countries, through decisions and legal interpretations tribunals and courts can bring issues into the governmental agenda.
In the Philippines and Chile , the new presidents declared rural development and small farmers' empowerment a priority issues for the national policy agenda. Such support can give space for debates in the legislature that lead to new legislation and policy improvements. ^d	Latin American parliaments are being increasingly involved in food security and nutrition laws and policies. They created local, national, and a regional Parliamentary Fronts against Hunger to exchange legislative and policy experiences, to give higher visibility to the topic in the governmental agenda and to commit to eradicating hunger and malnutrition in their countries. ^e	In Viet Nam , the new agenda on rural development was issued by the Central Committee of the Communist Party, stating its vision for agriculture and rural areas and framing the forthcoming governmental interventions. ^f	In Indonesia , the mechanism of judicial review allows the Supreme Court to examine if laws and policies are aligned with the Constitution. Advocacy groups contested laws with restrictions on land use and distribution and on the lack of small fisherfolk protection. The court accepted the arguments and determined to reframe relevant policies.

Notes:

a The question of the appropriate role of the state has a strong legal dimension, as the roles and limits of government are usually established in national legal frameworks (usually through the constitution). The legal dimension is reflected in the types of policies and programmes that governments enact (as well as the actions they do not take).

b For simplification purposes, political parties were grouped with the State three branches.

c Especially in the beginning of their mandates, considering the themes discussed in the electoral campaign.

d In the Philippines, the Magna Carta of Small Farmers was adopted (see session 2.1). In Chile, INDAP had its mandate and budget expanded to re-include vulnerable family farmers as potential beneficiaries. The new agenda led to introducing new services beyond credit and extension and targeted projects to fight rural poverty.

e The Latin America and Caribbean Parliamentary Front's concrete achievement includes national legislation on school feeding programmes, food labeling standards, and the promotion of healthy diets among children (ASBRAN, 2016).

f However, it is recognized the vital role of the Ministry of Agriculture team, who approached the party's drafting team and presented their vision and data on trends in the rural sector.

NON-STATE ACTORS (NSA)

Non-state actors play an important role in agenda-setting processes by influencing state actors and working together to promote different issues – seeking (or denying) the government’s recognition of a public problem. Pressure to promote public problems (or to remove them from the agenda) can come from individuals and groups affected directly or indirectly by the problem. Actors have different levels of resources (financial, organizational, media influence, etc.), impacting their capacity to advocate and influence the public agenda.

CIVIL SOCIETY	RESEARCH AND ACADEMIA	MEDIA	PRIVATE SECTOR
Civil society – including family farmers’ organizations, community groups, non-governmental organizations and unions – can advocate in different ways, using different strategies and resources.	Universities and thinktanks, by researching aspects of the problem and publishing data and information about specific problems.	Media plays a key role in publishing, disseminating information and raising awareness of public problems.	Individuals, professional associations, producers, business, investor and lobby groups can mobilize various resources to convince political actors and insert issues in the political agenda.
In Brazil , the land credit policy agenda was promoted by different farmers’ and landless workers’ organizations, viewed as a more effective alternative to enhance land access, also for youth.	In Kenya , universities and researchers provided data and evidence about families and households. This helped insert and consolidate the issue of urban and peri-urban agriculture in the policy agenda of different counties.	In many regions, there are community media centres that promote communication for rural development. They help family farmers access and share knowledge and information, making their voices heard (FAO, 2015).	In Latin American countries, business groups lobbied for alternative economic use of forest and coastal areas, including wood and oil exploration, expansion of agriculture and tourism.

A reflection on the actors involved in agenda-setting processes highlights two important aspects:

1. **Policy communities/networks/coalitions:**⁷ they are formed by groups and individuals, inside and outside government, who share common interests and combine efforts and resources to promote (or to block) issues in the governmental agenda. Policy communities can include actors who are not necessarily affected by the problem but have other interests and motivations to connect and act.
2. **Policy entrepreneurs:** individuals who play leadership roles can have a great impact on specific problems and their possible solutions. They may operate in different state and non-state organizations and play crucial roles in the agenda-setting process by strategically mobilizing resources and support from other groups and by increasing the visibility of the issue.⁸

⁷ Despite analytical distinctions among the terms (see, for instance, Fox, 2010), policy practitioners and stakeholders typically use them interchangeably.

⁸ Some authors differentiate between *policy entrepreneurs* who experience a problem and advocate for specific solutions, and *political entrepreneurs* who are not necessarily part of the policy community but can have a crucial role in advancing the issue inside the political system (see Herweg, Zahariadis and Zohlnhöfer, 2018). The relationship between policy and political entrepreneurs is described as follows: [Policy entrepreneurs] must be able to attach problems to their solutions and find politicians who are receptive to their ideas, that is, political entrepreneurs. (...) More successful entrepreneurs are those who have greater access to policymakers (Herweg, Zahariadis and Zohlnhöfer, 2018, pp. 27–28).

Institutionalized and ad hoc channels to insert an issue into the governmental agenda

Common channels can be identified through which the agenda-setting process unfolds. It is important to consider how easy or difficult it might be for different actors or groups – with different level and points of access to the channels – to influence the governmental agenda (Howlett, Perl and Ramesh, 2009). There are different ways in which agenda-setting processes can be planned and enacted through institutionalized channels or can emerge unexpectedly because of specific events or circumstances opening a window of opportunity. Issues can also be promoted in different and combined channels as part of actors' strategies. The convergence of multiple channels can raise the probability of an issue entering the governmental agenda.

This core idea is embedded in Kingdon's (2011) multiple streams framework. Opportunities to include new issues in the governmental agenda can arise from the convergence of different streams of problems, policy and politics. In specific moments (called "policy windows" or "windows of opportunity"), the three streams adequately converge, bringing attention to a specific problem, presenting a viable solution to address it, and finding a favourable political environment. Through this process, policy entrepreneurs can play a crucial role in connecting problems and solutions and making them acceptable to policymakers in the political system.

Different patterns of agenda-setting can also be observed: A more regular pattern of policy-making dominates and can be characterized by slow, incremental, changes over time. But policy-making can also follow a more radical pattern, involving the reframing of policy issues and new configuration of actors⁹ (e.g. in response to a critical event or the emergence of a defiant vision in conflict with the status quo).

In some countries, the process of policy debate is highly institutionalized with regular and formal access granted to some important organizations (e.g. trade unions, business groups, or family farmers' organizations). Policies can also have consultative councils that establish a mandatory requirement for different groups to be consulted and to have the opportunity to participate in policy processes.

At the same time, established rules or lack of capacities/resources can act as a barrier to some groups, preventing them from advocating or fully participating in agenda-setting channels to make their voices heard and considered.

⁹ This idea is described by the punctuated equilibrium theory (Baumgartner and Jones, 1993). The theory suggests that policies tend to have long periods of stability (with marginal policy changes), interspersed with rare episodes of instability, when new actors propose new visions and major changes, altering a consolidated policy trajectory (Hill and Varone, 2017) and the balance of power in the policy community/subsystem.

TABLE 3.1.2 Institutionalized channels to insert an issue in the government agenda

INSTITUTIONALIZED CHANNELS		EXAMPLE
Annual governmental priorities, activities, and budget	Through the preparation and definition of annual governmental priorities, activities, and budget, which usually involves the executive and the legislative branches. Every year, actors can raise new demands and try to convince state actors to consider them	In China , the N. 1 Document placed agriculture, a new model of family farms, and rural development in the national government agenda and influenced existing policies and programmes.
Electoral campaigns	During electoral campaigns, where candidates can promote issues and groups can push them to express commitments to certain priorities. In some countries there are opportunities for citizens or politicians to introduce plebiscites, referenda or popular initiatives for legislation on particular issues (which are voted on and can oblige the government to take action).	In Mexico , women's organizations and female parliamentarians built a propositive electoral agenda to compromise all the political parties. In the state of North Dakota in the United States of America , family farmers' organizations collected signatures for a referendum on a state law that allowed corporations to buy and operate farms in the state. Around 75 percent of citizens who voted rejected the law (Reuters, 2016).
Hearings, commissions, councils	Through regular governmental activities (i.e. processes by which policies and legislation are developed and implemented, and oversight activities take place), there are opportunities for actors to participate in hearings, commissions, councils, and other formal instances to raise issues in the policy dialogue. Other more informal opportunities include personal relationships between individuals, groups and policymakers. There may be greater opportunities to influence the agenda when new governments and legislatures are formed (with an electoral mandate).	Indonesian organizations participated in public hearings of regional and local policymakers (and the governing political party) to share their concerns over the national legislation and the need to support farmers and fishers.
Courts and/or international organizations	Bringing issues before the courts or international organizations provides another channel to raise awareness of an issue and pressures the government to take action.	Beyond the Judicial Review previously mentioned, the Declaration of Maputo ^a and the Milan Urban Food Policy Pact ^b contributed respectively to framing agendas on minimum budgets to agriculture and sustainable food systems.

Notes:

a Member states of The African Union signed *The Maputo Declaration on Agriculture and Food Security in Africa* in 2003. Among several measures, States committed to allocate at least 10 percent of their national budgets to agriculture and rural development policy implementation.

b More than 100 cities signed *The Milan Urban Food Policy Pact* in 2015, an international framework to address food-related issues at the urban level. <https://www.milanurbanfoodpolicypact.org/>

AD HOC DIFFUSE CHANNELS		EXAMPLE
Information or data	New information or data becomes available or a considerable change occurs in specific indicators that are monitored, highlighting a problem and/or presenting concrete solutions.	Every year, FAO'S State of Food Security and Nutrition in the World (SOFI) report highlights and updates data and trends on food security and nutrition, urging countries and the international community to strengthen their efforts to eradicate hunger and malnutrition.
Technology	New technology becomes available, offering viable solutions to a problem that could not have been addressed before.	The benefits offered, for instance, by water desalination technologies and information and communications technology applied to services to family farming can influence the policy agenda and reframe old public problems.
Events	Crises, tragedies, or critical/ focusing events (Birkland, 2007) can occur, triggering public calls for governmental action. Events are usually followed by intense media coverage and processes of popular mobilization (Anderson, 2011).	Food crises in Africa and Asia reinforce the urge to transform national and global food systems. In some countries, human rights violations and the murder of smallholder farmers and landless workers are mentioned as turning points that influenced public opinion and politicians towards more supportive policies.
Public opinion	Changes occur in society's perception or in the sentiment of public opinion , making new issues more viable (as public problems) – especially the most controversial issues.	Consumers are increasingly recognizing and valuing healthy food, initiatives that establish fair prices, sustainable practices, and fair-trade certifications, especially for family farmers from low-income countries.
Media	Media attention focuses on an issue and generates societal discussion or gives broad visibility to a problem that was previously hidden.	In south Nigeria, environmental mass media campaigns influenced farmer's attitudes towards deforestation (Omari, Omoogun and Effiom, 2019).

Agenda-blocking

In the same way groups and individuals act to promote certain agendas, they can also develop strategies to block them, denying a public problem or arguing it should not be addressed by the government.

Different approaches to block an agenda issue include (Anderson, 2011):

- Denying the existence of a problem;
- Limiting access to state actors or to the institutionalized channels;
- Arguing there is insufficient data to establish a public problem;
- Arguing that government should not act, or that non-state actors are better placed to address an issue; and
- Raising concern about possible undesirable or unexpected effects from government action.

Tips to strengthen the agenda-setting processes for the support of family farming

- List specific public problems related to family farming not yet adequately placed on the government's agenda.
- Search for data adequate to describe and frame the problems identified and suggest concrete courses of action capable of addressing them. Formulate strategies to give them higher visibility and alliances to support it.
- Map potential state and non-state actors with competing positions. Understand their arguments and how they build narratives to sustain them.
- Map possible formal and informal channels for interlocution and reclaiming.
- A local strategy of agenda-setting can be the first step to influence national processes and vice-versa.
- Formulate letters of commitment with clear and viable proposals to support family farming so that candidates and political parties can incorporate them into their electoral platforms.

Resources

Roleplay scenario 3.1 based on the Law of Agro-Sylvo-Pastoral Framework Law (LOASP), 2004

(Case study documented by IPAR) – see Annex 1

Mammadou and Fatimatu are farmers in Senegal. Since the 1980s, they have been confronted with the structural adjustment of agriculture including the liberalization of the agricultural economy and privatization that resulted in the disengagement of the state from production activities. This process also marked the dismantling of the agricultural economy administration system that was put in place between 1960 and the middle of 1970. Mammadou and Fatimatu experienced that services and support provided by the state were stopped, which created a big impact on their livelihoods. Later, in early 2000, when the government and other ECOWAS countries aiming to be in line with international trade agreements introduced common external tariffs, they found themselves in increased competition within their local market due to the liberalization of the regional market.

To overcome challenges, the local peasant organization in which Mammadou and Fatimatu were members, joined forces with other local organizations and established a national farmers' movement to advocate for better support for family farming. The movement, with the support of NGOs and development partners, also set up services to their members to fill the void created by the disengagement of the state. Over time, as it became more established, the movement also became an interlocutor between the state and farmers in the development, implementation and evaluation of public policies and programmes relating to rural areas and the agricultural sector.

Between 2000 and 2002, a referendum and two electoral campaigns took place, which accelerated economic and social reforms. In particular, in 2000, the first political alternation occurred in the history of the independent Senegal, between a regime espousing democratic socialism and a regime espousing economic liberalism. This political alternation accelerated economic and social reforms at the end of the 1990s with the winding down of structural adjustment programmes.

At the same time, a debate on the role and place of family farming in the national economy was taking place, given their significance in demographic and political terms and their importance as a sector providing employment opportunities for many. Mammadou, Fatimatu, and their organization were strongly advocating for the role of family farming confronting the alternate official narrative that considered family farming as a remnant of the past, promoting the agribusiness model. This debate had a high resonance in various media channels and was followed by several international agencies.

This debate called for an institutional response with the government recognizing the need to establish a framework law for Agro-Sylvo-Pastoral.

SESSION 3.2

The policy cycle model – FORMULATION

Learning objectives	<ul style="list-style-type: none">■ Identify measures to deal with and address a public problem.■ Discuss policy alternatives, the consequences of choosing one alternative over another, the role and actions of the main actors involved.■ Describe the policy planning process.
Key messages	<ul style="list-style-type: none">■ The formulation stage of the public policy includes discussions and consultations with all concerned stakeholders, especially family farmers and their organizations for the development of alternatives to present and address public problems.■ Designing the alternatives that decision makers will consider directly influences the ultimate policy choice (Sydney 2007). This process both expresses and allocates power among social, political, and economic interests.■ The choice of one specific technical alternative has an underlying vision about the roles of state, market, civil society and family farming.■ Considering data and evidence from previous experiences and the voices of beneficiaries/target groups can increase chances of better choices. The participation of family farmers' organizations in the formulation process will not only favour a policy process that can more accurately address (or at least try to) the specific (and real) issues but it can also foster ownership and support for the process and its future outcome.■ One alternative may be technically viable but not political, legally, economically, environmentally, socially or culturally feasible.
Materials	<ul style="list-style-type: none">■ Flipcharts, markers, computer, projector
Resources	<ul style="list-style-type: none">■ PowerPoint presentation 3.2. Policy Formulation■ Scenario 3.2 to exercise policy formulation
Suggested time	2 HOURS
Comments and tips	<ul style="list-style-type: none">■ A proposed case study for the exercise is included in the Resources chapter. The facilitator however is encouraged to bring another policy case with a similar scenario.■ The presentation, at the end of the session, aims at giving an insight into the policy planning. In this presentation, it is recommended to only display the tables and figures provided in the proposed PowerPoint presentations (see Resources) while referring to the information included in the Technical background under the Policy planning.■ Further information about the case used for the exercise can be found in Annex 1.
Handouts	<ul style="list-style-type: none">■ Table 3.2.1. Actors: Who formulates policy alternatives and how■ Table 3.2.3. Policy instruments■ Table 3.2.6. A brief definition of the logical model's elements through the example of the Support Programme for the Productivity of Women Entrepreneurs (PROMETE), Mexico

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY DETAILS OF POLICY FORMULATION

60 MIN

- **Option A:** The facilitator together with the participants selects a topic that was listed among the national policies relevant to family farming (sheet 2.2.) in Session 2.2.
- The exercise will aim to look at the formulation of a new policy related to the topic to better target and support family farming.
- As a first step, the facilitator moderates a plenary discussion to collectively (1) define the policy objective, (2) describe the target group and to (3) list the actors who are to be involved in the formulation of the policy (see Resources Table 3.2)
- Secondly, the facilitator displays and presents the elements of the logical model table (see Resources Table 3.2), inviting participants to complete this table with information on inputs, activities, outputs and outcomes to reach the policy objective defined in the previous step. Tip: Consider using the “impact pathway”: start with filling the column of impact and move backwards in the table (potential questions: based on the policy objective, what impact the policy should achieve? According to the expected impact, what outcomes are necessary? Based on the resulted outcome, what output should be developed? What activities would help to reach these output? What inputs are necessary to undertake the activities?)

- **Option B:** The facilitator distributes the case study to participants (see Resources).
- The participants read the case study individually (5 minutes), then in plenary, discuss the following questions (25 minutes). They can take notes on a flipchart:
 - **Given the recognition of the public problem, what were the main decisions taken in this policy stage (on policy objective, target group, etc.)?**
 - **What are some of the possible consequences of these choices? Could other alternatives have been chosen? Why?**
- In the second round, distribute Table 3.2.1. Actors and Table 3.2.3. Policy instruments as handouts to answer to the guiding questions (30 min). They can take notes on a flipchart:
 - **What are the main aspects you need to consider when addressing the problem?**
 - **Which actors should be involved? How can you ensure a participatory approach?**
 - **What types of policy instruments can be used to address the issue?**
- To contextualize the discussion, the facilitator invites participants to reflect on:
 - **Were policy instruments listed in the discussion used in recent national policy formulation process relevant to family farming? What were the issues those instruments aimed at addressing?**

PLENARY FACILITATORS' INPUT ON FORMULATION

30 MIN

- To reinforce the learning about policy formulation patterns and useful instruments, the facilitator summarizes the main points of the discussions and complements it with information about **policy planning**: *how to translate a policy alternative into a policy planning language* – by using a PowerPoint presentation (see Resources) and providing participants with Table 3.2.6. A brief definition of the logical model as a handout.
- To complete the plenary discussion, the facilitator invites participants to reflect on similar situations related to family farming where policy alternatives were discussed and planned in their country.

Technical background

Policy formulation consists of developing alternatives to address public problems. Problems initially made visible in the agenda-setting stage begin to be analysed and refined, allowing governments to propose concrete solutions (Anderson, 2011; Howlett, Perl and Ramesh, 2009) through an initial political commitment.

Formulation can refer to a new policy (to address a newly identified problem), in most cases, however, it involves the review, reformulation or succession of previous policies, as a consequence of the agenda-setting process. Note that agenda-setting and formulation can happen simultaneously, in a process whereby public problems are not only recognized, but also framed alongside alternative solutions.

Policy formulators need to address the following questions:

- What are the objectives of the policy?
- How should the policy address the problem with respect to the technical alternative?
- What groups and/or beneficiaries should be targeted?
- In terms of the legal-administrative tools/instruments and arrangements available to governments, how should the policy be enacted (Hill and Varone, 2017)
- In terms of the capacity to fund technical alternatives, how much will it cost and how will budget resources be allocated?^a
- Considering the evidence that proposed alternatives will (or will not) be able to achieve the desired changes and reach the policy objectives, to what extent can it effectively address the problem?

Policy formulation can be complex and challenging, involving multiple **actors** with different (sometimes conflicting) visions, value, ideas, preferences, and capabilities (i.e. power) to have influence. Converging or competing alternative courses of action arise to address the problem, with different groups of actors formulating and advocating for specific alternatives.^b Furthermore, depending on the alternative and details emerging to address the public problem, actors may change their position or approach. Actors who previously attempted to block the agenda but were not successful often advocate for light or minimal alternatives during the formulation stage. Others who had previously collaborated to promote the policy agenda, can compete for different solutions.

The same channels used in the agenda-setting processes can be utilized for policy formulation – either simultaneously alongside the agenda-setting process, or at a subsequent time, after the government’s initial political recognition.

Notes:

a Considering not only the direct costs to implement the policy but also possible indirect costs that can be imposed on individuals and groups.

b *Institutional arenas, whether Congress, the courts, the executive branch, and the like, have rules, norms, and procedures that affect actors’ choices and strategies. Additionally, policymaking takes place at a particular moment in time, marked by particular dominant ideas related to the policy issue, to affected groups, to the proper role of the government, etc. These ideas will influence actors’ arguments in favour of particular solutions, and their perceptions and preferences when they take specific policy solutions. (Sidney, 2007, p. 84).*

Problems can be complex and multi-causal. Their definition therefore is not always well-framed and may be contested (Howlett, Perl and Ramesh, 2009). Formulators may face difficulties in distilling different inputs into concrete alternative proposals to address the public problem and its causes.

Governments have a variety of policy **instruments or tools** that can be applied to operationalize the alternative proposals. These tools/instruments can be used to address policy problems, either individually or in combination, depending on the complexity of the policy. Policymakers use several **planning tools** and methodologies to define and develop the main elements of policies and programmes.

A. Actors involved in policy formulation

TABLE 3.2.1 **Actors: Who formulates policy alternatives and how**

STATE ACTORS	
<p>The executive and legislative branches of government have a legal prerogative to present alternative policy options to address public problems through interactive law-making and planning processes.^a The process of discussing and developing alternatives will probably involve politicians, appointed officials and civil servants. In some cases, governments have the technical and institutional capacity to develop alternatives to policy problems in consultation with non-state actors. In other cases where the government has less capacity, they can assign the proposition of formulation tasks to external actors, such as private companies, interest groups, consultancies, NGOs, thinktanks, academia, other states and international organizations. Governments can also rely on the support of international knowledge-based organizations, such as UN Agencies.</p>	
EXECUTIVE BRANCH	LEGISLATIVE BRANCH
<p>The process normally involves ministries and agencies dealing with specific policy fields (who tend to have the specialization and expertise to formulate alternatives), the president or prime minister and their cabinets.</p>	<p>In the legislative branch, parliamentarians can lead the formulation of alternatives, with the support of technical staff.</p>
<p>During the re-formulation of the family farming credit policy in Chile (Programa de creditos de INDAP), distinct government coalitions debated which beneficiaries should be targeted: either those with more structured production and the possibility to integrate to markets, or the vulnerable ones, who require state support for their livelihood. The debate reflected not only the visions on the “economic viability” of family farming but the efforts to promote the modernization of the state and public expenditure efficiency. It prevailed a broader approach that considered credit as an instrument to reach both social protection and increased competitiveness. It was also decided that the policy should offer differentiated conditions compared to those provided by the market, and an emphasis should be placed on women, youth and Indigenous Peoples.</p>	

Note:

^a The rules governing law-making processes will be discussed in detail in the next session.

NON-STATE ACTORS (NSA)

Individuals and non-state groups affected by that problem can also provide inputs, develop and propose alternatives during the formulation (including law-making) processes. These alternatives can be developed based on data and evidence produced and collected by/or in partnership with researchers and knowledge-based organizations. In analysing the national context, it is important to understand what opportunities exist for non-state actors to present and discuss alternatives with government officials and policymakers, including the available paths and whether this is easy or difficult for different actors.

In Senegal, the family farmers' organization (National Council for Concertation and Rural Cooperation – CNCR) had an important role in providing inputs to the draft bill with general agriculture guidelines (*Loi d'orientation agrosylvopastoral – LOASP*) prepared by the executive branch of the government. The divergence between the proposals was the role of family farming in the national agricultural context with respect to other models of production, land access and resource allocation among those models. CNCR's inputs were drawn from several internal consultations with their member organizations from all regions. Based on this consultation, CNCR built a counterproposal and brought it into the negotiations. They actively and successfully engaged with political parties, the government and in the joint commission that drafted the final version of the bill sent to the National Assembly. CNCR also provided information to parliamentarians during the debates.

B. Formulation patterns

Diverse formulation patterns can be identified to characterize and compare formulation processes.

TABLE 3.2.2 Diverse formulation patterns

GENERAL	↔	DETAILED
<p>Depending on the level of detail of the alternatives. It can be also considered as a process: Primary legislation (law) tends to set out the broad details and objectives of the policy, among others. Then, secondary pieces of legislation (such as regulations, orders, etc.) will provide practical details to enable the enforcement of the law.</p>		
<p><i>In the cases of Brazil's land access programme and Senegal's Orientation Law on Agriculture, the law provisions established their general lines that needed to be complemented by several types of further regulations.</i></p>		
INNOVATIVE	↔	INCREMENTAL
<p>considering how different policy goals and alternatives differ from existing policies and to what extent new ideas are considered</p>		
<p><i>Bahia Produtiva</i> formulated a set of innovative strategies to strengthen market access to farmers' organizations, complementing previous federal policies already implemented. It combined technical assistance to improve production, management, and marketing and partnerships with private actors of the main value chains, like big supermarkets. China's Informatization Plan for agriculture modernization established possible connections between developing information and digital tools and rural infrastructure improvements, the access of smallholder farmers to e-commerce and capacity building (digital literacy, training, and e-learning) to explore new market opportunities.</p>		

EVIDENCE-BASED	↔	SUBJECTIVE
Depending on the type of data and arguments that policy formulators consider to connect a policy alternative to the policy goals and problem solving		
<p>Rwanda’s Plan for Structural Transformation of Agriculture (PSTA) has a phased approach. Each phase was formulated with specific strategic objectives and considered the results of the previous ones. Along the implementation, data on agriculture infrastructure showed progress, thus the orientation gradually moved to a more market-oriented approach, integrating family farmers by providing incentives for land consolidation, cooperatives and commercially viable crops.</p> <p>In Chile, the Agricultural Development Institute (INDAP) analysed data from National Agriculture Census to establish the percentage of small family households (94,5 percent) and understand their main features (for instance, the majority of them have a diversified production and gross value up to USD 3 600).</p>		

DISCORDANT	↔	COOPERATIVE
Depending on the degree to which the actors involved agree or disagree on a policy alternative		
<p>In Indonesia, the law on protection and empowerment of fisher folks opposed competing interests from small fishing groups and large fish entrepreneurs. To better target vulnerable groups, a more specific definition of “fisherman” was coined.</p> <p>In Viet Nam, feedback from local actors helped the central government re-formulate standards that frame the New Rural Development Policy. This made them easier to apply by regions.</p>		

DIFFUSE	↔	CONCENTRATED
Given the number of steps involved in formulation and to what extent different actors participate		
<p>The Philippines’ Magna Carta was mainly formulated within legislative committees in the Congress, which conducted multi-stakeholder public hearings to inform the bill’s content.</p>		

C. Instruments for policy formulation

Governments have a variety of **tools/instruments** that are established in their legal and administrative structure. The choice of specific tools is a technical decision, but it also reflects actors’ different visions on the role of the state, markets and civil society. A basic classification of policy instruments considers **the level of state involvement in policy enforcement** (Howlett and Ramesh, 1995). Different policy instruments are listed and organized based on the level of coercion applied by the state (Table 3.2.3).¹⁰

Given the complexity of public problems, a mixed set of policy instruments are often applied to reach a particular policy objective.

¹⁰ This list is non-exhaustive. It lists the most common tools/instruments, but there can be other types of tools/ instruments or those listed can be organized differently using alternative criteria (Pal, 2014).

TABLE 3.2.3 Policy instruments^a

POLICY INSTRUMENTS, FROM LOW TO HIGH LEVEL OF STATE INVOLVEMENT USED FOR POLICY FORMULATION			
	BRIEF DESCRIPTION	POSSIBLE EXAMPLES IN THE FAMILY FARMING POLICY FIELD	
LOW LEVEL OF STATE INTERVENTION ↓	Voluntary/Community action and collaboration	Participatory, voluntary local assemblies or fora of people to discuss problems and solutions and share knowledge and ideas.	Local assemblies with family farmers and local community actors as a participatory policy instrument.
	Involvement of third sector organizations/NGOs/private firms^b	Involving non-governmental organizations to provide technical cooperation and knowledge exchange to support the local communities.	Food donation and health service delivery during emergencies, disasters and humanitarian crises. Pilot projects to develop new renewable energy and climate adaptation technologies, or to promote sustainable food production practices.
	Private markets	Governments may opt to address public problems, allowing goods and services to be provided through private/privatized firms, and to set the rules by which private market operates.	Private credit and insurance. Provision of agricultural inputs (seeds, fertilizers, etc.), facilities and services.
	Third-party contractors	The government directly contracts a third party (private sector businesses, researchers, NGOs, associations, etc.) to address a specific objective, and manage and execute policy interventions. This can benefit from the third parties' strong relationship with local-level actors and/or specific expertise that can help to achieve policy goals. In the contract or grant, the state specifies the deliverables and how the third party must achieve them.	NGOs hired to provide technical assistance. Researchers hired to conduct external policy evaluation.
	Information-based instruments	By using information-based instruments (e.g. public speeches or radio/television advertisements, information/education campaigns, reports, websites, etc.) governments attempt to influence people through communication of data, knowledge and reasoned arguments. These are soft instruments with a certain level of government involvement to raise awareness about certain issues. The level of coercion is very low as there is no obligation to act – rather, the government tries to persuade citizens to adopt a certain behaviour.	Radio campaigns to promote immunization in rural areas. SMS messages to inform farmers.

Notes:

a Based on Howlett and Ramesh (1995) and Pal (2014).

b In the first two types, there is no funding from the government; rather, it tries to build an enabling environment for other actors to collaborate. The benefits from such collaboration can then be considered as possible alternatives to address public problems.

POLICY INSTRUMENTS, FROM LOW TO HIGH LEVEL OF STATE INVOLVEMENT USED FOR POLICY FORMULATION	BRIEF DESCRIPTION	POSSIBLE EXAMPLES IN THE FAMILY FARMING POLICY FIELD
Subsidies/loans/ vouchers/cash transfers	Support and incentives provided by the government through financial means to ensure economic or social benefit to address situations of social and economic inequity faced by individuals, families, groups and firms. This instrument involves the government's "spending power".	Subsidize the price of fertilizer for small farmers. Conditional cash transfers for social protection programmes. This instrument can promote, for instance, special conditions for some producers to compete in highly competitive markets or stimulate the development of emerging markets that are not yet consolidated. Vouchers and cash transfers can help specific groups to overcome social vulnerabilities. These instruments are also used to incentivize behaviour change (e.g. encouraging farmers to adopt more sustainable practices with positive external benefits).
Taxes/tributes	A mandatory levy can be established by the government and applied to goods, services, activities, income, or property to incentive or discourage certain behaviours. Taxation also has an important function in raising government revenue to fund public expenditure.	A tax break on locally grown food. Custom duties on imported agricultural products. Property taxes for bigger households. For instance, a levy on products or services to try to reduce their consumption.
Economic, social or environmental regulation	These regulatory instruments are used to define norms, acceptable behaviours, or limit individual and collective activities with sanctions or penalties. They draw on the government's unique coercive ability to command and prohibit (Pal, 2014).	Environmental regulations on the use of land. Regulated food prices. Food safety standards.
Public enterprise or direct state provision	Public enterprises are used to address public problems by operating a business and/or entering the market to provide goods or services (replacing or competing with private firms). In other situations, the government can establish its own network of public services managed by civil servants.	A public water pipeline system. Public warehouses. Public enterprises to provide credit, extension services, equipment and machinery.
Legislation	Legislation represents a "catch all" category for instruments. Governments may pass a law to create a legal environment to formulate and implement any public policy. Policy can also be developed before a law or regulation is prepared, such that the law or regulation puts the policy into action.	Laws regulating the definition of family farming or of land ownership.

HIGH LEVEL OF STATE INTERVENTION

Consider some problems and needs family farmers face. Formulators can use different instruments/mixtures. Every alternative can theoretically reach the same policy goal. However, different scenarios can facilitate or hinder one specific choice.

TABLE 3.2.4 Example for linking policy goals to different instruments I

POLICY GOAL	POSSIBLE ALTERNATIVES	MAIN POLICY INSTRUMENT	EXAMPLE
To distribute or re-distribute land.^a	Alternative 1: Private banks provide loans for farmers to buy land in the private market.	Private market	In Brazil's National Programme on Credit Land, alternative n. 4 had already been adopted in earlier colonization projects as an incentive for farmers to occupy remote regions and expand the agricultural frontier. Option n. 3 was established in the Constitution but faced solid political opposition and a lack of resources. Alternative n. 2 became the most feasible, nevertheless only in some parts of the country where land was available, with registering documentation and affordability.
	Alternative 2: Public and/or private banks provide loans under special conditions for farmers to buy land in the private market (e.g. by granting subsidized interest rates, with market rate differences paid by the government).	Public enterprise and subsidies	
	Alternative 3: Government expropriates private land to donate to farmers.	Economic regulation and subsidies	
	Alternative 4: Government donates or finances public land to farmers under special conditions	Subsidies	

TABLE 3.2.5 Example for linking policy goals to different instruments II

POLICY GOAL	POSSIBLE ALTERNATIVES	MAIN POLICY INSTRUMENT	EXAMPLE
To provide credit for agricultural production.	Alternative 1: Farmers seek the best conditions offered by private banks.	Private market	In Chile's national credit policy, alternative n. 4 was the choice since inception. It was sustained over the last decades with marginal variations. Formulators decided to concentrate the credit policy in one public agency (INDAP), which implements all the necessary steps and offers. This was in contrast to private banks that were not qualified to apply regulations or take part in the programme. Credit related extension services (falling under INDAP's mandate and are conditional to access the credit), were delivered through third parties - alternative n. 2.
	Alternative 2: Several NGOs and communities have their own microcredit projects.	Voluntary/ Community action and third sector organizations/ NGOs	
	Alternative 3: The government defines specific regulations for private banks to offer credit to farmers.	Private market and economic regulation	
	Alternative 4: The government defines specific lines of credit provided by public banks with subsidized interest rates and extended payment periods.	Public enterprise and subsidies	

Note:

^a It is known that formulators of land redistribution programmes will almost always have to define additional alternatives to support farmers after the land is bought or donated. For instance, building country roads, providing household infrastructure helping to develop productive projects, etc.

D. Policy planning

Formulation processes try to align the characteristics of problems, policy goals and instruments (Sidney, 2007). Planning is instrumental in the formulation phase to establish a clear framework that connects framed problems, proposed interventions and expected results. A well-defined plan can facilitate and help assess the adequacy of foreseen interventions and to identify any deficiencies or policy-design-problems that may interfere with implementation (Cassiolato and Gueresi, 2010).

The logical model

One of the most utilized tools is the “**logical model**”. It has several variations (for instance “logic framework”, “results chains”, etc.), with different terminology and varying levels of complexity.

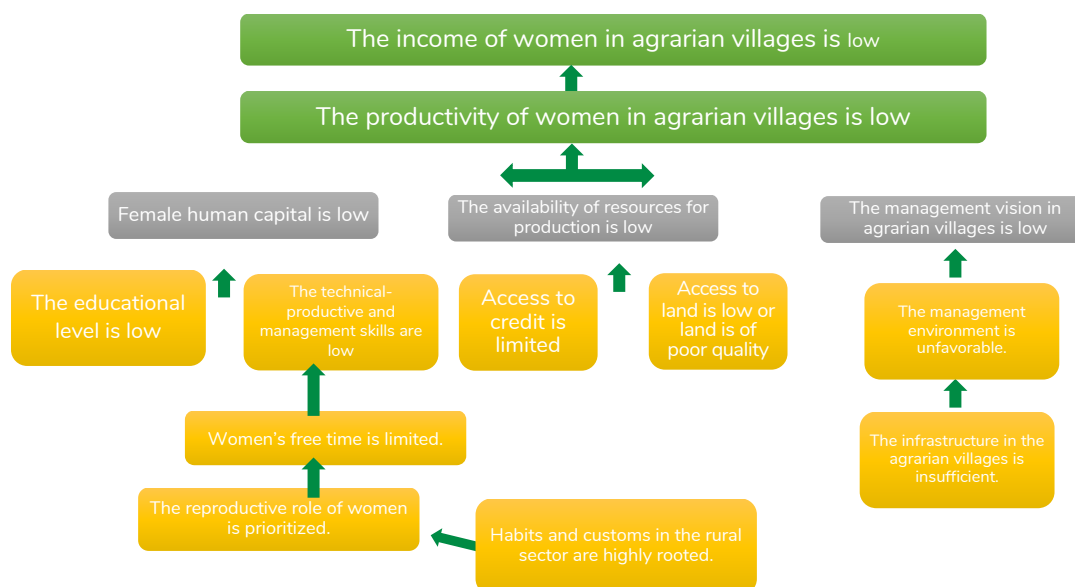
The development of a logic model describes and makes explicit what a policy or programme is trying to achieve, why, how and under what assumptions it will succeed (Gujit and Woodhill, 2002; IFAD, 2020a). The logical model lists the inputs required to undertake the activities. The completion of activities will produce outputs, which in turn will generate outcomes and impacts.

The logical model (and other planning tools) can enable more organized and consistent formulation processes, and help verify whether a programme is well designed, presents a plausible “route” for achieving the expected results, and which contextual factors could influence implementation.

Core elements¹¹ can be identified that enable a consistent process of policy formulation: The frame of a specific problem and a description of its causes and effects for example, in a “**problem tree scheme**”.

As in Figure 3.2, to address the **low productivity of women farmers in the agrarian households in Mexico**, a problem chain was developed to identify the main problems. Based on the diagnosis of the situation, formulators were able to define general objectives and the possible interventions for rural women empowerment (see Table 3.2.6).

FIGURE 3.2 A scheme for a problem tree – PROMETE (SAGARPA, 2015, p. 31).



¹¹ Based on Cassiolato and Guerresi (2010) and IFAD, 2020.

The definition of **programme goals/objective** and beneficiaries/target groups and the associated “**programme theory**” or “**theory of change**” that builds a causal chain of interrelated inputs, activities, outputs, outcomes and impacts that are expected to address the problem in an effective way.

TABLE 3.2.6 A brief definition of the logical model’s elements through the example from Mexico about the *Support Programme for the Productivity of Women Entrepreneurs* or the *Programa de Apoyo para la Productividad de la Mujer Emprendedora – PROMETE*

(adapted from PROCASUR, 2020, p. 100 and SAGARPA, 2015, p. 70–71)^a

Elements of the logical model	PROCESS/IMPLEMENTATION			RESULTS	
	→ Inputs	→ Activities	→ Outputs	→ Outcomes	→ Impacts
Definition	All financial, human, and material resources used to develop activities.	Actions taken or work performed with the available inputs to produce outputs.	Products, goods or services delivered by activities.	Immediate and medium-term changes that occurred after the outputs were delivered.	Long-term and broader changes after the outcomes took place.
Example: Contribute to the generation of employment and income for women farmers (beyond 18 years of age) Mexico: Programa de Apoyo para la Productividad de la Mujer Emprendedora – PROMETE	<ul style="list-style-type: none"> ■ Budget to cover the operational costs and the expenses of the programme and comply with the financing of at least 507 projects. ■ Technical support staff/ agency/ institutional assistance in production, financing and marketing. ■ Advisory service for the legal establishment of women’s groups 	<ul style="list-style-type: none"> ■ Launch public calls for the selection of projects. ■ Provide assistance and grants for productive/ agrifood projects ■ Provide technical and capacity development training for women on managerial knowledge, processing technology and marketing, to co-operate with other producers and to prepare project profiles; ■ Supervise and mentor productive projects. 	<ul style="list-style-type: none"> ■ Capacity-building training to empower women farmers on food production, processing, marketing and business management. ■ Solid rural women-led agrifood projects ■ Legally recognised women’s group 	<ul style="list-style-type: none"> ■ Improved productivity of rural women ■ Enhanced administrative, managerial skills and knowledge of women to market their products, and about various forms of organization or co-operation with other producers. ■ Increased technological capacities to process own products. ■ Increased number of legally constituted groups. ■ More equitable distribution of domestic activities. 	<ul style="list-style-type: none"> ■ Empowerment of rural women. ■ Increased income of rural women. ■ Improved gender equity. ■ Greater self-esteem and recognition felt by women for having been listened to and being in charge of their own business.

Note:

^a Real policies and programmes will likely require more complex logic models. For example, a programme may need to deliver multiple outcomes to reach one impact. In the same way, multiple outputs may be needed to reach one specific outcome. Each output can have different associated activities with their respective inputs. Another common situation is when different programmes contribute to one (or multiple) impact(s). This is the case for cross-cutting policies or national strategies that aim at reducing rural poverty, improving food security, and improving livelihoods.

PROMETE: assumptions and key elements to be analysed during the formulation (adapted from SAGARPA, 2015, p. 70-71):

- There are favourable socioeconomic conditions for improving the productivity of the supported groups,
- The prices of the inputs remain in the range established as profitable for the project.
- The demand for support from women's groups remains within the average range of the last three years.
- There is an offer of qualified technical advisers to provide support.
- There is sufficient and qualified personnel to carry out the ruling.
- There is interest in the supported groups to take the training and legally establish themselves.

The establishment of **indicators** to monitor progress and achievements.

PROMETE main progress indicators to be monitored (adapted from SAGARPA, 2015, p. 70-71):

- Percentage variation in the income of the beneficiaries.
- Variation rate in the productivity level of the supported groups.
- Number of productive projects supported.
- Number of beneficiaries trained to implement productive projects.
- Number of legally constituted groups.
- Number of projects supervised.

Tips to strengthen policy formulation for the support of family farming

- Take time to discuss possible alternatives to address one public problem. List “pros and cons” of each one.
- Reflect on the chances of considering each alternative, given the national/local context and the affected actors (specially selected beneficiaries/target groups). Foresee possible consequences, if one of the alternatives is adopted by the government.
- Search for evidence in previous or ongoing experiences that addressed similar problems: What can they tell about the chances of success or failure of one specific alternative?
- Search for and analyse information about the targeted beneficiaries/target groups and make sure they are informed and had opportunities to express their views on the alternatives.
- Be open to consider new approaches and explanations of how change is supposed to occur. Whenever possible, expand your thinking beyond conventional interventions.
- Revise the policy logical model proposed. Is it clear and plausible?

TABLE 3.2.7 Logic model for the exercise

1. POLICY OBJECTIVE					
2. TARGET GROUP					
3. ACTORS INVOLVED					
PROCESS/IMPLEMENTATION					
RESULTS					
Elements of the logical model	Inputs	Activities	Outputs	Outcomes	Impacts
Definition	All financial, human, and material resources used to develop activities.	Actions taken or work performed with the available inputs to produce outputs.	Products, goods or services delivered by activities.	Immediate and medium-term changes that occurred after the outputs were delivered.	Long-term and broader changes after the outcomes took place.
Example (include the identified policy):					

Resources

Scenario 3.2 based on Improving gender equality through strengthening women entrepreneurship. The Support Programme for the Productivity of Women Entrepreneurs – PROMETE, Mexico (Case study documented by PROCASUR) – see Annex 1

Women account, on average, for almost half of the agricultural labour force worldwide and play an essential role in achieving sustainable, productive and inclusive food systems (FAO, IFAD, 2019). Despite their huge contribution, the socioeconomic situation of women farmers remains unfavourable. They face a significant gender gap in access to productive resources. Although they are essential in all aspects of rural development, agriculture, and food security, they still have little and unequal access to inputs, credit, technical assistance, training, and capacity-building. Very few women own land, and those who do, may face tenure insecurity, or own small and low-quality land. In Mexico, 88 percent of women who live in the rural households are holders of a share in common lands (*ejidatarios*). Households headed by women are highly vulnerable: 62.1 percent of rural women are poor, 3 million are extremely poor and 5.5 million are moderately poor. Addressing rural women's vulnerability in Mexico, and in Latin America in general, became part of the public discussion in the 1970s, through a critical approach towards the economic and social development models, which left out women from rural development policies and policy processes relevant to them.

To reduce asymmetries between women and men in terms of their access to education, job training, employment and, in general, to opportunities and resources of all kinds, first, the Women in Development (MED) strategy aimed at modifying the material basis of gender inequalities in order to overcome social inequality at work and in other areas. This approach, however, yet not address the root causes of gender asymmetries. In the following years, great emphasis was placed on the contribution that women make with their productive work for poverty alleviation in rural households. New initiatives gave rise to an “anti-poverty approach” in women-targeted policies, either through the promotion of small income-generating projects, executed by women – organized in cooperatives or in different types of associative groups – to raise the well-being of their families, also ceasing gender asymmetries; or, by programmes that support the reproductive role of women as mothers and wives, through scholarships or other types of resource transfers.

In this context, the *Programa de Apoyo para la Productividad de la Mujer Emprendedora* (PROMETE) [Support Programme to Increase the productivity of Women Enterprises] seeks to increase the employment and the income of women beyond 18 years of age in rural households. This occurs via the specific objectives of (1) supporting the implementation of agrifood projects, (2) promoting the transition of beneficiaries to independent small producers and (3) encouraging the legal establishment of the beneficiaries.

The following issues contributing to this problem were identified:

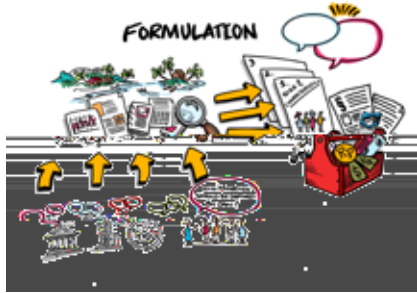
- a) women's human capital is low, derived from few years of schooling and low technical-productive and managerial capacities;
- b) the low availability of resources for production, explained by limited or no access to credit and the lack of possession of land or poor quality; and
- c) the low management vision in the agrarian villages due to an unfavourable management environment.

The Programme grants direct financial resources to implement new productive projects and expand and/or scaling up ongoing projects. Agricultural and livestock projects can have up to USD 240 000. Other projects (commerce, services, and agribusiness), up to USD 180 000. An additional 10 percent can be assigned for technical assistance. Groups can bring from 3-6 members together. Over the years of the project development and implementation, farmers' organizations participated in various rounds of negotiations with the Government to discuss the functioning of the programme. Their claims included, for instance, the increase of the budget (similar to those targeting men farmers) and the need for technical support beyond the project design, also provided during the implementation phase. Organizations played an important, supporting role helping women farmers applying for the grants and then managing their projects.

POWERPOINT PRESENTATION 3.2 The policy formulation stage

SESSION 3.2

Formulation



United Nations
Decade of
**FAMILY
FARMING**
2019-2028



Key messages

- Policy formulation consists of developing alternatives to address public problems
- Questions to answer in this stage:
 - Define the **objective** of the policy
 - Define the **target group**
 - Discuss the **technical alternatives**
 - **Evidence** of how the policy can be effective
- Considering evidence from previous experiences and the voices of beneficiaries (family farmers) and sub-target groups (women farmers, youth, etc) can increase the chances of better choices

United Nations
Decade of
**FAMILY
FARMING**
2019-2028



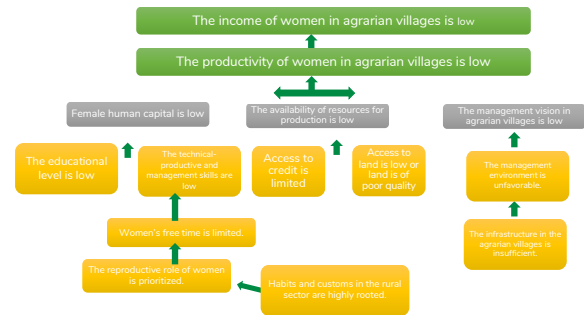
The policy planning

- To establish a clear framework that connects problems, proposed interventions and expected results.
- To assess the adequacy of foreseen interventions.
- To identify any deficiencies or policy design problems that may interfere with implementation.

United Nations
Decade of
**FAMILY
FARMING**
2019-2028



The logic model – Problem tree



United Nations
Decade of
**FAMILY
FARMING**
2019-2028



The logic model

Elements of the logical model	Process/ implementation			Results	
	Inputs	Activities	Outputs	Outcomes	Impacts
Definition	All financial, human, and material resources used to develop activities.	Actions taken or work performed with the available inputs to produce outputs.	Products, goods or services delivered by activities.	Immediate and medium-term changes that occurred after the outputs were delivered.	Long-term and broader changes after the outcomes took place.
Example: Contribute to employment and income for women farmers (older than 18 years of age) Mexico: Programa de Apoyo para la Productividad de la Mujer Emprendedora - PROMOTE	Budget to cover the operational costs and the expenses of the program and comply with the financing of at least 507 projects Technical support staff/agency/ institutional assistance in production, financing and marketing.	Assistance and grants for productive/agri-food projects - Provision of technical training for women on managerial knowledge, processing technology and marketing, to cooperate with other producers and to prepare project profiles; - Supervision and mentoring productive projects.	- Capacity-building training to empower women farmers on food production, processing, marketing, and business management. - Solid rural women-led agri-food projects	- Improved productivity of rural women - Enhanced administrative, managerial skills and knowledge for women to market their products, and on various forms of organization or cooperation with other producers. - Increased technological capacities to process own products; - More equitable distribution of domestic activities.	- Empowerment of rural women - Increased income of rural women Improved gender equity Greater self-esteem and recognition felt by women for having been listened to and being in charge of their own business.

United Nations
Decade of
**FAMILY
FARMING**
2019-2028



Indicators to monitor progress and achievement

PROMETE main progress indicators:

- Percentage variation in the income of the beneficiaries.
- Variation rate in the productivity level of the supported groups.
- Number of productive projects supported.
- Number of beneficiaries trained to implement productive projects.
- Number of legally constituted groups.
- Number of projects supervised.

United Nations
Decade of
**FAMILY
FARMING**
2019-2028



SESSION 3.3

The policy cycle model – ADOPTION

-
- Learning objectives**
- Understand how policy adoption can affect and/or change the formal decision made by governments in the formulation phase.
 - Understand and analyse the legislative aspects of family farming policies.
 - Explore how the policy framework set up in the adoption stage influences effectiveness in policy implementation.
-

- Key messages**
- The adoption stage of a policy proposal follows the formal decision made by decision-makers with the aim of materializing the policy or programme. It involves action by some official person or body to adopt, modify or reject a preferred policy alternative.
 - General steps include legislative and budgetary procedures which vary according to country. It is critical to understand and follow the process in detail to ensure the expected results in the policy implementation phase.
 - An assessment of the legislative agenda should map parliamentarians' positions regarding family farming and identify with them the best approaches to strengthen policies – by passing new legislation, through the revision of existing legislation, or defending the current legal framework, if it is adequate.
 - The vast majority of policies and programmes require funding to be implemented. Public budgets also require a formal law and should be developed in a comprehensive, transparent, realistic, policy-oriented and accountable way.
-

- Materials**
- Flipcharts, markers, computer, projector
-

- Resources**
- PowerPoint presentation on the legislative process – to be prepared by the facilitator/resource person
 - Table 3.3.2. Examples of articles – to be printed
-

Suggested time **2 HOURS**

- Comments and tips**
- The presentation of the legislative aspects of the policy-making process may be provided by a national expert.
 - Depending on the time, the facilitator can use all four subjects for the exercise or select the most relevant ones.
 - Further information in:
 - Vapnek, J., Boaz, P. 2021. Legislative and regulatory frameworks for family farming. FAO legal papers, no. 108. Rome, FAO. <https://doi.org/10.4060/cb6922en>.
 - Blondeau, S. and Korzenszky, A. 2021. Family farming. Legal Brief 8. Rome, FAO. <https://www.fao.org/3/cb8227en/cb8227en.pdf>.
 - Further information: *Guidance note 1. How to assess national policy, legislative, and institutional frameworks for responsible investments in agriculture and food systems* FAO: [Handbook for Parliamentarians](#)
-

- Handout**
- Table 3.3.1. Main steps of the legislative process
-

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY ICEBREAKER AND FACILITATORS'/EXPERT'S INPUT ON POLICY ADOPTION **30 MIN**

- The facilitator explores the knowledge of the participants and their understanding on how laws are formally made and asks:
 - **Considering your experience related to legislative processes in the country, which are the main steps of this policy adoption process, who are involved and what are the tasks to be done at the differ stages of this process?**
 - To complement the discussion, a national expert familiar with the country-specific procedures (or the facilitator) provides a short presentation about the policy adoption process. The presentation should also clarify the relation between policy and law in the country context (which is developed first and at what stage?). They also provide tips on how to best proceed and translate a policy alternative into a budget to support family farming. The facilitator/resource person may develop a PowerPoint presentation and/or provide the Table 3.3.1. "Legislative processes" contextualized to the country context to participants as a handout.

WORK IN GROUPS LAW ANALYSIS¹² **60 MIN**

- To exercise the law development/analysis, the facilitator divides participants into groups and provides the articles related to four topics: (1) Definition of family farming, (2) Associations and cooperatives of family farmers, (3) Public Procurement, (4) Land (Table 3.3.2, see Resources). The facilitator can use all the four subjects or select the most relevant ones, however, it is suggested that the subject of definition is always discussed (15 min per topic).
- During the working group participants should assess: **How the different articles approach/ define/regulate the issue/topic? What are concrete consequences of the different formulations?**
- As a second step, by using or modifying elements of these articles, participants have to **develop a definition for the given topic that can best fit in the country context**. They can take notes on the sheet with the articles (see last row, left empty). For the definition of family farming, recall discussion of 1.2.
- Each working group should nominate a rapporteur.

PLENARY LEGISLATIVE FRAMEWORK **30 MIN**

- After the presentation of each group about the outcomes of their discussion, the facilitator guides a plenary discussion, inviting other groups to comment and complement the presentations.
- The facilitator then invites participants to think and discuss:
 - **What are the pros and cons of a detailed or more general text in an adopted law/legislation?**
- The facilitator notes keywords to capture important aspects of policy adoption to inform the subsequent sessions on policy implementation/ monitoring and evaluation.

¹² For pedagogical and practical purposes, the focus of the exercise is on the analysis of law.

Technical background

The adoption stage

Policy adoption is the process that moves towards a formal decision made by the government. Decision-makers select one of the alternatives presented during the formulation stage and create (or revise) a policy or programme. It involves action by some official person or body to adopt, modify, or reject a preferred policy alternative (Anderson, 2011). For instance, this can be a review of governmental regulation, issuing a governmental decree, ministerial acts, revising or developing a new law, and often the combination of these steps.

Depending on the country, a policy can be developed before a law or regulation is prepared, such that the law or regulation puts the policy into action; or a policy can be developed afterward, to explain and guide those implementing the laws and regulations. In this stage, one of the fundamental aspects is to understand and analyse the legislative aspects of family farming policies, and to identify opportunities to generate a better and more effective policy environment.

When laws or regulations are to be prepared to put the policy into action, the adoption stage focuses on the **legislative and budget processes** to translate the policy alternatives into a formal legislation with associated funding (public budget) for its implementation. The substantive elements of a policy/programme and its financial aspects can form part of a single legislative process, or they can unfold separately. In this case, the adoption stage “ends” when a piece of primary legislation – creating a policy/programme – is enacted. Often, a detailed primary regulation then is issued by the head of the executive branch (with support of executive bodies like ministries or agencies).

Constitutions, and specific budget and financial legislation and regulations define the legal framework under which governments collect revenues and make expenditures. This framework establishes the roles and prerogatives of the executive and legislative branches, and rules and procedures to conduct the budget process every year (IMF, 1999).

The legislative process

The executive and legislative branches of the government can initiate legislative processes in different ways, including by receiving inputs from other interested actors. The substantive debate of policy alternatives then occurs under the procedural rules anchored in the constitutions that translate them into formal legislation.¹³

The legislative process is commonly defined as “the sequence of steps by which laws are formally adopted by Parliament” (House of Lords, 2017, p. 5). However, this process differs from country to country depending on several factors, including the type of regime (republic or monarchy), the structure of parliament (unicameral or bicameral), the governmental system (presidential or parliamentary), how many levels of government exist (unitary or federal states) and the party system (one, two or multi-party).

¹³ Review session 2.1 on the authoritative and legal dimensions of public policies.

In the adoption phase, the formulation of a specific law/legislation/policy continues within the institutional settings. The final wording of a law can have significant implication for the policy implementation.

Laws normally tend to be written in general terms, as necessary to achieve political consensus, and because the definition of more specific issues related to implementation is often the responsibility of the executive branch. In general, two main steps are needed to allow policy implementation: a primary and general law that creates a programme or policy and at least a primary infra-legal regulation. In contexts where there is greater conflict surrounding the policy process, the legislative branch can establish more detailed legislation in order to have more control of policy implementation and to include concrete criteria to conduct oversight activities.

The main steps of the legislative process follow a logical order from (1) the initial law proposal (or bill), through (2) the discussion in committees and (3) debate of the bill, ending with (4) the enactment (or rejection) of the final law.

TABLE 3.3.1 Main steps of the legislative process

MAIN STEPS OF THE LEGISLATIVE PROCESS	DESCRIPTION	EXAMPLE 1: THE PHILIPPINES' MAGNA CARTA ON SMALL FARMERS	EXAMPLE 2: NAIROBI'S URBAN AND PERI-URBAN AGRICULTURE POLICY
Law proposal	<p>Constitutions normally define which actor(s) within the executive and legislative branches have the prerogative to initiate laws (and this may be differentiated depending on the policy field).^a The law proposal can be initiated by various actors:</p> <ul style="list-style-type: none"> ■ single parliamentarians; ■ groups of parliamentarians; ■ the head of the executive; and ■ a large group of citizens signing a petition to bring a policy proposal to the attention of the parliament (if allowed by the national provisions). <p>Contributions may be made by various actors, including members of the cabinet, legislative technical staff, ministries, agencies and several non-state actors, such as interest/advocacy groups, the private sector, universities, NGOs, other community associations and affected groups and individuals.</p>	<p>The bill proposal of the Philippines' Magna Carta on Small Farmers was brought to the House of Representatives' (parliament) by a large group of its members.</p>	<p>Drawing from its new constitutional roles, the County Executive Committee sent a draft bill on the Urban Agriculture Promotion and Regulation Act to be analysed by the County Assembly. The draft was based on previous national legislation that provided counties with guidelines on land, urban areas, food security and nutrition matters. The bill aimed at improving food security and ensuring food safety by supporting and regulating urban agriculture. It stipulated that the Executive Committee develop annual and multi-year strategic plans with programmes and budgets and proposed a multi-stakeholder board to provide advice.</p>

MAIN STEPS OF THE LEGISLATIVE PROCESS	DESCRIPTION	EXAMPLE 1: THE PHILIPPINES' MAGNA CARTA ON SMALL FARMERS	EXAMPLE 2: NAIROBI'S URBAN AND PERI-URBAN AGRICULTURE POLICY
Discussion in committees/commissions	<p>Parliamentary committees or commissions with a specialized and efficient approach analyse draft legislation, including specific conditions and consequences of the potential enactment of a bill (Pasquino, 2000) and whether they are consistent with the legal system. These committees/commissions are organized thematically, relying on technical staff to conduct legal analysis. For example:</p> <ul style="list-style-type: none"> ■ Constitutional committees assess whether the bill is consistent with the constitution or not. ■ Economic committees assess the economic benefits, costs and impacts of the proposed bill. ■ Budgetary commissions assess the budget that will be necessary for the implementation of the bill. <p>A bill will also be analysed by other thematic commissions to assess its adequacy and integration with different policy fields (e.g. agriculture, health, education, human rights, etc.).</p> <p>The committees can hold hearings with affected parties and experts in the field and analyse data provided by ministries and technical agencies to help framing the debate.</p>	<p>The proposal was analysed by the Committee on Agriculture and Food of the House of Representatives. The process promoted public hearings to collect inputs from government agencies, NGOs, farmers' organizations, and other stakeholders. This helped to contextualize the situation of small farmers and frame the nature and extent of the problem (e.g. lack of enabling environment to promote productivity and livelihood) to be addressed.</p> <p>Officials and technical staff from the departments of Agriculture and Land Reform provided data and proposed policy objectives to the Legislative Committees collaborating with the parliamentarians and congressional technical team.</p>	<p>The proposal was discussed by the Food and Agriculture Committee that provided inputs.</p> <p>The County Assembly also promoted public participation via workshops, meetings, and advertisement in local newspapers. With the new constitution, participation became mandatory in the county legislative process.</p>
Debate in plenary sessions	<p>After it has been discussed (and potentially amended) in parliamentary committees, the bill reaches the plenary^b for debate by parliamentarians.</p> <p>The plenary could decide to:</p> <ul style="list-style-type: none"> ■ Accept the bill. ■ Review the bill again to make further modifications. ■ Reject the bill. <p>The debate process differs depending on the structure of the parliament: unicameral or bicameral.^c</p>	<p>After negotiations, interpellations and individual amends, the House reached enough quorum to approve the bill and sent it to the Senate. The Senate Committee on Agriculture and Food discussed the first version of the bill, presented new policy alternatives to support small farmers, and came up with a consolidated version.</p> <p>The House and the Senate created a joint Committee to reconcile differences and provide a final version submitted to the floor and ratified.</p>	<p>An updated version of the draft bill, including inputs from its Food and Agriculture Committee and the public participative process was presented to the Assembly for debate and voting.</p>

Notes:

a In some cases, supranational organizations have their own prerogatives to legislate on defined topics. This is the case in some regional organizations like the European Union. By joining the European Union, Member States effectively cede part of their sovereignty, including accepting legislation enacted in certain policy fields.

b Parliamentary rules can establish requirements for simple or qualified majorities for approval.

c In countries where the parliament is bicameral, the legislative process tends to last longer as the bill will have to be reviewed and can be amended by both chambers, with their distinct functions and compositions (Roger, 2003).

MAIN STEPS OF THE LEGISLATIVE PROCESS	DESCRIPTION	EXAMPLE 1: THE PHILIPPINES' MAGNA CARTA ON SMALL FARMERS	EXAMPLE 2: NAIROBI'S URBAN AND PERI-URBAN AGRICULTURE POLICY
Enact the law	<p>When the bill is approved by the parliament, it can be signed into law. In a presidential system, the president (head of the executive) has the power to veto proposed legislation or amendments made by the parliament. Rules will establish the conditions under which a president veto can be applied and exceptions for parliament to override the veto.</p> <p>In a parliamentary system, the executive and the legislative body are mutually dependent. The executive is supported by and is responsible to the majority in the parliament. When a bill is approved by parliament it is dispatched for signing by the head of state, the president of a republic or the monarch depending on the regime.</p> <p>Even if a bill follows the complete legislative process and is ready to be enacted into law, it can still be suspended by the courts, if their own legal interpretation finds it unconstitutional or not aligned to the legal system.^a</p>	<p>The bill was transmitted to the President, who signed it into law.</p>	<p>The County Assembly approved the bill and the Head of the Executive signed it into law.</p>

Note:
a Like the mechanism of Judicial Review in Indonesia, mentioned in session 3.1.

The existence of multiple decision-making actors and multiple rounds in the legislative process can make policy adoption more challenging, complex and slow (Anderson, 2011; Howlett, 2007). The final version of enacted laws are often the result of an accommodation of interests of several actors involved (Jann and Wegrich, 2007), and may result quite different from the initial propositions.

It is possible to develop strategies to support policy-making for family farming by focusing on the following key points:

- To map internal groups in the parliament and their supporting, neutral or opposing positions regarding family farming. In some countries, parliamentarian coalitions involving different parties have been constructed to support family farming and develop a more solid legislative agenda.
- For further reading: Parliamentary fronts against hunger and legislative initiatives for the right to adequate food and nutrition (FAO, 2017).
- To assess the legislative agenda to identify the best approach to strengthen policies on family farming - by passing new legislation, through the revision of existing legislation, or defending the current legal framework (if it is adequate).
- Different gaps may exist where proposed legislation has been blocked (e.g. policies that did not complete the formulation stage or even policies that were already translated into a bill but are stuck at one point of the legislative process and have not yet been enacted). For each of these gaps, supporting actors should develop specific strategies to overcome them.

The budget

Since most policies and programmes require funding to be implemented, and given that public budgetary processes also require a formal law, it is important to understand how this process is structured and how it influences the policy-making process. The budgetary process differs according to country and specific rules on how government activities are financed and how public budgets are translated into formal legislation.

A public budget is a financial plan concerning the government's revenues and costs. The budget is a central policy document of government, showing how annual and multi-year objectives will be prioritized, reconciled, and concretely implemented within the available resources (OECD, 2002, 2015).

The state structure establishes a legal framework that authorizes governments to collect **revenues** and make **expenditures**. Within this framework, public budgets are prepared and approved annually, and then executed and audited. Constitutions, and specific budget and financial legislation and regulations establish the roles and prerogatives of the executive and legislative branches, and the rules and procedures to conduct each stage of the budget process (IMF, 1999). The legal framework should support the development of budgets that are comprehensive, transparent, realistic, policy-oriented and accountable.

A budget can show a year and multi-year planning and can be structured by categories (personnel costs, credits, good and services – see in INDAP 2019, Annex 1) or by outcomes (crop production and value chain development, increased adoption of water management technologies, livestock production value chains developed, fisheries value chains developed – see in agriculture, irrigation, livestock and fisheries sector, Kisumu County for the period 2018–2022, Annex 1).

Adopting a strategic perspective

Beyond the procedural and financial aspects of the budget, it is important to think about public budgets from a more strategic perspective. Budget allocations reveal government policy priorities in an objective way. “The budget is not simply a financial statement; it is also a statement of policy. Conflicts over money are usually conflicts over policy” (Anderson, 2011, p. 174).

Even if governments create well designed policies and programmes and declare them to be priorities, low or insufficient budgetary allocations can provide contradictory evidence, as the programmes will not be able to produce effective outcomes. “At the extreme, policies without funding become nullities” (Anderson, 2011, p. 171).

The budgetary process is also a moment that can allow actors to review policies and programmes and propose changes based on their assessed outcomes (Anderson, 2011). If a programme is part of the set of constitutional or legal commitments, the annual budget allocation will tend to be preserved. For other programmes, a new process of negotiation takes place each year to guarantee or improve resources for specific budgets. In these annual discussions, the government can re-confirm its commitment to provide support for family farming.

Several countries (especially low-income countries that suffer from high levels of poverty) do not have effective tax systems. In restricted fiscal scenarios, the annual

budget proposal can reveal distributive conflicts, as raising one programme's budget necessarily requires decreasing other areas of spending.

By applying this strategic perspective to family farming policies,¹⁴ the budgetary process can be analysed by asking the following questions:

- How and where are family farming policies and programmes reflected in the national budget?
- Does the budget suggest that family farming policies are a priority for the government?
- Does the budget clearly outline the relevant organizational responsibilities?
- Does the budget provide sufficient data on the policies and programmes, including on each of the operations and their respective costs?
- How has the level of funding to family farming policies and programmes changed over time – has it increased, decreased, or remained stable over subsequent annual budgets?
- How does the level of funding compare to the estimates of demand?

Addressing these questions can reveal opportunities to improve the budgetary process related to family farming policies and programmes, making them more comprehensive, effective and transparent.

Tips to strengthen policy adoption for the support of family farming

- Be familiar with the legislative process to identify the most challenging steps and possible strategies to overcome them.
- In the propositions presented to candidates and political parties (see tips in the session 3.1) include, if applicable, commitments to address critical legislation that may be stuck along the legislative process and to a stable/increasing level of funding to family farming policies.
- Organize information to provide comprehensive policy briefs to committees and parliamentarians and take part during legislative and budgetary processes.
- Promote different and innovative ways during legislative and budgetary processes to inform and listen to the involved stakeholders, like online consultations, online hearings and media campaigns.
- Compare the portion of the budget assigned to a specific policy or programme over the years. Did it increase, remain stable or decrease? Why?
- Understanding how the budget is assigned and spent may be a way to check whether supporting political speeches are being translated into concrete action.
- Promote practical law awareness among local government and family farmers. Without such knowledge, enacted laws can be ignored and become less effective.

¹⁴ Compared to policies that support other modes of agriculture production, recap the proposed general themes and categories of agriculture production in section 2.2.

Resources

TABLE 3.3.2 Examples of articles of laws

DEFINITIONS	
<p>Chile Law 18.910 Replaces the organic law of the Institute for Agricultural Development" (2013)^a</p>	<p>Article 13.- For the purposes of the Institute's action, the following definitions shall be applicable: Small Agricultural Producer: is one who exploits an area not exceeding 12 hectares of Basic Irrigation, whose assets do not exceed the equivalent of 3 500 (Unidades de Fomento), whose income comes mainly from agricultural exploitation, and who works the land directly, regardless of its tenure regime.</p>
<p>Portugal Decree-Law 64/2018 Family Farming Statute (2018)^b</p>	<p>Article 5.- Recognition 5.1.- The title of recognition of the Statute is awarded to the head of the family farm who meets all of these requirements: a) Is over 18 years of age; b) Has a taxable income that is less than or equal to the amount that falls into the 4th bracket of the personal income tax; c) Receives an amount of support not exceeding EUR 5 000 as a result of common agricultural policy aids included in the single application (...).^d 5.2.- The person responsible referred to in the previous number must also be the holder of a family farm, as owner, superfiary, lessee, borrower, or other right, which cumulatively satisfies the following requirements: a) It is located on rustic or mixed property described in the registry and registered in the land register, as well as in the geometric cadaster of the property; b) It uses family labour in a percentage equal or superior to 50 percent of the total labour used.</p>
<p>Illinois (USA) Act 57 Illinois Family Farmer Support Act</p>	<p>505 ILCS 57/5 "Family farmer means an individual who is a resident of Illinois and owns and leases land in Illinois that is used as a farm as that term is defined in the Property Tax Code."</p>
<p>Russian Federation Federal Law No. 74-FZ On peasant (farmer) households (2003)^e</p>	<p>Article 1.- Peasant (farmer) household is an association of citizens connected by kinship and (or) property, having a common property or a property in common ownership and jointly carrying out production and other economic activities (production, processing, storage, transportation, and sale of agricultural products) based on their personal participation. Article 3.- The farm member may be spouses, their parents, children, brothers, sisters, grandchildren, and grandparents of each of the spouses, but not more than three families. Children, grandchildren, siblings of members of a farm may be admitted as members of a farm when they reach sixteen years of age.</p>

Definition of family farming in your context (to be formulated by participants) – recall discussion of 1.2

Notes:

a Original: "Sustituye ley orgánica del Instituto de Desarrollo Agropecuario (2013).

b Original: "Estatuto da Agricultura Familiar".

c Up to EUR 25 000 in 2018.

d EU funds in the previous year.

e Original: "О крестьянском (фермерском) хозяйстве".

ASSOCIATIONS AND COOPERATIVES	
<p>Nigeria Act 90/2013 Nigerian Cooperative Societies Act (2013)</p>	<p>Article 22. About qualification for membership of a primary society (Cooperative) A primary society may be registered under this Act, if it consists of at least ten persons each of whom is qualified. 22.1.- A person shall be qualified for membership of a primary society if: 22.1 (a) – He has attained the age of sixteen years (...); 22.1 (b) – He is resident within or in occupation of land within the registered society's area of operation as described in the by-laws (...).</p>
<p>Dominican Republic Draft Law Family Farming Law (2021)</p>	<p>Title I.- Definitions Article 1.- For the purposes of this law, the following definitions shall apply: Associative Economic Units of Family Farming: They are non-profit associative or cooperative organizations, composed of a minimum of five (5) family productive units, with common economic, ethnic or cultural characteristics, and endowed with a basic organization under which associative economic activities of production, exchange, commercialization, credit and consumption of goods and services are carried out.</p>
<p>China Order No. 57 Law of the People's Republic of China on Specialized Farmers' Cooperatives (2017)^a</p>	<p>Article 2.- of this law refers to farmers' professional cooperatives, is based on rural family contracting, the production and operation of agricultural products or agricultural production and management services providers, users, voluntary association, democratic management of mutual economic organizations. Article 3.- farmers' professional cooperatives should carry out one or more of the following businesses: 3.1 the purchase and use of agricultural production materials; 3.2 the production, sale, processing, transportation, storage and other related services of agricultural products; 3.3 rural folk crafts and products, leisure agriculture and rural tourism resources development and operation; 3.4 technology, information, facilities construction and operation services related to agricultural production and operation. Article 4.- farmers' professional cooperatives shall follow the following principles. 4.1 the membership of farmers as the main body; 4.2 to serve the members for the purpose of seeking the common interests of all members; 4.3 voluntary membership, the freedom to withdraw from the society; 4.4 equal status of members, the implementation of democratic management; and 4.5 the surplus is mainly in accordance with the volume (amount) of transactions between members and farmers' professional cooperatives proportional return. Article 5.- farmers' professional cooperatives must be registered in accordance with this Law, to obtain legal personality.</p>
<p>United Republic of Tanzania Chapter 114 Village Land Act (1999)</p>	<p>Article 53.- Village adjudication committee. 53.1 Where a village assembly that has approved a recommendation that a village adjudication process shall take place, the village council shall establish a village adjudication committee, the members of which shall be elected by the village assembly. 53.2 A village adjudication committee shall consist of not less than six nor more than nine persons, of whom not less than three persons shall be women, who shall serve for a term of three years and shall be eligible to be re-elected for one further term of three years.</p>

Definition of associations and cooperatives of family farming in your context (to be formulated by participants)

Note:

a Original: 中华人民共和国农民专业合作社法

PUBLIC PROCUREMENT	
<p>Uruguay Law 19.292 Law for the declaration of general interest. Family farming production and artisanal fishing (2014)^a</p>	<p>Article 2.- A state procurement system shall be created that shall only benefit Qualified Organizations formed in accordance with Article 5 of this law, for the development of family farming, livestock production and artisanal fishing.</p> <p>Article 3.- A minimum market reserve mechanism of 30 percent (thirty percent) for centralized purchases and 100 percent (one hundred percent) for non-centralized purchases of food goods from Qualified Organizations is established, provided that there is supply.</p> <p>Article 5.- A Qualified Organization is considered to any organization made up of at least five agricultural producers, of which at least 70 percent must be family farming producers. The family farmers must be owners of businesses with active registration in the General Directorate of Rural Development of the Ministry of Livestock, Agriculture and Fisheries.</p>
<p>Brazil Law 11.947 Establishing the School Feeding Programme in primary schools of Brazil (PNAE) (2009)^b</p>	<p>Article 1.- For the purposes of this law, school meals are defined as all food offered in the school environment, regardless of its origin, during the school period.</p> <p>Article 2. The directives for school meals are: (...) V – support to sustainable development, with incentive schemes for the purchase of diversified foodstuffs produced in the local sphere, preferably by family farming and by rural family enterprises, prioritizing the traditional and remaining “quilombo” communities of Indigenous Peoples.</p> <p>Article 14. From the total resources transferred by the FNDE,^c in the PNAE^d sphere, at least thirty percent (30 percent) should be used in the purchase of foodstuffs directly from family farming and from the rural family enterprises, or from his/her organizations, giving priority to the settled families of the land reform, the traditional and remaining quilombola communities of Indigenous Peoples.</p> <p>14.1.- The purchase provided for in this article, may be carried out with no need for the bidding procedure, provided the prices are compatible with the current market price, (...) and the products attend to the demand of quality control, established by the norms that regulate the subject.</p> <p>14.2.- Observance of the percentage provided for in the caput shall be regulated by FNDE and may be dispensed with when any of the following circumstances are present:</p> <p>I.- Impossibility of issuance of the corresponding bill of sale;</p> <p>II.- Impracticability of regular and constant supply of the foodstuffs; and</p> <p>III.- Inadequate hygiene-sanitary conditions.</p>
<p>Paraguay Decree 3000/15 Establishing the Complementary Procurement Modality called “Simplified Process for the acquisition of agricultural products of Family Farming” (2015)^e</p>	<p>Article 4.- the Complementary Procurement Modality includes:</p> <p>4.1 Participation will be open only to Family Farming producers individual or organized, that receive technical assistance from Ministry of Agriculture (MAG) or other public or private agencies that support Family Farming, duly recognized by MAG. The MAG shall regulate the mechanism for recognition, registration and census.</p> <p>Article 5.- Family farmers will not be required to meet minimum experience requirements in the supply of products, or other requirements that restrict their participation due to lack of sufficient experience.</p> <p>Article 6.- It is understood that notwithstanding the provisions of the foregoing Article, Family Farmers shall state with their bid, under oath, that:</p> <p>6.1 The production of the offered products has been carried out in accordance with the sanitary conditions of salubrity required for their cultivation.</p> <p>6.2 The production of these products is not the result of illegal activities, such as seed smuggling, the use of plots of land that are not their property without the owner’s authorization, the indiscriminate use of natural resources, among others (...)</p> <p>6.4 It does not employ children and adolescents in types of work considered as forbidden work and in particular “hazardous child labour”.</p>

Definition of public procurement in your context (to be formulated by participants)

Notes:

a Original: “Ley de declaración de interés general. Producción familiar agropecuaria y pesca artesanal.”

b Original: Dispõe sobre o atendimento da alimentação escolar e do Programa Dinheiro Direto na Escola aos alunos da educação básica.

c Fundo Nacional de Desenvolvimento da Educação – English: National Fund for Educational Development.

d Programa Nacional de Alimentação Escolar – English: National School Feeding Programme.

e Original: “Por el cual se establece la modalidad complementaria de contratación denominada Proceso Simplificado para la Adquisición de Productos Agropecuarios de la Agricultura Familiar y se fijan criterios para la realización de los procesos de contratación y selección aplicadas para estas selecciones.”

LAND	
<p>Argentina Law 5474 Law of Historical Reparation of Family Farming for the Construction of a New Rurality” (2016)^a</p>	<p>Article 15.- Access to land The Authority of Application shall coordinate with the competent bodies of the Executive Branch for the access to land for Family, Peasant and Indigenous Farming, considering land as a social good.</p> <p>Article 16.- Land Bank for Family Farming The Land Bank for Family Farming is hereby created (...) with the purpose of having suitable and available land for the development of productive undertakings of Family, Peasant and Indigenous Farming within the framework of the provisions of this regulation. The Provinces are invited to take similar initiatives in their jurisdictions. The Land Bank shall be made up of: a) The lands owned by the Nation b) The lands donated or bequeathed to the National State c) The lands transferred by the Provincial and Municipal States to the Nation for the purpose indicated in this Law. d) All rural lands that enter the patrimony of the National State by different judicial, administrative, tax or any other kind of mechanisms.</p> <p>Article 17.- Allocations will be made in family units, which will be determined taking into consideration, as a minimum, the following parameters: Ecological regions; Types of exploitation; Regional, zonal and local infrastructure; Productive capacity of the land; Capacity of the productive and financial equipment and economic condition of the applicant in cases of public offer; Number of members of the family group; and Legal insecurity regarding the tenure of the land they currently live and work on, or lack of access to it.</p>
<p>Paraguay Law 6286 of defence, restoration and promotion of family farming” (2019)^b</p>	<p>Article 16. In coordination with the other bodies of the Executive Branch, the enforcement authority shall implement an agile process of regularization and formalization of the ownership of the peasant communities that carry out Peasant Family Farming. Priority in the access and ownership of land rights shall be granted to the beneficiaries of this Law. The implementing authority shall coordinate with the corresponding bodies of the Executive Branch for the access to land for peasant and family farming of Indigenous Peoples, considering land as a social good.</p>
<p>Nicaragua Law 717 Law creating a fund for the purchase of land with gender equity for rural women (2017)^c</p>	<p>Article 1.- Purpose of the Law The purpose of this Law is to create a Fund for the purchase of land with gender equity for rural women, in order to grant legal and material appropriation of the land in favour of rural women, which will allow, in addition to improving the quality of life of the family nucleus, access to financial resources, prioritizing those women heads of household with low economic resources.</p> <p>Article 2.- This Fund shall have the following objectives 2.1 To finance the acquisition of properties in the rural sector, with the objective of establishing a land bank, to be adjudicated in character of sale with mortgage guarantee and with a gender focus, to poor women in the rural sector, taking into consideration their special state of economic vulnerability. 2.2 Promote the empowerment of women in the rural sector by becoming the owners of a means of production that guarantees the economic and food sovereignty of women and their families. 2.3 To strengthen and expand the rural productive system, thereby contributing to efforts to reduce poverty and extreme poverty, especially in the countryside.</p> <p>Article 3.- The “Fund for the Purchase of Land with Gender Equity in favour of Rural Women” is hereby created, the initial capital of which shall be established in the Annual General Budget Law of the Republic. The amount destined to create this item will depend on the availability of existing budgetary resources in the corresponding annual fiscal years. The initial capital of the Fund may be increased by means of budgetary contributions, resources from private donations, cooperation agencies and multilateral organizations endorsed by the State. However, the Fund must capitalize its resources to guarantee its sustainability.</p>

Definition of land in your context (to be formulated by participants)

Notes:

a Original: Reparación histórica de la agricultura familiar para la construcción de una nueva ruralidad en la Argentina

b Original: Ley de defensa, restauración y promoción de la Agricultura Familiar Campesina.

d Original: Ley Creadora del Fondo para Compra de Tierras con Equidad de Género para mujeres rurales.

SESSION 3.4

The policy cycle model – IMPLEMENTATION

Learning objectives	<ul style="list-style-type: none">■ Identify challenges and opportunities for the implementation of family farming policies.■ Discuss the different steps of policy implementation and the role of different actors in those steps.■ Contrast the outcomes and implications of the different policy implementation approaches.■ Practice systematic implementation planning.
Key messages	<ul style="list-style-type: none">■ In the implementation stage, a policy that was formulated is finally put into practice for the support of family farming.■ Implementing organizations will necessarily have to interpret norms, detail regulation and make choices on how to operationalize policy tools and instruments. Depending on the paths/ option chosen, actors will face different tasks and challenges. Therefore, the selection of most appropriate policy instruments and approaches is fundamental for the expected success.■ Implementing organizations are accountable to the government and the citizens and may develop partnerships with a range of actors to deliver sustainable results. The continuous dialogue with the policy beneficiaries/target groups is fundamental for the successful policy implementation.
Materials	<ul style="list-style-type: none">■ Flipcharts, markers, computer, projector
Resources	<ul style="list-style-type: none">■ PowerPoint presentation 3.4. The implementation stage■ Scenario 3.4 to exercise policy implementation (Brazil)
Suggested time	2 HOURS
Handouts	<ul style="list-style-type: none">■ Tables 3.4.1. Key features of leading implementing organization, 3.4.2. Supervision and oversight relations in the implementation, 3.4.3 Partnerships or contractual relations in implementation and 3.4.4 Interface with policy beneficiaries and target groups■ Table 3.4.5. Types of activity performed by implementing organizations■ Table 3.4.6. Potential challenge faced by implementing organizations

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PRESENTATION FACILITATOR'S INPUT ON POLICY IMPLEMENTATION 30 MIN

- A national expert familiar with the country-specific procedures/the facilitator introduces the implementation process in the country, complemented with further information also included in PowerPoint presentation 3.4 in Resources and invites participants to take notes of the key concepts as they will be used in the upcoming exercise. Tables 3.4.1. Key features of leading implementing organization and 3.4.2, 3.4.3, 3.4.4 on Actors and Table 3.4.5. Types of activity performed by implementing organizations can be disseminated as handout.

GROUP WORK IMPLEMENTING POLICY SOLUTION 45 MIN

- **OPTION A:** The facilitator and participants select a policy from the list developed in Session 2.2.: List of national policies and programmes which are targeted or relevant to family farming in the country. The facilitator can download and prepare a short supporting document for the exercise including the objective and expected outcome of the selected policy. In this is not possible, define the policy objective collectively.
- **OPTION B:** The facilitator provides participants with the first part of the scenario (see Resources).
- The facilitator divides participants into groups (5–6 people) and provides them with the first part of the scenario (see Resources) and invites participants to discuss and come up with an implementation strategy to progress with the issue.
- Guiding question for the group work include:
 - Which policy implementation approach would you use, and why?
 - What are the roles and tasks of different actors involved in the implementation process?
 - Which partners would you involve and how?
 - What would be the interface with the policy beneficiaries?
 - What type of activities will the implementation require?
 - What results would the process bring? What would be the outcome?
 - What are benefits and implications, consequences of the implementation process?
- Each working group should nominate a rapporteur.

PLENARY REPORTING BACK AND DISCUSSION ON POLICY IMPLEMENTATION CHALLENGES 45 MIN

- The rapporteur from each group presents the outcome of their discussion.
- **OPTION A:** Following this reporting, the facilitator invites participants to point on the possible challenges which can pop-up during the realization of the implementation plan they designed. To complement these inputs, the facilitator can presents the policy implementation challenges included in the PowerPoint presentation 3.4 in Resources.
- **OPTION B:** Following this reporting, the facilitator presents with the use of a projector the policy implementation challenges. They read out the second part of the scenario (see Resources) and invite participants to discuss how to overcome those challenges. Table 3.4.6 Potential challenge faced by implementing organizations can be disseminated as a handout.
- Guiding questions of the plenary discussion can include:
 - Considering the challenges, why was the policy implementations limited?
 - For each mentioned challenge, what were the existing and potential concrete solutions to unlock the implementation process and ensure the programme/policy reaches family farmers?

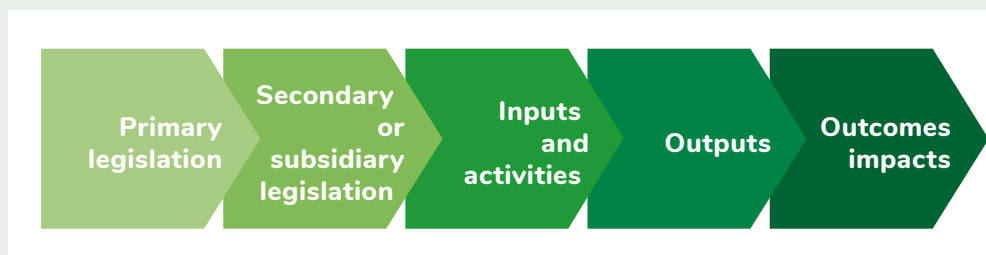
Technical background

The implementation stage

In the **implementation stage**, actions “put policy into practice” (Howlett, Ramesh and Perl, 2009, p. 160) through the daily operation of government while applying [legal] policy prescriptions (Anderson, 2011).

The legislation (that was adopted in the previous policy stage) grants authority to a specific, implementing organization to operationalize the policy or programme by issuing secondary or subsidiary legislation (e.g. ordinances, normative instructions, decrees and regulations)^a, outlining decisions and providing detailed instructions to mobilize inputs, perform activities and deliver the outputs.

FIGURE X The implementation process (based on Anderson, 2011, p. 212)



Despite the existence of primary legislation with a certain level of prescription, policy implementation is not an automatic process. Implementing organizations will necessarily have to interpret norms, detail regulation, and make choices on how to operationalize policy tools and instruments – meaning that, to a certain extent, formulation continues to take place in the implementation stage (Pülz and Treib, 2007).

Public organizations under the executive branch will lead the implementation and engage in different types of relations with other actors and beneficiaries/target groups.

Depending on the chosen policy tools and instruments, implementation will require different types of decisions and administrative actions. These actions should be organized in an annual implementation plan listing all the activities to be conducted, their chronological sequence, and who is responsible for carrying them out. The plan should be connected to the policy/programme logical framework and annual budget.

Policy implementation may face political and/or technical challenges in the context of family farming, where policies remain on paper rather than implemented. It might be hard to carry out activities and inputs may not be available at the right time. In the same way that pro-policy actors would make efforts to guarantee the policy implementation, policy opponents can develop different strategies to hinder or obstruct implementation (Howlett *et al.*, 2009).

Note:

^a Infrallegal norms can be issued by different units in the executive branch (e.g. the cabinet, the ministry of finance and by the implementing organizations).

Actors in the implementation chain and their relationships

Compared to the previous policy cycle stages that focused on the legislative and executive branches, the focus of the implementation stage turns to the **leading implementing organization**, for example, ministries, agencies, bureaus, offices, commissions, departments, etc. (under the executive branch of the state structure).

TABLE 3.4.1 Key features of leading implementing organizations.

LEADING IMPLEMENTING ORGANIZATIONS (LIO)
<ul style="list-style-type: none"> ■ The leading implementing organization, with specialization and experiences in a theme or field, is assigned its mandate to manage the policy or programme implementation through the primary legislation. For this task, legislation assigns personnel, infrastructure, budget, and authority to edit norms, develop activities and spend money. ■ Because of their policy expertise and specialization over many years, and their connections/lines of communication up to higher levels of government and down (to grassroots actors, implementing organizations operate from a strategic position compared to other actors who may not have the same amount of information, knowledge, experience, resources and relationships. ■ Following their internal regulations, routines and organizational structure, implementing organizations can rely on the following (Anderson, 2009): <ul style="list-style-type: none"> - Appointed officials and their cabinet/leadership team: High-level bureaucrats responsible for the leadership and representation of the organization. - Mid-level bureaucrats responsible for management in areas like programmes, legal, accounting, grants, human resources, etc. - The “street-level” (Lipsky, 1980) or front line-bureaucrats – if the organization provides services or executes any kind of activities in the field or in direct contact with beneficiaries and target groups.

Depending on the expected policy results, other actors can and should be involved in the policy implementation. Their contact to the LIOs can be grouped into three types of relations:

- A. **Supervision/oversight**
- B. **Partnership or contractual**
- C. **Interface with policy beneficiaries and target groups**

TABLE 3.4.2 Supervision and oversight relations in the implementation

A. SUPERVISION/OVERSIGHT RELATION TO LIO

Implementing organizations are accountable to the legislative, judiciary, or the head of the executive as their formal and direct principals. They are also accountable to the people. These relationships can be established in different ways (Anderson, 2009):

<p>The head of the executive^a can appoint top officials, define the annual budgets, establish policy priorities, and supervise their activities and performance.</p>	<p>The legislative body enacts legislation defining rules to be followed by the organizations, amends/approves the budget, and supervises their activities and performance (including through committees).</p>	<p>Courts and tribunals can provide specific interpretations of implementing organizations' internal rules and confirm or suspend their decisions.</p>	<p>Individuals and various non-state organizations participate and influence the decisions and activities carried out by implementing organizations, including by providing useful information, updated data, advocating for specific decisions, requesting information or protesting against measures taken.</p>
--	---	---	--

In the family farming national policy field, the most common leading implementing organizations are the ministries of agriculture/rural development. They have specific legislation enacted by the legislative branch and regulations from the head of the executive branch, providing them with authority to implement sectoral policies. Ministries can have other regional offices and connecting subordinated organizations (e.g. agencies, funds, public enterprises, bureaus, etc.) with more focused mandates (e.g. technical assistance, agriculture research, etc.)

Note:

a Some countries depend on specialized organs/agencies from the executive and legislative bodies to supervise the implementation (internal control). In general, they not only confirm whether the implementation is following strictly the legislation (underlining the importance of the previous phases of the cycle), but they also observe if activities are being implemented following the correct administrative procedures. Overall, they control the efficiency and effectiveness of activities carried out.

During the implementation, principals will control and review if organizations are correctly performing according to their legal attributions. They can do this by requesting them to provide information, justify adopted measures, carry out or stop specific actions.

Oversight of implementing organizations promoted by the political principals, non-state actors and citizens is important as it minimizes conflict of interest, pre-empting organizations from being held captive to the interests of specific groups. It also provides open information about their performance and identifies situations where they are failing to implement policies as they were defined by the legislative and executive (Howlett *et al.*, 2009).

TABLE 3.4.3 Partnerships or contractual relations in implementation

B. PARTNERSHIPS OR CONTRACTUAL RELATIONSHIPS TO LIO	
Leading implementing organizations utilize partnerships or contractual relationships with several types of organizations to support the delivery of activities. The implementing organization will have to develop adequate rules and standards to establish partnerships, provide funding and monitor how partners perform their tasks.	
TYPES OF PARTNER ORGANIZATIONS	EXAMPLES RELATED TO THE FAMILY FARMING POLICY FIELD
Other organizations with connected themes in the executive branch of the state structure (e.g. other ministries).	In Kenya , Nairobi, the urban and peri-urban agriculture policy involves cross-sectoral collaboration between the county food and agriculture sector and sectors responsible for urban planning, environment, water and natural resources, health and education areas. In China , the ministry and provincial departments of agriculture rely on the ministries of commerce, industry, information and transportation, and their local counterparts, to implement policies on informatization and digitalization for family farmers.
Other levels of government that share responsibilities in policy-making (e.g. states, provinces, municipalities and other types of subnational authorities).	In the Brazilian National Programme on Land Credit for youth, states signed technical agreements with the federal government. They were responsible for elaborating annual operational plans, land inspections, analysing and monitoring the loan requests until banking approval and keeping track and supporting beneficiaries. In China , provinces can compete for project proposals and pilots promoted by the Ministry of Agriculture. It is a way to adapt national guidelines, collect best practices and encourage innovation.
NGOs, CSOs, farmers' organizations, universities through collaborative agreements, grants and contracts to provide goods and services.	In Indonesia , NGOs/CSOs worked with local governments to structure the implementation of the national laws on farmers' protection and ensure that they are enforced. They promoted conferences and workshops with governments to develop regional regulations and helped the provinces with their annual planning. In Mexico and Brazil , rural workers' unions played an essential role in helping farmers and organizations access programmes, fill application forms and formulate requests for grants and loans. In the Philippines , irrigators' associations are responsible for managing irrigation systems provided by the National Irrigation Administration to their communities.
Private firms , also through collaborative agreements, and contracts to provide goods and services.	In China , policy dialogues involved big e-commerce platforms on developing possible e-commerce strategies to benefit family farmers. The private sector, along together with universities, also provided thematic training on e-commerce for smallholder family farms in the poor regions. The training was focused on applied skills and knowledge sharing. In Brazil , Bahia Produtiva nurtured commercial and productive alliances between family farmers' organizations and the private sector (for example, supermarkets) to strengthen their products' sales and marketing channels. Private consultants were hired to develop studies on the most important value chains and provide inputs for developing business plans.

TABLE 3.4.4 Interface with policy beneficiaries and target groups

C INTERFACE WITH POLICY BENEFICIARIES AND TARGET GROUPS

The success of the policy implementation often depends on relationships between the organization's personnel (especially the "street-level"/front-line employees) and the beneficiaries and/or target groups of the policy (e.g. individuals and families, organizations and firms^a). This includes the leading implementing organization as well as possible contracted partners with similar interface.

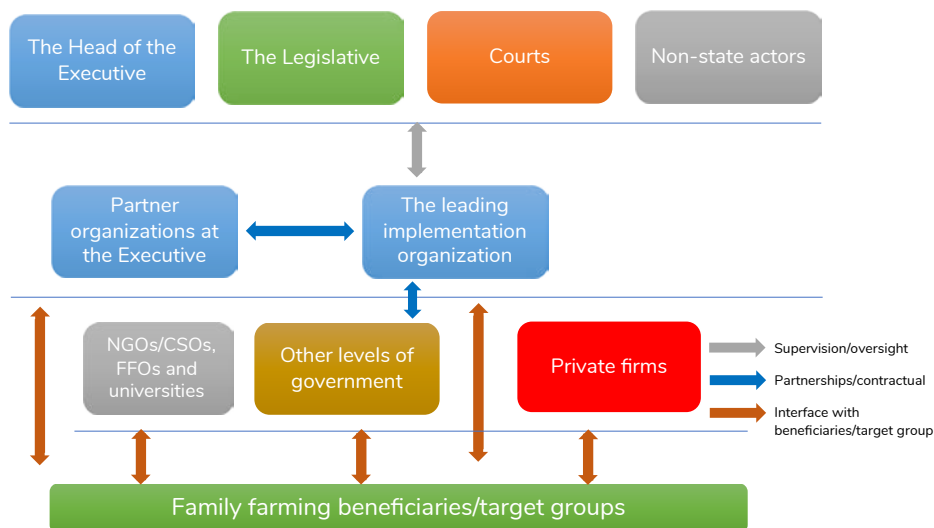
STREET-LEVEL/FRONT-LINE EMPLOYEES	INTERFACE WITH POLICY BENEFICIARIES AND TARGET GROUPS
Banking officers	In the Brazilian National Programme on Land Credit for youth, the role of banking officers is one of the most critical along the implementation chain. They welcome and orient young farmers who seek to benefit from the programme. Lack of interest in supporting young farmers (like other banking clients) can make the analysis of loan requests longer and more difficult. The case proves how crucial it is to train bank officers to develop a proactive approach to provide solutions and to better understand the issues faced by youth farmers.
Programme officers	In the Mexican Supporting Programme for the productivity of the entrepreneur woman – PROMETE, programme officers informed potential beneficiaries of the rules to access and guidance on how to spend money and register expenses. Their tasks also involved capacity building on gender and field visits. One of the gaps identified in the support programme officers provided was that their guidance relied mainly on administrative aspects and lacked a truly gender transformative approach. The implementing organization can promote internal reflections to assist officers improve their supporting roles and find effective ways to guarantee a gender approach to the programme.
Field extension workers	In Kenya , Nairobi, one of the critical factors that boosted the implementation of an urban and peri-urban agriculture policy was the transfer of experienced national staff from the ministry of agriculture, especially field extension workers, to the county. They helped strengthen a network of agricultural and veterinary services that supported family farmers.

Note:

a See session 2.2 for discussion of different beneficiaries of family farming policies and programmes.

Based on these three types of relationship, Figure 3.4.1 summarizes the political environment of the leading implementing organizations, showing the actors involved in the implementation chain and possible relations. Note in the upper part the main principals to whom the organization shall be account. At the same hierarchical level, it can count on other organizations from the same government level. In the bottom, the organization can develop direct relationships with policy beneficiaries and/or count on partner organizations from other levels of government, private and non-profit/voluntary sectors. These partners, in turn, will also develop direct relationships with policy beneficiaries, as policy implementers. Despite their strategic advantages, implementing organizations and their partners may not always have adequate infrastructure, resources, and management structures – and this can prevent them from effectively implementing policies and achieving their missions.

FIGURE 3.4.1 The political environment of leading implementing organizations (based on Anderson, 2009)



BOX 3.4 Implementation’s legal framework

In the Brazilian National Programme on Land Credit for youth, the federal legal framework involves different types of legislation issued by various bodies, from the constitution until resolutions from intern councils. Each piece of legislation covered general and specific subjects needed to make loans operational and reach young farmers.

Our First Land Programme. Federal legal framework

YEAR	TYPE OF LEGISLATION	COVERED SUBJECTS	INCUMBENT BODY
1988	Federal constitution	The constitutional framework that guides agricultural and land reform policies	The National Constitutional Assembly
1998	Complimentary Law n. 93	Regulation of constitutional articles related to land reform and establishment of a supporting public Fund	The National Congress
2002	Resolution n. 2935	Financial conditions applicable to land loans	The National Monetary Council
2003	Decree n. 4.892	Launch of the National Land Credit Programme	The Presidency
2004	Resolution n. 42	Approval of the Programme operational manual	The National Council for Sustainable Rural Development
2004	Resolution n. 04	Establishment of the label “Our First Land” under the Programme	The Secretary of Agrarian Reform

Connected to the federal framework, each state enacts complimentary legislation to regulate its roles and tasks along the implementation chain. The programme had some of its rules updated over the years with new decrees and resolutions. It allowed greater agility in incorporating farmer organizations’ demands, adaptations and corrections for more effective implementation. From the National Monetary Council, one of these resolutions made loan conditions more favourable, reduced annual interest, and extended the payment period.

Implementation approaches

Implementing organizations can adopt different approaches to policy implementation. **Top-down approaches** start from the prescriptions developed during the formulation stage on how the implementing organizations should deliver the policy. More **bottom-up approaches** place greater emphasis on the experiences of the beneficiaries/target groups and their relation to the front-line bureaucrats, and their “action on the ground” (Pülz and Treib, 2007, p. 92) – how they apply the rules, make day-to-day decisions in situations not foreseen in the legislation, and how these spaces of autonomy influence implementation.

These approaches pose a challenging balance that requires that formulators are able to establish clear policy objectives and monitor how implementing organizations establish the “adequate bureaucratic procedures to ensure that policies are executed as accurately as possible” (Pülz and Treib, 2007: 91). On the other hand, there is the “inescapable” autonomy, which implementing organizations and possible partners face daily while applying norms, interacting with beneficiaries/target groups and solving unexpected problems.

The duality of approaches doesn’t necessarily imply one is better than the other. Top-down approaches can have a role through to the initial stages of implementation or to mandatory elements that demand the same understanding and standard applicability to all regions and beneficiaries equally. Bottom-up approaches can be adequate when there is space for local adaptations to make the interventions more effective. The approach also allows inputs for updating priorities, an eventual review of mandatory elements of the policy (if they are not functioning as forecast in the logical framework), or if one local adaptation should be incorporated into the general rules. Moreover, bottom-up approaches can stimulate actors from the bottom line to develop a sense of ownership (SEARCA, 2020, p. 90).

In the Philippines’ **Magna Carta**, an initial top-down implementation is established by the Department of Agriculture’s central office towards provincial and municipal level regarding the national government priorities to promote small farmers’ welfare. It is reflected in strategic, budgeting, and operational decision-making. However, such an approach is complemented by a feedback loop since local governments try to engage farmers’ organizations in designing and evaluating operative and investment plans. Once locally approved, the plans are presented as inputs for the national budget.

Activities and decisions involved in implementation

Implementing organizations define how the available inputs will be organized to develop activities and deliver the outputs. In general, activities during the implementation phase can be organized in four main groups (Anderson, 2009):

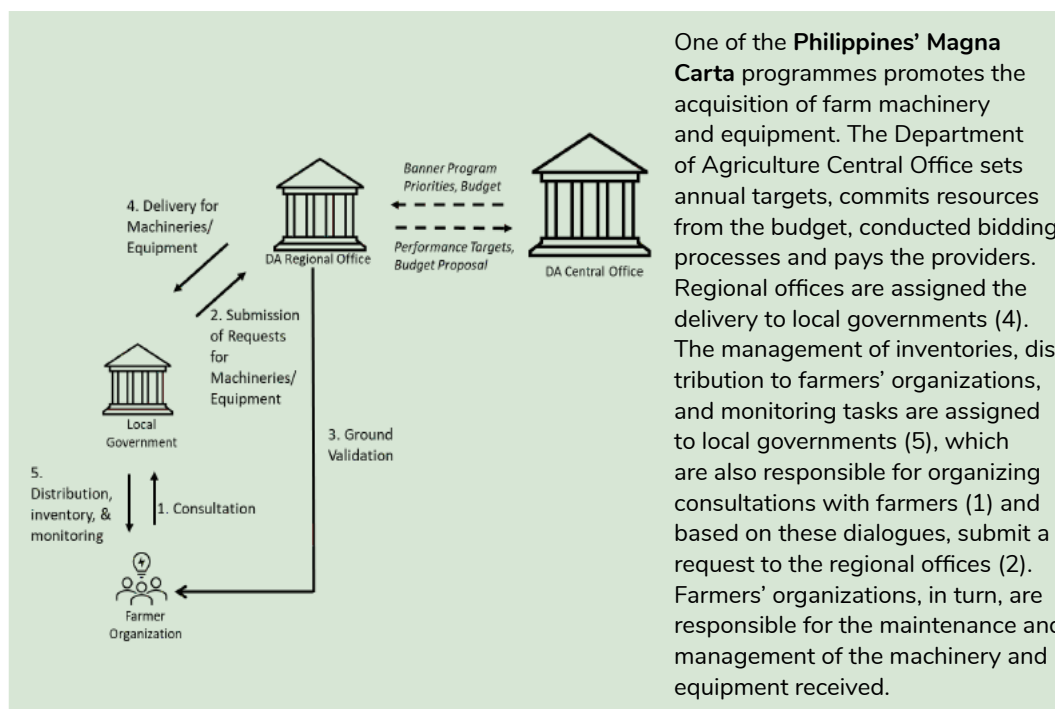
TABLE 3.4.5 Types of activity performed by implementing organizations

TYPE OF ACTIVITY	BASIC DEFINITION	EXAMPLES RELATED TO FAMILY FARMING POLICIES
Rule making	Interpreting and adding detail to a primary legislation to carry out the development of secondary or subsidiary legislation prescriptions.	In Mexico , the initial design of PROMETE targeted women over 18 years of age who lived in specific tiny agrarian villages (“ <i>Núcleos Agrarios</i> ”) classified as highly vulnerable. Women could request support for productive projects individually or for groups of up to 15 people. It was not mandatory that groups were legal entities.
Adjudication	Applying the norms to concrete cases. The implementing organization checks, for instance, if families are eligible for a specific policy, given specific criteria.	In Rwanda , the government analyses family farmers’ applications to check if they are eligible to receive subsidized fertilizers and seeds. In Chile , INDAP applies five standard criteria to analyse credit requests and a system of risk rating.
Law enforcement	Applying measures to guarantee compliance. The implementing organization sanctions against beneficiaries/target groups that violated policy prescriptions.	In Guatemala , the government terminated some of the concession contracts, claiming that community associations had not met their contractual obligations.
Programme operations	Managing grants, contracts, loans, taxes, benefits, public properties, infrastructure, etc. The implementing organization provides various services and benefits to beneficiaries and target-groups	In Brazil , Bahia Produtiva launched competitive Call for Projects to support farmers’ organizations in two lines: market access and productive inclusion. Proposals presented by community associations and cooperatives are assessed and ranked pre-defined criteria. Those selected sign grants and receive technical and financial support to implement their projects.

Based on the typology of policies targeting family farming and considering the different types of policies and instruments,¹⁵ the following example illustrates the types of decisions and actions that can be taken during the implementation stage – at various administrative levels.

¹⁵ See sessions 2.1 (policy news) and 3.3 (programme budget).

FIGURE 3.4.2 The Philippines’ Magna Carta process flow for the delivery of farm machinery and equipment (SEARCA, 2020)



Given the implementation flow related to the Magna Carta in the Philippines, the following table provides a possible sequence that connects inputs, activities and outputs from the perspective of the leading implementing organization.

Implementation challenges

TABLE 3.4.6 Potential challenge faced by implementing organizations

IMPLEMENTATION CHALLENGES	EXAMPLE RELATED TO THE FAMILY FARMING POLICY FIELD
<p>Define and/or interpret what is stated in the general policy. Unreasonable interpretation could, for example, narrow or amplify the reach of the policy, risking the exclusion of the intended beneficiaries or the unintended inclusion of non-target groups.</p>	<p>In the Brazilian National Programme on Land Credit for youth, a clarification had to be provided on the criteria to classify a person as “young”, since different policies adopted distinct standards. Actors decided to adopt a default range between 18 and 29 years of age, allowing a broader one from 16 to 32 years of age in specific cases.</p>
<p>Guarantee a common understanding of policy processes amongst all employees (and partner organizations, if applicable) and to develop supervision mechanisms to avoid possible deviations or unequal treatment of beneficiaries.</p>	<p>After many years, the Philippines’ Magna Carta on Small Farmers has its directives reflected in the agencies’ routine operations and it provides a reference for national and regional planning. A current challenge is how to target distant and isolated regions in the annual planning and develop strategies to reach them.</p>

IMPLEMENTATION CHALLENGES	EXAMPLE RELATED TO THE FAMILY FARMING POLICY FIELD
<p>Increase accountability and trust between the organization, its stakeholders and beneficiaries. These include developing a charter for public services,^a disclosure of information and decisions, publication of periodic activity reports, public consultations, and developing other participatory approaches for tracking and improving the implementation flow.</p>	<p>In China and Viet Nam, actors build mechanisms to provide and accept local inputs along the implementation to update national guidelines.</p> <p>In Indonesia and the Philippines, NGO-CSOs and regional-local governments worked together to build annual implementation plans.</p>
<p>Develop efficient mechanisms for coordination and collaboration to avoid or minimize intra- and inter-organizational conflict. Conflicts may occur because of the lack of a precise division of responsibilities (gaps or overlaps), limited collaboration between organizations, or unclear rules on how to perform activities.</p>	<p>In West Africa, Le Programme de Développement de l'Agriculture en Afrique (CAADP) made efforts to develop a common result framework to overcome policy fragmentation and competing initiatives between regional organizations, donors in different member countries.</p> <p>Rwanda's PSTA established performance contracts between different ministries and between national and local governments to minimize intra and intergovernmental conflicts. This mechanism can drive policy coordination and track the reach of defined targets. Other policies establish different inter-ministerial supervision mechanisms and multistakeholder working groups to plan and track the implementation flow.</p>
<p>Deal with the potential lack of adequate and/or insufficient inputs, including qualified personnel, regular budget availability, strategic management and political support.</p>	<p>In the Brazilian National Programme on Land Credit for youth, some of the main gaps identified were the excessive bureaucratic procedures, lack of support from banking officers and delay in releasing the loans.</p> <p>In Mexico, administrative reforms at the ministerial level changed the unit responsible for the implementation of PROMETE. It allowed projects for women farmers to enter into a larger pool of agricultural projects, which resulted in the loss of its gender approach.</p> <p>In Kenya, Nairobi, the agriculture and food sector has a qualified and experienced staff. However, low budgets create significant constraints to advance policy support for urban and peri-urban family farmers.</p>

Note:

^a Service, customer or citizen Charters can be defined as public documents that set out basic information on the services provided, the standards of service that customers can expect from an organization, and how to make complaints or suggestions for improvement (OECD *et al.*, 2007. p. 15).

Concrete tips to strengthen implementation processes for the support of family farming

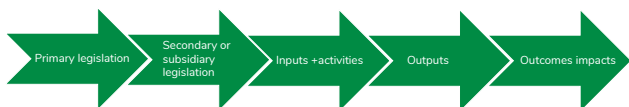
- Take time to develop detailed annual implementation plans, linking specific inputs and activities to each expected output.
- Certify that the implementation plans are connected to the programme’s logical framework and the assigned budget.
- Certify that for each activity, someone is in charge.
- Review the agreement instruments with implementation partners to check if they are accurate in defining their roles and tasks. If not, discuss ways to improve the instruments and reassure what is expected of them.
- Involve implementation partners in the annual planning and be open to possible adaptations and updates based on their feedback.
- List possible setbacks that can threaten policy implementation and ways to manage them.

Resources

POWERPOINT PRESENTATION 3.4 The implementation stage

SESSION 3.4 - The Implementation

- Putting policy into practice through the daily operation of government
- Policy implementation process: not an automatic or mechanic process. Includes the interpretation of norms, detail regulation and making choices on how to operationalize policy tools and instruments



- Depending on the chosen policy tools and instruments, implementation will require different types of decisions and administrative actions



Actors and their relation

- **Leading implementing organization:** ministries, agencies, bureaus, offices, commissions, departments, etc. (under the executive branch of the state structure).
 - with specialization and experiences in a theme or field,
 - is assigned its mandate to manage the policy or programme implementation through legislation/regulation.
 - For this task, legislation assigns personnel, infrastructure, budget, and authority to edit norms, develop activities and spend money.



Actors and their relation (1)

Supervision/oversight relation to LIO			
Implementing organizations are accountable to the legislative, judiciary, or the head of the executive as their formal and direct principals. They are also accountable to the people.			
The head of the executive can appoint top officials, define the annual budgets, establish policy priorities, and supervise their activities and performance.	The legislative body enacts legislation defining rules to be followed by the organizations, amends/approves the budget, and supervises their activities and performance (including through committees).	Courts and tribunals can provide specific interpretations of implementing organizations' internal rules and confirm or suspend their decisions.	Individuals and various non-state organizations participate and influence the decisions and activities carried out by implementing organizations, including by providing useful information, updated data, advocating for specific decisions, requesting information or protesting against measures taken.



Actors and their relation (2)

Partnerships or contractual relationships to LIO
Leading implementing organizations utilize partnerships or contractual relationships with several types of organizations to support the delivery of activities. The implementing organization will have to develop adequate rules and standards to establish partnerships, provide funding and monitor how partners perform their tasks.
Types of partner organizations
Other organizations with connected themes in the executive branch of the state structure (e.g., other ministries).
Other levels of government that share responsibilities in policy-making (e.g., states, provinces, municipalities and other types of subnational authorities).
NGOs, CSOs, farmers' organizations, universities through collaborative agreements, grants and contracts to provide goods and services.
Private firms, also through collaborative agreements, and contracts to provide goods and services.



Scenario – Based on Nossa Primeira Terra del Programa Nacional de Crédito Fundiário -Terra Brasil- (PNCF)/Our first Land Programme of the National Programme for Land Credit (Case study documented by PROCASUR) – see Annex 1

Part 1

As part of the Programa Nacional de Crédito Fundiário – PNCF (“national programme for land credit”) enhancing agrarian reform in the country initiated in the 1990s, the government established a general land credit operation programme with the aim of reducing rural poverty by supporting family farming (small-scale and/or landless rural workers) through facilitating access to land, and improving production practices to increase income.

While in the initial years of the PNCF, credit conditions were not available to young farmers, the continuous advocacy activities of social movements and family farmers’ organizations (e.g. La Confederación de Organizaciones de Productores Familiares del Mercosur Ampliado – COPROFAM) and their dialogue with the federal government, resulted in the extension of the programme to rural youth. In turn, the National Council for Sustainable Development established the Land and Agrarian Reform Fund and thus initiated an age-specific credit programme to provide young people access to the main social and economic reproduction assets.

Main goals/objectives of the policy:

- to decrease youth exodus from rural areas and provide solutions for generational renewal and succession problems by facilitating access of youth to complementary production assets, such as natural, financial resources, technical services and infrastructure;
- to increase the ability of youth to create autonomous projects and legitimize their importance as social actors, who can grow by actualising their ideas and projects in Brazil.

Part 2

Despite a participatory and decentralized approach, the implementation of the programme “Nossa Primeira Terra” faced a series of legal, institutional, bureaucratic and cultural obstacles: (1) One of the first difficulties was to define the target audience, since there was no legal consensus on the corresponding age group. (2) In the course of the policies implementation, another issue was the excessive bureaucratic procedures: in many cases it was difficult for young people to engage in negotiation about the acquisition of land and/or to deal with financial agents. (3) It was also difficult to identify available land (4) Moreover, land prices increased fast while the maximum value that youth could obtain for land acquisition remained low. (5) Finally, another known shortcoming of the project was the lack of interest on the part of bank officers, and their low-level of training to work with and orient young farmers as their clients, which often delayed the release of the loans.

Due to these factors, among others, the land credit programme for youth did not reach the expected number of beneficiaries. In general, in the context of the PNCF, over the years from 2007 onwards, the number of beneficiaries and the value of operations has been constantly in decline. The number of families, for example, dropped from 10 606 in 2007 to 244 in 2016 and just 15 in 2017 (until May). For the period of 2013–2017, the Ministry of Agrarian Development reported 437 families who gained access to this credit through the NPT.

SESSION 3.5

The policy cycle model – MONITORING AND EVALUATION

- Learning objectives**
- Understand the relevance and importance of Monitoring and Evaluation (M&E) for the continuous improvements of family farming policies and programmes.
 - Recognize that elements of the M&E need to be considered and planned from the formulation phase of the policy cycle.
-

- Key messages**
- Monitoring can substantially contribute to advancing the implementation of policies, programmes, etc. The monitoring process can be used as a catalyst to keep the policy on track and can reinforce constituencies, ensure accountability and spread engagement.
 - Evaluation can explain possible gaps in policy/programme theory of change and implementation and searches for cause-effect relationships between interventions and observed changes.
 - The logical model can be a useful instrument for setting up an M&E framework.
 - Based on M&E findings, state actors can decide, if a policy/programme should continue, be revised or is terminated.
 - Post-M&E decisions highlight the idea of policy learning by avoiding repeat mistakes and making implementation more effective and geared toward desired goals.
-

- Materials**
- Sticky notes, flipcharts, markers, computer, projector
-

- Resources**
- PowerPoint presentation 3.5. The Monitoring and Evaluation Stage
-

Suggested time **1 HOUR**

- Comments and tips**
- The presentation may be provided by an M&E expert. M&E examples and their findings and impacts can be brought into the presentation from the national context.
-

- Handout**
- PowerPoint presentation 3.5. The Monitoring and Evaluation Stage
-

Facilitator's note

DESCRIPTION OF THE SESSION AND ITS MATERIALS

PLENARY BRAINSTORMING

15 MIN

- The facilitator presents the session and introduces its main questions:
 - **Why is Monitoring and Evaluation (M&E) important in your opinion?**
 - **What can be assessed by conducting M&E in relation to family farming policies/programmes?**
- The facilitator invites participants to share their ideas and experiences. They take notes of the proposed ideas on sticky notes and collect those on a flipchart by grouping similar ideas.
- At the end of this exercise, the facilitator complements the brainstorming by presenting Box 3.5. Strategic aspects related to M&E questions

PLENARY FACILITATOR'S INPUTS WITH DISCUSSION

45 MIN

- The facilitator or an M&E expert provides a presentation on the M&E stage of the public policy cycle (see proposed PowerPoint presentation 3.5 in Resources). They may start the presentation by recalling the logical model on PROMETE that was presented in Session 3.2 on the *Policy implementation stage* to connect earlier discussions to the M&E stage. The PowerPoint slides used for the presentation can be disseminated to participants as handouts.
- The facilitator or an M&E expert pause before the last slide of the PowerPoint presentation and opens the floor to discussion asking:
 - **What influence can M&E results and findings have on the future of the policy/program?**
- After the discussion, the facilitator/M&E expert closes the presentation with presenting content of the last slide of the PowerPoint presentation.

Technical background

The monitoring and evaluation (M&E) stage

The **Monitoring and evaluation** (M&E) stage assesses what has been delivered, how it was delivered, and whether the delivery matches the previously defined goals and objectives. It also considers whether the intended (and unintended) effects/results/changes occurred (fully or partially) because of the policy/programme or not. Finally, it also seeks to identify the factors that explain policy success or failure and what can be done to improve future action (Gujit and Woodhill, 2002).

M&E frameworks should ideally be developed during the formulation stage and integrated with other managerial tools, including budgets, and personnel and activity plans. They should establish how progress and effects will be assessed (or in other words, *what* will be monitored and evaluated) and which data will be collected to enable policy/programme tracking. An M&E framework can track each of the elements of the logical model (see session 3.2), establishing indicators and annual or multi-year targets.

To do so, the M&E framework defines

- performance questions to answer, indicators and other information needs;
- methods and frequency for data collection and analysis;
- pathways to integrate M&E findings in future decision-making processes;
- opportunities to communicate findings to stakeholders.

The M&E findings about a policy/programme are reported and discussed by the involved actors. This discussion will inform the decision, if the policy/programme should continue, if it is to be revised or indeed terminated. State actors have the legal authority to define those changes based on M&E findings.

Even though monitoring and evaluation are distinct, they are complementary and connected: While monitoring^a is more descriptive and focused on gathering data (*what?*), evaluation^b provides an appraisal of success or failure (based on different criteria) and searches for cause-effect relationships (*how and/or why*). While monitoring is a routine activity, evaluation is usually more periodic (Gujit and Woodhill, 2002; Kusek and Rist, 2004).^c

Different actors can engage in M&E activities, producing, receiving, interpreting, using and disseminating data about policies and programmes. The state actors (implementing organizations, head of the executive, parliamentarians) normally have the formal role in the M&E process while non-state actors can autonomously track and assess the different policies in addition to official government's data and findings.

Although the nature of M&E functions of different governments varies in sophistication, rigour, structure and formality,^d they are becoming more and more internalized by the executive and legislative branches,

Notes:

a Monitoring can be defined as "a continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds" (OECD, 2002, p. 27).

b Evaluation can be defined as "the systematic and objective assessment of an ongoing or completed project, programme, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process." (OECD, 2002, p. 21).

c Adapted from Gujit and Woodhill, 2002, p. 2–5 and OECD, 2002.

d Policy evaluation is performed in numerous ways by officials and organizations. Sometimes these evaluations are rigorous and systematic; at other times, they are rather haphazard or sporadic. In some instances, policy evaluation has become formalized, a regular component of the policy process; in others it remains essentially informal and unstructured. (Anderson, 2011).

BOX 3.5 Strategic aspects related to M&E questions

- ◀ **RELEVANCE:** Is the policy/programme consistently addressing the problem or target groups/beneficiaries' needs?
- ◀ **EFFECTIVENESS:** Did the policy/programme reach the expected objectives?
- ◀ **EFFICIENCY:** Did the policy/programme use inputs and develop activities in the best possible way? What was the ratio of benefits to costs?
- ◀ **IMPACT:** Did the policy/programme contribute to long-term goals as expected? Did the policy/programme cause any unanticipated effects (positive or negative)?
- ◀ **SUSTAINABILITY:** Will the policy/programme benefits continue after its conclusion?
- ◀ **LEGAL AND ADMINISTRATIVE PROCEDURES:** Did the policy/programme implementation follow the legislation previously adopted? Did the activities follow the correct administrative procedures?
- ◀ **DOCUMENTATION:** Are the different processes that are part of the policy implementation well-registered and documented?



including their internal control organs. Developing M&E is becoming not only an additional effort to assess the efficiency and effectiveness of the policy, but also a need/must-do to safeguard policymakers who are responsible for the implementation.

TABLE 3.5.1 Actors in M&E

STATE ACTORS		
IMPLEMENTING ORGANIZATIONS	HEAD OF THE EXECUTIVE BRANCH	PARLIAMENTS
<p>The implementing organizations collect data about the implementation of their policies and programmes to determine how they are operating, and what results are being achieved. Normally they provide the primary source of data through administrative records or evaluations conducted. Implementing organizations use M&E findings to confirm successful implementation (or to make timely corrections to address deficiencies), and to secure political support and adequate funding for their activities.</p>	<p>The head of the executive can create specialized units (e.g. statistics divisions or accountability offices) to monitor policies and programmes implemented by different units under the executive branch's control. As part of their oversight activities, they check that organizations are implementing policies consistently in the way they were defined by the enacted law. They can use data collected through M&E processes and conduct reviews to make decisions on reformulation, expansion, reduction or even termination.</p>	<p>The parliaments can also develop regular M&E activities through the work of specialized commissions or through the actions of parliamentarians (as individuals or working in groups). As part of their oversight activities, they check that organizations are implementing policies consistently in the way they were defined by the enacted law. They can use data collected through M&E processes and conduct reviews to make decisions on reformulation, expansion, reduction or even termination.</p>
	<p>In some countries, the executive and/or the legislative branches depend on specialized organs/agencies to supervise programme implementation, like audit courts and internal comptrollers. In general, they track if the implementation is following the previously-adopted legislation. They also track whether activities are being implemented under the correct administrative procedures. They can also assess the policy/programme efficiency and effectiveness dimensions (see the next session).</p>	
<p>M&E in Kenya, of Nairobi's food and agriculture sector, focuses on budget spending and output delivery, compared to the targets established in the County Integrated Development Plan. Data comes from quarterly departmental and field reports collected by extension staff. The sector has an M&E officer in charge. Nairobi was recently selected to pilot the Milan Urban Food Policy Pact monitoring framework.</p>	<p>In Chile, the Ministry of Finance contracted an evaluation for INDAP Programmes. It is part of its management control system, which provides performance information to support decision-making on budget allocation and spending. The study analysed four programme dimensions: design, management, resource use and outputs.</p>	<p>In Kenya, Nairobi, annual M&E reports are made public and utilized by the County Assembly as inputs to analyse and enact the forthcoming yearly budget. The County Integrated Development Plan tracks the sector's implementation against targets previously approved by the County Assembly.</p>
NON-STATE ACTORS		
<p>Universities, independent research centres, private firms, media, thinktanks, NGOs, community organizations and other interested stakeholders can contribute to M&E by analysing government data or by collecting data themselves to support or confront official government data and findings. In some cases, non-state actors can play a formal role as part of the governmental M&E efforts to track policies and programmes (e.g. through participatory processes or contracts).</p>		
<p>In Guatemala, data on the performance of forest concessions mainly come from independent researchers. In Kenya, Kisumu, a review of the County Integrated Development Plan was carried out by a private consultancy company. It assessed various sectors' performance and highlighted, for instance, the budget spending capacity of the agriculture, irrigation, livestock, and fisheries sectors.</p>		

M&E of policies – reflecting on the logical model

Based on the discussion for the policy formulation (see logical model), it is possible to frame monitoring as shown below.

TABLE 3.5.2 Monitoring aspects linked to the logical model

MONITORING		EXAMPLE: PROMETE
Input monitoring	Tracks the size and availability of resources needed to develop activities. It can establish targets and indicators to monitor, for instance: personnel, budget, general infrastructure, legislation, educational materials and other necessary inputs.	Track the availability of personnel, budget to manage the programme.
Activity monitoring	Tracks the development and completion of intermediate and final activities. It can establish targets and indicators to monitor calls for proposals, bidding processes, the fulfilment of contracts and grants, budget spending, the execution of training sessions, organization of workshops and events, field visits, etc.	Track the accomplishment of the planned activities, like the selection of projects, preparation and signing of grants, transfer of funds, preparation of training and supervision to supported groups.
Output monitoring	Tracks the delivery of products, goods, and services. It can establish targets and indicators to monitor, for instance: the number of family farmers assisted to improve agricultural practices, staff trained, productive projects supported, inputs, assets or services delivered (seeds, fertilizers, credit, machinery, equipment, etc.).	Track the delivery of the expected outputs: capacity- building training and supported agrifood projects.
Outcome/ impact monitoring	Tracks the changes that occurred after the outputs were delivered. It can establish targets and indicators to monitor, for instance: whether smallholder family farmers adopted improved agricultural practices, if their food security, household productivity and/or income increased, etc.	Track changes in women groups' productivity, skills and knowledge. Track changes in women's income, empowerment and gender equity.

Using data gathered on monitoring, performance questions can be used to frame evaluation processes. Answers to such questions will help to explain how the policy/ programme unfolded and to what extent the observed changes can be attributed to them (see table X).

TABLE 3.5.2 Aspects of policy evaluation with performing questions^a

POLICY/PROGRAMME	ASPECTS OF PROCESS/IMPLEMENTATION EVALUATION	ASPECTS OF RESULT [OUTCOME/IMPACT] EVALUATION
	<ul style="list-style-type: none"> ■ If inputs were made available in a timely manner and in sufficient quantities to allow the planned activities to take place. ■ If activities were performed and outputs delivered as planned. ■ Possible problems and deviations (and their causes). ■ Perceptions of the actors involved and suggestions for improvement. 	<ul style="list-style-type: none"> ■ If and how the outputs lead to the verified outcomes and outcomes lead to the verified impacts. ■ If the policy/programme is reaching its goals and objectives. ■ If the policy/programme is cost-effective. ■ If the theory of change and policy/programme design are adequate. ■ If there are any unintended/unplanned effects. ■ Perceptions of the actors involved and suggestions for improvement.
EXAMPLES		
Guatemala – Community forest concessions	<ul style="list-style-type: none"> ■ Why did the concession not work in some communities? ■ Are the concession rules adequate relative to the policy objectives/goals? 	Did the forest concession contribute to improve: <ul style="list-style-type: none"> ■ Farmer’s productivity; ■ Farmers’ income; ■ Farmer’s living conditions; and ■ Nature conservation/recovery.
Chile – INDAP Credit Programme	<ul style="list-style-type: none"> ■ Is credit released in a timely manner? ■ Do beneficiaries indicate that the amount of credit received meets their needs? ■ Do all segments of family farmers have access to the programme? ■ How do beneficiaries rate INDAP credit services? 	Did the programme: <ul style="list-style-type: none"> ■ Grant or increase farmers’ access to credit? ■ Led farmers to increased productivity? (per unit and/or per expanded area). ■ Help farmers to finance profitable activities?
Bahia Produtiva – Market access and productive inclusion	<ul style="list-style-type: none"> ■ Were calls for projects conducted as planned? ■ Were the rules able to select adequate projects to be funded? ■ How do organizations rate technical assistance provided? 	Did the project help farmers’ organizations to: <ul style="list-style-type: none"> ■ Increase productivity? ■ Strengthen management and commercial skills? ■ Access new markets? ■ Increase sales and income?
Nairobi urban and peri-urban agriculture policy.	<ul style="list-style-type: none"> ■ How has the food and agriculture sector performed the planned activities? ■ Is the current assigned budget enough to meet farmers’ needs? 	Are interventions carried out by the food and agriculture sector helping urban/peri-urban farmer’s: <ul style="list-style-type: none"> ■ Enhance food security and nutrition? ■ Increase commercialization and income? ■ Adopt sustainable and safe practices in agriculture and livestock?

Note:

^a Performing questions can address both qualitative aspects (if any change occurred due to one intervention and what type of change) and quantitative aspects (the magnitude of the change).

Asking specific *what/how/why* questions can help explain programme implementation, compare the actual effects to what was planned in the logical model and provide suggestions for future improvements. Different data sources and methods can

be applied, combining qualitative/quantitative and formal/informal characteristics, targeting individuals and/or groups. For example:

- Analysis of administrative records and reports from human resources, financial, accounting or programme systems and governmental statistics.
- Field visits and direct/participant observations.
- Interviews and focus groups with programme personnel.
- Interviews, focus groups, and surveys involving other actors/stakeholders.
- Interviews, focus groups, and surveys involving target groups and beneficiaries.
- Case studies.

Challenges in M&E¹⁶

There are several technical, managerial, financial and political challenges in developing and implementing comprehensive M&E frameworks (Howlett, Perl and Ramesh, 2009; Anderson, 2011).

TABLE 3.5.3 Challenges in M&E

CHALLENGE	
Technical challenges	<p>Can be related to policies/programmes that have vague, undefined, contradictory, or multiple goals and objectives: the better the policy is planned (including the identification of indicators, data, etc.) the easier it will be to undertake M&E.</p> <p>It is essential to consider M&E as an integral part of the cycle. M&E cannot be implemented later on.</p> <p>It may be difficult to establish clear cause and effect relationships for complex and multi-causal problems, making it difficult to isolate the specific effects of a policy or programme.</p> <p>Some outcomes and impacts may take longer to be fully realized.</p> <p>Lack of robust data and/or inappropriate M&E design (generating inaccurate data) are further challenges that are likely to lead to flawed decisions.</p>
Managerial challenges	<p>Simultaneously conducting M&E activities while also implementing a policy/programme can also be difficult.</p>
Political challenges	<p>Governments may not be prepared to publish internal evaluations or report findings (including difficulties and failures) that are likely to raise criticism – preventing opportunities for critical reflection and dialogue that could ultimately improve the effectiveness of policies.</p> <p>The recommendations of evaluations may not be implemented. Actors may have different expectations and criteria to evaluate policy/programme results, leading to divergent interpretations.</p>
Data	<p>A specific challenge for policy-making on family farming is related to the availability of robust data (Béné <i>et al.</i>, 2019) across a holistic range of indicators. Single indicators and even the basic data from most agriculture censuses are insufficient to capture the multidimensional aspects of family farming; they provide only a partial vision of the situation. However, collecting data is expensive and time consuming (both for government officials and family farmers responding to survey questions or participating in focus groups discussions) and governments face budgetary constraints on their M&E activities.</p>

¹⁶ See Gujit and Woodhill (2002, p. 1–7) for a detailed list of common problems identified in M&E for rural development projects.

CHALLENGE	
Indicators and methods	<p>Consequently, the selection of an appropriate (rational) set of indicators and methods for M&E is particularly important in the context of family farming. The combination of different types and sources of data, collected using different methods (and for multiple purposes), is an important strategy to generate a more accurate and complete vision.</p> <p>Applying a <i>participatory approach</i> can help address some of these challenges. Following a similar approach to the formulation stage (where different actors' perspectives are considered to develop policy options – especially those of target groups and beneficiaries), the M&E stage can also establish collective processes to build consensus on the criteria and indicators to assess a policy/ programme, as well as working with actors to generate valuable data.</p> <p>Participatory approaches to M&E should also seek to jointly analyse/validate findings and present them to stakeholders/the public, as well as identifying opportunities for actors to suggest improvements to be implemented in the next iterations of the policy cycle. The level/type of conflict and relationships between actors should be considered in determining whether a participatory and cooperative approach is likely to be constructive, or whether actors will continue to defend entrenched positions.</p>

TABLE 3.5.4 M&E challenges – Evidence from case studies

CASE	M&E CHALLENGES
INDAP credit programme – Chile.	INDAP faces the challenge of building an institutional M&E culture that integrates today's dispersed practices and is results-based. Due to the lack of knowledge of the beneficiaries' characteristics (highly heterogeneous and operating in different markets), it is not possible yet to draw broader conclusions about whether the programme produced the expected changes.
The Philippines Magna Carla on Small Farmers	In the irrigation programme, monitoring shows an 11 percent increase in the national budget and tracks the targets to expand the irrigable area in the regions (ranging from 59.52 to 88.9 percent). The specific contribution of public irrigation investments to farmers' productivity is yet to be assessed. It depends on assumptions related to the management of irrigation facilities by the associations, the state of water sources, and equitable access.
PROMUSAG /PROMETE, Mexico	The evaluations recommended integrating an outcome/impact indicator to track aspects related to women's empowerment and gender relations. Moreover, they promote capacity-building on gender perspective targeting government personnel and farmers' organizations involved in the programme implementation.
PROMUSAG/ PROMETE. Our First Land, Brazil	Household projects and investments usually take more time to develop. Short-term M&E of specific interventions may not reveal all the potential long-term effects. The evaluations also show that policy formulation should be reviewed to allow extended support to household projects to achieve policy goals and objectives effectively.
NTP-NRD. Viet Nam, INDAP credit programme Chile. PSTA; Rwanda	Participatory M&E can provide critical insights to assess policy development. Chile and Rwanda have service ratings and citizen report cards to capture beneficiaries' satisfaction with policy deliveries. In Viet Nam, the government can select farmers to take part in the supervision of rural infrastructure works, but they often lack the skills to do it accurately.

Applying M&E findings

Based on M&E findings, state actors can decide that:

- A policy/programme was successful and should continue in its current mode as the problem or need remains. In this case, the policy/programme will start a new implementation stage.
- Some aspects of the policy/programme were successful. It should continue but certain elements should be reviewed. This may lead to a new policy cycle that require the policy/programme to return to one of the previous stages to refine the unsatisfactory aspects. For example, to improve the framing of the problem, to revise the theory of change on which the formulation was grounded, to update legislation and/or budget, or aspects of the implementation.
- A policy was successful and should be terminated as the problem or need was completely addressed.
- A policy failed and should be terminated and/or replaced by a new one.

Political factors are also important. State actors may decide to continue policies that failed (e.g. because of the pressure of interested actors) or terminate policies that proved successful (e.g. for ideological or fiscal reasons).

M&E findings related to a policy/programme can also produce evidence of new public problems or unanticipated effects that demand new policies and programmes. In these situations, one or more derived policy cycle(s) may begin.

These post-M&E deliberations highlight the idea of **policy learning**, as a process of actively understand the nature of policy problems and possible interventions and “the added idea that successive “rounds” of policy-making, if carefully evaluated after each “round”, can avoid repeating mistakes and move policy implementation ever closer towards the achievement of desired goals” (Howlett, Perl and Ramesh, 2009, p. 180).

Concrete tips to strengthen M&E processes for the support of family farming

- Assess the government’s capacities to collect, analyse and use data on ongoing policies and programmes. Discuss concrete actions to strengthen such capacities.
- Assess how policy and programme M&E plans are structured. Explore with other stakeholders possible opportunities to update them and guarantee they are useful and feasible.
- Consider participatory approaches while building or reviewing M&E Plans. Implementing partners and beneficiaries/target-groups can share unique perspectives able to make M&E more comprehensive and meaningful.
- Reflect on how M&E data are made available to different stakeholders.
- Be attentive “if” and “how” M&E findings are contributing to policy learning and improvement.

Resources

POWERPOINT PRESENTATION 3.5 Monitoring and evaluation

The importance of M&E

The M&E stage of the public policy cycle assesses **what** has been delivered, **how** it was delivered and whether it matches the initial objectives.

Box – Strategic aspects related to M&E questions

- ✓ **Relevance:** Is the policy/programme consistently addressing the problem or the needs of target groups/beneficiaries?
- ✓ **Effectiveness:** Did the policy/programme reach the expected objectives?
- ✓ **Efficiency:** Did the policy/programme use inputs and develop activities in the best possible way? What was the ratio of benefits to costs?
- ✓ **Impact:** Did the policy/programme contribute to long-term goals as expected? Did the policy/programme cause any unanticipated effects (positive or negative)?
- ✓ **Sustainability:** Will the policy/programme benefits continue after its conclusion?
- ✓ **Legal and administrative procedures:** Did the policy/programme implementation follow the legislation previously adopted? Were activities following the correct administrative procedures?
- ✓ **Documentation:** Are the different processes that are part of the policy implementation well registered and documented?



Logical model - Programa de Apoyo para la Productividad de la Mujer Emprendedora, PROMETE, Mexico (3.2)

Elements of the logical model	Process/ Implementation			Results	
	Inputs	Activities	Outputs	Outcomes	Impacts
Definition	All financial, human, and material resources used to develop activities.	Actions taken or work performed with the available inputs to produce outputs.	Products, goods or services delivered by activities.	Immediate and medium-term changes that occurred after the outputs were delivered.	Long-term and broader changes after the outcomes took place.
Contribute to the generation of employment and income for women farmers (older than 18 years of age)	Budget to cover the operational costs and the expenses of the program and comply with the financing of at least 507 projects. Technical support staff/agency/ institutional assistance in production, financing and marketing.	Launch public calls for the selection of projects. Provide assistance and grants for productive/agri-food projects. Provide technical and capacity development training for women on managerial knowledge, processing technology and marketing, to cooperate with other producers and to prepare project profiles.	Capacity building training to empower women farmers on food production, processing, marketing, and business management. Solid rural women-led agri-food projects.	Improved productivity of rural women. Enhanced administrative and managerial skills and knowledge of women to market their products, and on various forms of organization or cooperation with other producers.	Empowerment of rural women. Increased income of rural women. Improved gender equity.
Mexico: Programa de Apoyo para la Productividad de la Mujer Emprendedora - PROMETE	Advisory services for the legal establishment of women's groups.	Supervise and mentor productive projects.	Legally recognised women's group.	Increased technological capacities to process own products. Increased number of legally constituted groups. More equitable distribution of domestic activities.	Greater self-esteem and recognition felt by women for having been listened to and being in charge of their own business.



What to monitor?

Monitoring	
Input monitoring	Tracks the size and availability of resources needed to develop activities. This can establish targets and indicators to monitor, for instance, personnel, budget, general infrastructure, legislation, educational materials, and other necessary inputs.
Activity monitoring	Tracks the development and completion of intermediate and final activities. This can establish targets and indicators to monitor call for proposals, bidding processes, the fulfillment of contracts and grants, budget spending, the execution of training sessions, organization of workshops and events, field visits, etc.
Output monitoring	Tracks the delivery of products, goods, and services. This can establish targets and indicators to monitor, for instance, the number of family farmers assisted on improved agricultural practices, staff trained, productive projects supported, inputs, assets or services delivered (seeds, fertilizers, credit, machinery, equipment, etc.).
Outcome/impact monitoring	Tracks the changes that occurred after the outputs were delivered. This can establish targets and indicators to monitor, for instance, if smallholder family farmers adopted improved agricultural practices, if their food security, household productivity and/or income increased, etc.



What to evaluate?

Aspects of process/implementation evaluation	Aspects of result [outcome/impact] evaluation
<ul style="list-style-type: none"> • If inputs were made available in a timely manner and in sufficient quantities to allow the planned activities to take place. • If activities were performed and outputs delivered as planned. • Possible problems and deviations (and their causes). • Perceptions of the actors involved and suggestions for improvement. 	<ul style="list-style-type: none"> • If and how the outputs lead to the verified outcomes and outcomes lead to the verified impacts. • If the policy/programme is reaching its goals and objectives. • If the policy/programme is cost-effective. • If the theory of change and policy/programme design are adequate. • If there are any unintended/unplanned effects. • Perceptions of the actors involved and suggestions for improvement.



Challenges in M&E

Technical challenges	<ul style="list-style-type: none"> • Policy/programmes are vague, contradicting or undefined • Consider M&E as integral part of the cycle • Difficulties to define cause-effect relations • Lack of robust data across a holistic range of indicators • Inaccurate M&E designs
Managerial challenges	<ul style="list-style-type: none"> • Conducting M&E activities while also implementing a policy/programme can be challenging
Political challenges	<ul style="list-style-type: none"> • Governments lack willingness to make internal evaluations publicly available • Recommendations may not be implemented after evaluation • Actors have different interpretation of findings
Indicators and methods	<ul style="list-style-type: none"> • Selection of the appropriate (rational) set of indicators and methods for M&E • Applying a participatory approach • Participatory approaches to M&E should also seek to jointly analyse/validate findings and present them to stakeholders/the public, as well as identifying opportunities for actors to suggest improvements to be implemented in the next iterations of the policy cycle.



Beyond M&E

- What happens after findings about a policy/programme are reported and discussed by the involved actors?
 - It can continue as is
 - It was successful in some aspect, but somehow needs to be reviewed
 - It was successfully complemented, so it can be terminated
 - It failed and should be terminated and/or replaced by another one
- A new policy cycle may begin
 - Back to implementation stage; or
 - Back to any stage that needs to be reviewed
- Concept of **policy learning**



LEARNING STAGE 4

Analytical
reflection for
contextualized
policy solutions
for family farming



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4 Analytical reflection for contextualized
policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION 4

Public policy process for the support of family farming in the national context

- Learning objectives**
- Integrate and apply the lessons learned of the different stages of the policy cycle to the family farming context in the country.
 - Reinforce the key messages from Learning stage 3 to deepen participants' understanding of the linkages between the different stages of the policy cycle.
 - Reflect on the potential application of the policy cycle model to help achieve the future vision for family farming in the country. Identify potential opportunities for participants (and their organizations) to improve public policy-making processes related to family farming at country level.
-

- Key messages**
- The different stages of the policy cycle are interlinked (whether they occur in sequence or simultaneously).
 - Actors have different opportunities (channels) at different points of the policy cycle to influence policy-making processes.
 - The contributions of actors at different stages of the policy cycle can strengthen decision-making processes for family farming to help achieve the future vision for family farming in the country.
-

- Materials**
- Flipcharts, markers, computer, projector, large space(s) with four separated tables
-

Suggested time **2 HOURS**

- Comments and tips**
- For the identification of the topic for the world café exercise, see the list of policy topics in Resources. Facilitator may select the most relevant one or the one that was recently emerging in public discussions. Alternatively, select the topic which participants are most familiar with.
 - The facilitator may also review topics included in the mapping exercise in Session 2.2 and revisit Sheet 2.2. *The set of national policies targeted at, or relevant to family farming.*
 - On the other hand, selecting a hypothetical policy topic that does not currently exist allows participants to think creatively during the exercise, imagining future policy possibilities for family farming that may be less likely in the current policy environment. For groups with a strong understanding/experience in policy-making, using a hypothetical policy scenario may be more appropriate to challenge and extend their learning experience.
-

- Handout** ■ Table 4. Policy cycle phases – Guiding questions
-

Facilitator's notes

DESCRIPTION OF THE SESSION AND ITS MATERIALS

WORLD CAFÉ POLICY NEWS FROM THE FUTURE

80 MIN

- The facilitator introduces the exercise and the **policy topic** for the world café (if needed by using a PowerPoint presentation). The policy topic can be selected from the list included under Resources or from the list developed in Session 2.2.: *Sheet 2.2. The set of national policies targeted at, or relevant to family farming* (for selection of the topic see also above Tips). The facilitator opens the floor for clarification questions related to the world café exercise.
- Once the policy is introduced, the facilitator moderates a plenary discussion to jointly define 2-3 objectives of this policy.
- The facilitator divides the participants into **four evenly sized groups** (each at a separate table with a flipchart or large sheet of paper to take notes).
- They assign the policy cycle stages to the tables as follows: 1. Agenda setting; 2. Formulation and adoption; 3. Implementation; 4. Monitoring and evaluation.
- Each group should select two volunteers who stay at the same table throughout the world café exercise. One will act as rapporteur for the table, the other will take notes on the flipchart.
- The world café involves **four 20-minute rounds**. At the end of each of the first four rounds, all participants (except the rapporteurs) move to a new table that they have not already been at.
- In the first round, participants must **describe with as many details as possible a scenario for 2028 (at the end of the UN Decade of Family Farming)**, for the specific policy stage in relation to the selected topic. For guiding questions at each stage, see in Table 4 in Resources for suggested questions to help rapporteurs facilitate the discussion (e.g. *Which actors are involved in the agenda-setting process? Which channels of influence are used? What different policy instruments are considered during the formulation stage?*).
- At the start of rounds two, three and four, the rapporteurs welcome new participants at the table and give a short summary (1-2 minutes) of what has previously been discussed. New arrivals should complement elements related to the policy stage, aimed at strengthening the connections between the different stages and based on the discussions at their previous tables.
- If time allows, a fifth round can be organized (15 minutes), where participants return to the policy stage where they started the exercise. In this round the group complements the notes for the specific policy stage with information heard and discussed during all the rounds. They note this paragraph in a computer file or on a flipchart

PLENARY NEWS ARTICLE FROM THE FUTURE (2028)

30 MIN

- After the world café, participants return to the plenary. The host of each table presents the result of the discussion occurring at the specific policy stage (starting with Agenda setting, Formulation, etc.)
- To finalize the exercise, participants then work in plenary information related to each stage of the policy cycle
- The facilitator can then link the discussion to the vision statement that was jointly developed in Session 1.1.

Resources

List of suggested policy issues which can be adapted to the training context:

- Intergenerational transfer of, or access to young farmers to farming/fishing/pastoral productive assets
- Access to productive resources for women farmers.
- Setting and providing extension services to promote innovative and integrated practices to increase productivity of family farming in a sustainable manner (optimizing the diversity of species and genetic resources, reducing the use of external inputs, fostering efficiency and climate change mitigation, etc.).
- Labelling to characterize quality products produced by small-scale fishers.
- Institutional public procurement programme to bring locally produced food to schools, hospitals etc.
- Establish credit programmes and other financial services for smallholder farmers.
- Add value to family farming and income through family farmers' organizations and cooperatives

For other possible topics, you can refer to the UNDF Global Action Plan (FAO and IFAD, 2019).

TABLE 4 Policy cycle phases – Guiding questions for the world café

TIP: Print this table and place the relevant set of questions on the table of the specific policy stage

1. AGENDA-SETTING STAGE OF THE POLICY CYCLE (TABLE 1)	
Key questions to respond to (guide for rapporteurs)	<ul style="list-style-type: none"> ■ Define the public problem addressed by the policy. What aspects of the problem lead to its classification as public (e.g. complexity, impact, etc.)? ■ Which actors/coalitions advocate for its recognition as a public problem? ■ What channels (institutionalized, ad hoc), strategies and resources do they use? ■ What role does data/information play? ■ Which key events contribute to the process and how? ■ Do other actors try to block the agenda and how? ■ How does the government respond to actors' demands?
2. FORMULATION AND ADOPTION STAGES OF THE POLICY CYCLE (TABLE 2)	
Key questions to respond to (guide for rapporteurs)	<ul style="list-style-type: none"> ■ Provide details on the chosen policy instrument. ■ What other alternatives are considered? ■ Which actors attempt to influence the formulation of alternatives? Through which channels (institutionalized, ad hoc)? What are their policy preferences and why? ■ Do the target groups/beneficiaries have a voice in the formulation process? ■ What are the key moments during the legislative process (adoption stage)? ■ How do the executive and legislative branches interact? ■ Why are the specific policy instruments chosen? ■ What does the allocated budget cover (identify some key lines)? What might the budget reveal about the government's priorities?
3. IMPLEMENTATION STAGE OF THE POLICY CYCLE (TABLE 3)	
Key questions to respond to (guide for rapporteurs)	<ul style="list-style-type: none"> ■ Which organizations are involved in the implementation at different stages (e.g. lead and supporting agencies from central government, state/provincial/local government, private sector, farmer organizations, CSOs, NGOs, etc.)? ■ What are their roles/activities? Describe the relationships between the actors. ■ What are the key inputs used to conduct activities and achieve outputs? ■ Are there any unexpected implementation challenges (not foreseen by the legislation)? How are they resolved by front-line personnel? ■ How is oversight/accountability ensured during implementation?
4. MONITORING AND EVALUATION STAGE OF THE POLICY CYCLE (TABLE 4)	
Key questions to respond to (guide for rapporteurs)	<ul style="list-style-type: none"> ■ Which indicators can be used to monitor the policy's impact compared to a baseline? How is the data collected? ■ How did the policy perform? Is it achieving the objectives? ■ Are there any areas where the policy could be improved? How can these be addressed by subsequent iterations of the policy cycle? ■ How does the policy interact with other policies and programmes? Are there opportunities to increase synergies or improve coherence with other policies?

LEARNING STAGE 5

Contextualized
planning for the
development
of an enabling
environment for
family farming



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5 **Contextualized planning for the development of an enabling environment for family farming**

WRAP UP
Closing and evaluation

SESSION 5

Public policy forum planning

Objectives	<ul style="list-style-type: none">■ To maximize opportunities for follow-up and continue the work for the support of family farming.■ To prepare a public event aimed at enhancing the public policy environment at the national level for the support of family farming by mobilizing and forging solid and sustainable alliances with a wide range of stakeholders, disseminating relevant information and by co-creating a roadmap of actions.
Key messages	<ul style="list-style-type: none">■ Participants will prepare contextualized key messages for the policy forum
Materials	<ul style="list-style-type: none">■ Flipcharts or white papers, markers, computer, projector
Resources	–
Suggested time	1H 30 MIN – 2 H
Comments and tips	<ul style="list-style-type: none">■ The timing of the session can be extended according to the needs of participants preparing the forum.■ If possible, try to define the date/location and as many details of the policy forum as possible, to ensure follow up.■ In countries where there will be no opportunity to implement a national event on family farming in the short term, instead of doing the group exercise on “Public Policy Forum Planning”, it is suggested to conduct a plenary discussion to plan future actions. The representatives of different institutions (government, FFOs, academia etc.) will collectively identify priority activities to be implemented in the framework of their institutions/organizations according to the SMART approach (Specific, Measurable, Achievable, Realistic, Time-bound).

Facilitator’s notes

DESCRIPTION OF THE SESSION AND ITS MATERIALS

GROUP WORK PLANNING OF FUTURE ACTIONS

45 MIN

- The facilitator introduces the exercise and presents the main objective of the **policy forum**: *to enhance the public policy environment at the national level for the support of family farming by mobilizing a wide range of stakeholders, disseminating relevant information and by jointly developing a roadmap of actions*. More specifically, the forum might aim at disseminating information about the characteristics and relevance of family farming and highlighting family farming as an area that demands specific public policies, both globally and nationally. Furthermore, it can give the opportunity to present the policy cycle model and its distinct phases to actors who may have not attended the training to help the analysis and assessment of issues related to family farming. Finally, it can provide a space to discuss family farming related issues from the perspective of different actors to contribute to the most appropriate public policies in a specific country/region.
- The facilitator divides participants into three groups and invites them to prepare as outline below.

GROUP 1: LIST OF PARTICIPANTS

- Prepare a list stakeholders and build a map of actors to identify the participants of the policy forum . Consider diversity of actors and the balance between participants (also rely on discussion 1.3).
- Define how they will be invited/engaged and what role they will play at the event (e.g. introduce the UNDFE/ bring experience/ present policies, moderate, etc.) and in the upcoming policy process?

GROUP 2: CONTENT

FAMILY FARMING AND RELATED POLICIES IN THE NATIONAL CONTEXT

- Prepare the key messages related to family farming in the country and in the context of the UNDFE;
- Prepare knowledge collected about family farming in the country, the needs and issues to be addresses, to be presented at the forum (rely on discussion of Session 1.2);
- Prepare information about the national/regional policy context to be presented at the forum: family farming-related and family farming-relevant policies (rely on discussion of Session 2.2);
- Prepare a brief presentation about the public policy cycle and its use to improve public polices for family farming;
- Identify entry points, opportunities and gaps based on the various stages of the policy cycle;
- Develop proposals, determine who presents this information, in what order and for how long, etc. Also explore how to identify policy entry points, gaps and opportunities to strengthen family farming in the country; and
- Factor in time for discussions in the event agenda.

GROUP 3: ROADMAP OF ACTION

- Prepare a proposal of the roadmap of action to progress with the development of an enabling policy environment for family farming (implementation of the UNDFE at national level).
- Design a methodology for the event to validate the roadmap proposal that also allows the participation of all actors invited, in particular for collective planning.
- The Roadmap can be structured as:

Action	Specific activities	Who will carry out	Timeline	Resources

PLENARY JOINT PLANNING OF FUTURE ACTIONS**45 MIN**

- Groups present their proposals, collect and share all their prepared documents.
- Open discussion after the group presentations and invite other participants to complement and adjust their proposals.
- Define jointly the main outcome of the forum.
- Finalize the agenda of the forum including the meeting methodology (list of presentations, speakers, etc.)
- Develop any other necessary documents that can be sent along with the invitation to the forum.
- Define the date and location.
- Discuss necessary advocacy/ communication around the event.
- Develop budget provisions as required.
- Distribute follow-up tasks up to the event.

Resources

Possible draft agenda of the policy forum:

- Opening: Placing the event in the context of the UNDRR. Presentation of objectives and agenda of the forum. A short summary of the training held prior to this public forum
- Introduction of participants.
- Presentations/Inputs: UNDRR; Policy cycle model (stages) and its use to improve public policies for family farming; characteristics and features of family farming; set of policies targeted at and relevant to family farming.
- Moderated discussion 1: exchange about public policies for family farming, sharing experiences gleaned from the training.
- Presentation of the roadmap of action to progress with the development of an enabling policy environment for family farming.
- Moderated discussion 2: Comments and inputs for the roadmap of action: How to improve public policies towards an enabling environment for family farming.
- Summary and closing, including the identification of next steps.

WRAP UP

Closing and evaluation



PRELIMINARIES
Opening and introduction

LEARNING STAGE 1
Context analysis

LEARNING STAGE 2
Principles of public policies for family farming

LEARNING STAGE 3
The policy cycle model

LEARNING STAGE 4
Analytical reflection for contextualized policy solutions for family farming

LEARNING STAGE 5
Contextualized planning for the development of an enabling environment for family farming

WRAP UP
Closing and evaluation

SESSION D

Final reflection and training evaluation

- Objectives**
- Mark a formal conclusion of the training.
 - Collect feedback from participants on the training and knowledge acquired.
-

- Steps**
- Invite participants to reflect individually (allow 1–2 minutes) and say keywords or phrases that describe their key take-aways from the training.
 - Collect feedback from participants on the training through the evaluation form (see Resources): Distribute the evaluation form and allow for 15–20 minutes for participants to fill the form.
 - Identify and invite key speakers to deliver closing remarks (the speaker may represent ministry relevant to family farming issues, FAO/IFAD office, family farmers' organization, etc.).
 - Provide formal end to the training.
 - Distribute certificates – if relevant.
-

- Materials**
- Brief note for speakers
 - Post-training evaluation questionnaire
-

Suggested time **1H 30 MINUTES**

- Comments and tips**
- Facilitators can choose different methods to collect feedback or to evaluate the training.
 - The evaluation form can be modified and adjusted by adding or deleting questions.
-

Materials

Post-training evaluation questionnaire

Name:

Organization/Institution:

Job title/role:

ABOUT THE FORMAT OF THE TRAINING	STRONGLY AGREE	AGREE	NEUTRAL	DISAGREE	STRONGLY DISAGREE
1. The training was well organized					
2. The objectives of the training were clearly defined					
3. The objectives of the training were coherent with my needs					
4. The training met its objectives					
5. I will be able to apply the knowledge learned					
6. The length of the sessions was adequate					
7. The trainer was knowledgeable					
8. The content was well organized and easy to follow					
9. Participation and interaction were encouraged					
10. All questions raised by participants were answered appropriately					

TO WHAT EXTENT DID YOU GAIN CONFIDENCE IN THE FOLLOWING TOPICS?	VERY LOW	LOW	MEDIUM	HIGH	VERY HIGH
1. The concept of food systems					
2. Family farming in the country					
3. The concept of public policies					
4. Public policy framework in the country					
5. Actors and institutions in policy-making for family farming					
5. Policy cycle model and its use					
6. Inserting family farming in the policy agenda					
7. Formulating public policies for the support of family farming					
8. Improving policy adoption for family farming					
9. Implementing public policies for family farming					
10. Monitoring and evaluating public policies for family farming					
11. The use of public policy cycle for an enabling environment for family farming					

REFERENCES

- Anderson, J.E.** 2011. *Public policymaking: an introduction*. Boston, MA, Wadsworth/Cengage Learning.
- Baumgartner, F.R. & Jones, B.** 1993. *Agendas and Instability in American Politics*. Chicago, University of Chicago Press.
- Bélières, J.-F., Bonnal, P., Bosc, P.-M., Losch, B., Marzin, J. & Sourisseau, J.-M.** 2015. *Family Farming Around the World. Definitions, Contributions and public policies*. A Savoir. Paris, CIRAD.
- Birkland, T.A.** 2007. *Agenda-Setting in Public Policy. Handbook of Public Policy Analysis*. Boca Raton, CRC Press, Taylor&Francis Group edition, pp. 63-78. Fischer, E., Miller G. J. and Sidney, M. S. www.taylorfrancis.com
- Bosc, P.-M., Sourisseau, J.-M., Bonnal, P., Gasselin, P., Valette, E. & Bélières, J.-F., eds.** 2018. *Diversity of Family Farming Around the World: Existence, Transformations and Possible Futures of Family Farms*. Springer Netherlands. www.springer.com/gp/book/9789402416169
- Campanhola, C., Pandey, S. eds.** 2019. Chapter 35 – *Natural Resource and Environmental Dimensions of Agrifood Systems. Sustainable Food and Agriculture*, pp. 349-377. <https://doi.org/10.1016/b978-0-12-812134-4.00035-2>
- Cassiolato, M. & Guerresi, S.** 2010. *Como elaborar Modelo lógico: roteiro para formular programas e organizar avaliação*. Brasília: IPEA.
- De La O Campos, A.P., Villani, C., Davis, B., Takagi, M.** 2018. *Ending extreme poverty in rural areas – Sustaining livelihoods to leave no one behind*. Rome, FAO. 84 pp. Licence: CC BY-NC-SA 3.0 IGO. www.fao.org/3/ca1908en/ca1908en.pdf
- Dury, S., Bendjebbar, P., Hainzelin, E., Giordano, T. and Bricas, N., eds.** 2019. *Food Systems at risk: new trends and challenges*. Rome, Montpellier, Brussels, FAO, CIRAD and European Commission. <https://doi.org/10.19182/agritrop/00080>
- Dye, T.R.** 1972. *Understanding public policy*. Englewood Cliffs, N.J, Prentice-Hall.
- FAO.** 2016. *The State of Food and Agriculture. Climate Change, Agriculture and Food Security*. Rome (also available at www.fao.org/3/i6030e/i6030e.pdf)
- FAO.** 2016. *The Gender in Agricultural Policies Analysis Tool (GAPo)*. Rome, FAO.
- FAO.** 2017. *FAO social protection framework: promoting rural development for all*. Rome, Food and Agriculture Organization of the United Nations. 67 pp. www.fao.org/3/i7016e/i7016e.pdf
- FAO.** 2017. *Parliamentary fronts against hunger and legislative initiatives for the right to adequate food and nutrition*. Rome. www.fao.org/3/i7872e/i7872e.pdf
- FAO/FIAN International.** 2017. *Putting the Voluntary Guidelines on Tenure into practice – A learning guide for civil society organizations*. Rome. www.fao.org/3/i7763e/i7763e.pdf
- FAO.** 2018. *The future of food and agriculture – Alternative pathways to 2050*. Rome. www.fao.org/publications/fofa/en/
- FAO.** 2018b. *Empowering rural women, powering agriculture*. Rome. www.fao.org/3/ca2678en/ca2678en.pdf

- FAO. 2018c. *Sustainable food systems. Concept and framework*. Rome. www.fao.org/3/ca2079en/ca2079en.pdf
- FAO. 2018d. *FAO's Work on Family Farming – Preparing for the Decade of Family Farming (2019–2028) to achieve the SDGs*. Rome. www.fao.org/3/ca1465en/ca1465en.pdf.
- FAO. 2019. *The State of Food and Agriculture 2019. Moving forward on food loss and waste reduction*. Rome. www.fao.org/3/ca6030en/ca6030en.pdf
- FAO. 2019b. *The biodiversity that is crucial for our food and agriculture is disappearing by the day*. Rome. (also available at www.fao.org/news/story/en/item/1180463/icode/)
- FAO. 2019c. *FAO framework for the Urban Food Agenda*. Rome. (also available at <https://doi.org/10.4060/ca3151en>).
- FAO. 2020. *Coronavirus disease 2019 (COVID-19) and family farming*. www.fao.org/3/cb0417en/cb0417en.pdf
- FAO. 2020b. *COVID-19 and smallholder producers' access to markets*. Rome. <https://doi.org/10.4060/ca8657en>.
- FAO. 2020c. *Responsible investment and COVID-19: Addressing impacts, risks and responsible business conduct in agricultural value chains*. Rome. www.fao.org/3/cb1602en/cb1602en.pdf.
- FAO. 2020d. *Empowering farmers and their organizations through the creation of social capital – Bond learning guide for trainers*. Rome. <https://doi.org/10.4060/cb1423en>
- FAO and IFAD. 2017. *Overcoming Hunger and Rural Poverty, Brazilian Experiences*. Rome, Italy and Brasilia, Brazil, FAO/IFAD. 270 pp. (also available at www.fao.org/publications/card/en/c/69a0e18d-8e6d-445a-ad66-8e56435e58eb).
- FAO and IFAD. 2019. *United Nations Decade of Family Farming 2019–2028. Global Action Plan*. Rome. www.fao.org/3/ca4672en/ca4672en.pdf
- FAO, IFAD, UNICEF, WFP and WHO. 2019. *The State of Food Security and Nutrition in the World 2019. Safeguarding against economic slowdowns and downturns*. Rome, FAO. www.fao.org/3/ca5162en/ca5162en.pdf
- Gujit, I & Woodhill, J. 2002. *Managing for Impact in Rural Development. A Guide for Project M&E*. Rome, IFAD. www.ifad.org/documents/38714182/39723123/toc.pdf/c7c718e2-56b9-4f60-b404-3f31448a38a2
- Hay, C. & Lister, M. 2006. *The state: theories and issues*. Houndmills, Basingstoke, Hampshire; New York, Palgrave Macmillan.
- Herrero, M., Thornton, P.K., Power, B., Bogard, J.R., Remans, R., Fritz, S., Gerber, J.S., Nelson, G., See, L., Waha, K., Watson, R.A., West, P.C., Samberg, L.H., van de Steeg, J., Stephenson, E., van Wijk, M. & Havlík, P. 2017. *Farming and the geography of nutrient production for human use: a transdisciplinary analysis*. *The Lancet Planetary Health*, 1(1): e33–e42. [https://doi.org/10.1016/S2542-5196\(17\)30007-4](https://doi.org/10.1016/S2542-5196(17)30007-4)
- Herweg, N., Zahariadis, N. & Zohlnhöfer, R. 2018. *The Multiple Streams Framework: Foundations, Refinements, and Empirical Applications*. In Weible, C. M., & Sabatier, P. A. *Theories of the policy process, 4th ed.*, pp. 17–54. New York, Routledge. www.taylorfrancis.com
- Hill, M.J. & Varone, F. 2017. *The public policy process*. Seventh edition. London; New York, NY, Routledge, Taylor & Francis Group. 414 pp.

- HLPE.** 2013. *Investing in smallholder agriculture for food security. A report by the High Level Panel of Experts on Food Security and Nutrition of the Committee on World Food Security.* Rome, The High Level Panel of Experts on Food Security and Nutrition. www.fao.org/3/i2953e/i2953e.pdf
- HLPE.** 2020. *Food security and nutrition: building a global narrative towards 2030. A report by the High Level Panel of Experts on Food Security and Nutrition of the Committee on World Food Security.* Rome. www.fao.org/3/ca9731en/ca9731en.pdf
- HLPE.** 2021. *Promoting youth engagement and employment in agriculture and food systems. A report by the High Level Panel of Experts on Food Security and Nutrition of the Committee on World Food Security.* Rome. www.fao.org/3/cb5464en/cb5464en.pdf
- House of Lords.** 2017. *The Legislative Process: Preparing Legislation for Parliament*, p. 66. 4th Report of Session 2017-2019. London, The Authority of the House of Lords. <https://publications.parliament.uk/pa/ld201719/ldselect/ldconst/27/27.pdf>
- Howlett, M. & Ramesh, M.** 1995. *Studying Public Policy: Policy Cycles and Policy Subsystems.* Toronto, Oxford University Press.
- Howlett, M.** 2007. *Analyzing Multi-Actor, Multi-Round Public Policy Decision-Making Processes in Government: Findings from Five Canadian Cases.* Canadian Journal of Political Science, 40(3): 659-684. <https://doi.org/10.1017/S0008423907070746>
- Howlett, M., Perl, A. & Ramesh, M.** 2009. *Studying public policy: policy cycles & policy subsystems.* Don Mills, Oxford University Press.
- IFAD.** 2019. *Creating opportunities for rural youth.* Rome. www.ifad.org/ruraldevelopmentreport
- IFAD.** 2010. *Rural poverty report 2011: new realities, new challenges: new opportunities for tomorrow's generation.* Rome, IFAD. www.ifad.org/en/web/knowledge/-/publication/rural-poverty-report-2011-print-version-5-0mb-
- IFAD.** 2013. *Smallholders, Food Security, and the Environment.* Rome, IFAD. www.ifad.org/documents/38714170/39135645/smallholders_report.pdf/133e8903-0204-4e7d-a780-bca847933f2e
- IFAD.** 2014. *The International Year of Family Farming: IFAD's commitment and call for action.* Rome, IFAD. www.ifad.org/documents/38714170/40321474/IYFF.pdf/9d048637-367f-4015-a71d-5cd791d3b81c
- IFAD.** 2020a. *Technical Guidance Note: TOC and Log-frames and Core Indicators.* Rome, IFAD.
- IFAD.** 2020b. *Republic of Botswana. Agricultural Services Support Project. Project Performance Evaluation. Report N° 5428-BW.* Rome, IFAD. www.ifad.org/documents/38714182/41980030/PPE+Botswana+Final.pdf/c2b15ccc-0e76-7ce6-fddf-64bade595787
- IFAD.** 2017. *República de Nicaragua. Programa Nacional de Tecnología y Formación Agropecuaria: Fondo de Asistencia Técnica. Evaluación de los Resultados de un Proyecto.* Informe N° 4391-NI. Rome, IFAD. www.ifad.org/documents/38714182/39735283/Nicaragua%20FAT%20PPE%20-%20Final%20report%20for%20web.pdf/f04ef1d9-1680-4ed1-82ee-c9b68dc72434

Independent Group of Scientists appointed by the Secretary-General, Global

Sustainable Development Report. 2019. *The Future is Now – Science for Achieving Sustainable Development*. New York, United Nations.

https://sustainabledevelopment.un.org/content/documents/24797GSDR_report_2019.pdf

IMF. International Monetary Fund. 1999. *Guidelines for Public Expenditure Management–Section 3–Budget Preparation*. IMF.

www.imf.org/external/pubs/ft/expend/guide3.htm.

Intergovernmental Panel on Climate Change. 2020. *Special Report: Special Report on Climate Change and Land. How does climate change affect food security?* Chapter 5 www.ipcc.ch/srccl/chapter/chapter-5/.

Jann, W. & Wegrich, K. 2007. Theories of the policy cycle. *Handbook of Public Policy Analysis: Theory, Politics, and Methods*, pp. 43–61. Boca Raton, CRC Press, Taylor & Francis Group. www.taylorfrancis.com/books/e/9781315093192

Jenkins, W.I. 1978. *Policy analysis: a political and organizational perspective*. London, Martin Robertson.

Kingdom, J. W. 2011. *Agendas, Alternatives, and Public Policy*. New York, Longman.

Kusek, J. & Rist, R. 2004. *Ten Steps of a Results-Based Monitoring and Evaluation System*. Washington, The World Bank.

Lippi, A. 2020. Lezione 3. Tipologia delle politiche pubbliche [MOOC lecture]. In *Le politiche pubbliche come strategia di governo*. edX.

Lipsky, M. 1980. *Street-Level Bureaucracy*. New York, Russell Sage.

Lowder, S.K., Sánchez, M.V. & Bertini, R. 2019. *Farms, family farms, farmland distribution and farm labour: What do we know today?* FAO Agricultural Development Economics Working Paper 19–08. Rome, FAO. www.fao.org/3/ca7036en/ca7036en.pdf

Lowi, J. T. 1972. *Four Systems of Policy, Politics, and Choice*. *Public Administration Review*, Vol. 32, Nº 4. pp. 298–310.

Marcondes, M.M., Sandim, T.L. & Diniz, A.P.R. 2018. *Transversalidade e Intersetorialidade: mapeamento do debate conceitual no cenário brasileiro*. *Administração Pública e Gestão Social*: 22–33.

OECD. Organization for Economic Co-operation and Development. 2002. *Glossary of Key Terms in Evaluation and Results Based Management*. Paris, OECD.

OECD, Löffler, E., Parrado, S. & Zmeskal, T. 2007. Improving customer orientation through service charters. A handbook for improving quality of public services. Paris, OECD/Ministry of Interior of the Czech Republic/Governance International.

Pal, L.A. 2014. *Beyond policy analysis: public issue management in turbulent times*. Toronto, Nelson Education.

Pasquino, G. 2000. *Corso Di Scienza Politica*. 2nd edition. Bologna, Il Mulino.

Peters, B.G. 1992. The policy process: an institutionalist perspective. *Canadian Public Administration/Administration Publique Du Canada*, 35(2): 160–180.

Pulz, H., & Treib, O. 2007. Policy implementation. In F. Fischer, G. Miller, & M. Sidney (Eds.), *Handbook of public policy analysis: Theory, politics and methods* (pp. 89–108). Boca Raton: CRC Press.

- Ricciardi, V., Mehrabi, Z., Wittman, H., James, D. and Ramankutty, N.** 2021. Higher yields and more biodiversity on smaller farms. *Nature Sustainability*. pp. 1-7. DOI:10.1038/s41893-021-00699-2.
- Rogers, J. R.** 2003. The Impact of Bicameralism on Legislative Production. *Legislative Studies Quarterly*, 28(4), 509-528.
- Sabourin, E., Samper, M. & Sotomayor, O.** 2014. Políticas públicas y agriculturas familiares en América Latina y el Caribe: balance, desafíos y perspectivas. CEPAL, CIRAD, IICA, Red PP-AL.
- SAGARPA. Secretaría de Agriculture, Ganaderia, Desarrollo Rural, Pesca y Alimentación.** 2015. Diagnostico del Programa S-088. Apoyo para la Prpductividad de la Mujer Emrendedora (PROMETE) 2015. www.agricultura.gob.mx/sites/default/files/sagarpa/document/2018/10/09/1462/09102018-5-diagnostico-promete-2015.pdf
- Sarraí, F.** 2007. A practical and initial approach to the introduction of programme-oriented government budgeting. In Kim, J. M., ed. *From Line-item to Program Budgeting. Global Lessons and the Korean Case*, pp. 185-270. Seoul, Korea Institute of Public Finance.
- Sidney, M.S.** 2007. Policy Formulation: Design and Tools. In Fischer, F., Miller, G. J. & Sidney, M. S., eds. *Handbook of Public Policy Analysis*. Boca Raton, CRC Press, Taylor&Francis Group. edition, pp. 105-114
- Smith, K.B. & Larimer, C.W.** 2009. *The public policy theory primer*. Boulder, CO, Westview Press. 280 pp.
- United Nations.** 2021. Food Systems Summit. Why food systems? www.un.org/pt/node/97699
- United Nations.** 2021b. Food systems Summit. Action Track Discussion Starter. Action Track 4 – Advance Equitable Livelihoods and Value Distribution. www.un.org/sites/un2.un.org/files/at_4_discussion_starter.pdf
- United Nations** WHICH YEAR? Sustainable Development Goals, Goal 2: Zero Hunger (United Nations) www.un.org/sustainabledevelopment/hunger
- UNDESA.** 2020. Transforming agrifood systems and fostering inclusive rural development in the context of COVID-19 to end rural poverty. www.un.org/development/desa/dspd/2020/11/end-rural-poverty
- UNEP.** 2020. Hungry for change: the global food system. www.unep.org/news-and-stories/story/hungry-change-global-food-system
- van der Ploeg, D.** 2013. Ten qualities of family farming, pp. 8-11. Farming Matters. <https://library.wur.nl/WebQuery/wurpubs/fulltext/289501>.
- Wilson, J.Q.** 1974. *Political organizations*. New York, Basic Books. 359 pp.
- World Bank, ed.** 2008. *World Development Report 2008: Agriculture for Development*. World development report N° 30.2008. Washington, DC, World Bank.

ANNEX 1

Case studies

Summary table and individual fact sheet of case studies

CASE NUMBER	COUNTRIES	POLICY NAME	THEMATIC FOCUS	CONSTITUENCY
ASIA AND THE PACIFIC				
1	Indonesia	Law of the R.I. No. 7/2016 on the Protection and Empowerment of Fishermen, Fish Raisers and Salt Farmers	Fishers' access to financial and social protection instruments to respond to climate change-related impacts and health-related risks and accidents	Fishermen, fish raisers and salt farmers
2	Philippines	Republic Act 7607: Magna Carta of Small Farmers	Farmers' access to farm machinery and equipment including water management and irrigation facilities to improve farm productivity and natural resource management	Small farmers, cooperatives
3	Viet Nam	Nong Thon Moi – New Rural Development Policy	Rural infrastructure development, agricultural production facilitates improvement	Smallholder farmers
4	China	The 13th Five-year National Plan – including the Agricultural Informationization Plan: e-commerce	Digitalization, e-agriculture, e-commerce, informationization. The modernization of agriculture through the increased use of technology for enhanced food security and sustainability	Family farmers
LATIN AMERICA				
5	Brazil	Nuestra Primera Tierra' del Programa Nacional de Crédito Fundiário -Terra Brasil- (PNCF)/"Our first Land" Programme of the National Programme for Land Credit	Financial service (credit) programme for rural youth to access Land, productive resources and training	Young farmers
6	Brazil (Bahia Region)	Projeto de Desenvolvimento Rural Sustentável da Bahia (Projeto Bahia Produtiva)	Addressing market challenges of family farmers, the programme supports the establishment of viable family farming business with well-structured marketing strategies (model of business with the definition of a product, re-orientation of the process, re-negotiation with suppliers, consolidation of new clients and consolidation of two existing clients)	Farmers' cooperatives/ associations/ organization
7	Chile	Agricultural Development Institute (Instituto De Desarrollo Agropecuario – INDAP) – established by Organic Law number 18.910 in 1990, modified by the Law number 19.213 in 1993	Development and operation of producer-centred financial support system and mechanism (credits and technical assistance) for small and medium-sized family farmers Indigenous Peoples, youth and women, both individually and as part of an association/organization	Small and medium-sized farmers; their organizations
8	Guatemala	Community Forest Concession (CFC) programme in the Maya Biosphere Reserve, North-Guatemala	Transfer of natural assets and forest governance for the benefit and strengthening of organized forest community groups. Sustainable community forest management and ecosystem services in the context of climate change	Forest communities

CASE NUMBER	COUNTRIES	POLICY NAME	THEMATIC FOCUS	CONSTITUENCY
9	Mexico	Programa de Apoyo para la Productividad de la Mujer Emprendedora (PROMETE) antes Programa de la Mujer en el Sector Agrario (PROMUSAG) – Support Programme to Increase the productivity of Women Enterprises earlier Support Programme for Women in the Agrarian Sector	Providing finance, training, and market access to rural women beyond 18 years of age in rural households to increase their income generation through the implementation of productive projects, access to financing and support for marketing	Rural women
AFRICA				
10	Kenya	Nairobi City County Urban Agriculture Promotion and Regulation Act and Kisumu County Integrated Development Plan 2013–2017	Urban and peri-urban agriculture – To build a new countryside with modern socioeconomic infrastructure; reasonable economic structure and production organization forms, linking agriculture with rapid industrial and service development.	Smallholder family farmers in urban and peri-urban areas
11	Senegal	La loi d'orientation agro sylvo pastorale (LOASP)/ The agrosylvopastoral law	A legal framework defining the priorities and strategic pillars of Senegal's sectoral development policies, including agriculture, forestry, livestock and fisheries.	Family farmers
12	Rwanda	Strategic Plan for Agriculture Transformation (PSTA-, 2004–2024)	To improve food security and nutrition among Rwandan households, increase the contribution of the agriculture sector to wealth creation among households, enhance economic opportunities from agriculture through creating jobs and reducing poverty and increasing resilience to climate change by promoting sustainability among farming households and other actors in agricultural value chains.	Family farmers
13	West Africa	The Common Agricultural Policy in the Economic Community of West African States (ECOWAP), and the corresponding subregional agricultural investment programme (RAIP) -Le Programme Regional d'Investissement Agricole en Afrique de l'Ouest (PRIA) and Le Programme de Développement de l'Agriculture en Afrique (CAADP)	The CAADP related interventions are articulated around the following four work areas referred to as Pillars: (a) water control and expansion of irrigated lands ; (b) rural infrastructure and market access; (c) improved food availability and access, hunger reduction, and preparedness for food crises; and (d) agricultural research and appropriate technology dissemination. At sub-regional level, the corresponding policy priorities under the ECOWAP are geared towards the modernization and sustainability of agriculture, based on efficient and effective family farming as well as agricultural enterprises involving the private sector, including a) enhanced agricultural productivity and competitiveness; b) establishment of a common commercial patterns within the community; and c) adaptation of the external trade system.	Family farmers

Indonesia

Name of the programme/policy	Law of the R.I. No. 7/2016 on the Protection and Empowerment of Fishermen, Fish Raisers and Salt Farmers
Thematic focus	Fishers' and farmers' access to credit and social protection instruments to provide protection from climate change-related impacts and from health-related risks and accidents that occur at sea.
Constituency	Fishermen, fish raisers and salt farmers and their family members engaged in processing and marketing.
Year of inception	2016
Main goals/objectives	To Improve the welfare of the people, including fishermen, fish raisers, and salt farmers, by protecting them in a well-planned, guided and sustainable way: <ul style="list-style-type: none"> ■ Provide infrastructures and facilities needed to develop businesses and to ensure their continued operation; ■ Improve the capability of fishermen, fish raisers, and salt farmers; strengthen institutions in managing fish and marine resources as well as running self-reliant, productive, progressive, modern and sustainable businesses; and develop the principles of environmental conservation; ■ Develop financing system and institution to serve business interests; ■ Protect fishermen, fish raisers, and salt farmers against the risks of natural disaster, climate change, and contamination; and ■ Provide security and safety guarantee and legal aid.

Law No 7 of 2016 for the “Protection and Empowerment of Fishermen, Fish Raisers, and Salt Farmers” regulated by the Ministry of Maritime Affairs and Fisheries, through the Fisheries Regulation No 18 /PERMEN-KP/ 2016. The Law guarantees protection against the risks to fishermen, fish growers, and salt farmers. The main programmes of the Law are generally related to sustainable use of resources (particularly on biological, environmental, and climate change aspects) and are included in the National Development Plan. It also encompasses the management of fish resources based on the Republic of Indonesia’s Fisheries Management Jurisdiction Area; and the conduct of environmental-friendly fishing activities.

Farmers’ organizations and other civil society organizations (CSOs) – also gathering under the National Committee on Family Farming (KNPK) – played a crucial role in promoting fishermen rights and needs in the government agenda, formulating technical alternatives, and helping regional governments to issue complimentary legislation and plan implementation.

The Protection Strategy is carried out by the coordination of the national government, while regional governments provide facilitation for guaranteeing protection against risks faced by fisherfolks and fish farmers. Regional governments are expected to carry out the contextualization of the national policy as part of the regional autonomy system provided to them. Risk, as referred to by law, include a) natural disasters, b) fish disease outbreaks, c) climate change impacts, and/or d) pollution. Protection against the risks referred to is provided in the form of fisheries insurance. For implementing the law, tools and mechanisms, different facilities and support systems are provided, not limited to the Trusted Independent Fisherfolks Insurance for accidental death, permanent disability in fishing and operational activities, medication due to accidents,

etc. In addition, the government provides financial support (loans) for fisheries-related business, developing existing programmes, and for income diversification.

At the regional level, the reGENCY, following its authority, facilitates financial assistance for small fisherfolks, traditional fisherfolks, labour fisherfolks, small fish cultivators, and cultivators of land, including their families who carry out processing and marketing activities through its regional budget or by seeking budget from the national government. One of the strategies for empowering fishermen occurs through funding assistance facilities and financial assistance carried out by a) capital loans for fisheries business facilities and infrastructure; b) provision of credit interest subsidies and/or guarantee services fees; and/or c) utilization of social responsibility funds and partnership programme funds and environmental development from business entities.

Philippines

Name of the programme/policy	Republic Act 7607: Magna Carta of Small Farmers
Thematic focus	Farmers' access to farm machinery and equipment including water management and irrigation facilities to improve farm productivity and natural resource management
Constituency	Small farmers, farm workers, farmers' cooperatives
Year of inception	1992
Main goals/objectives	To realize equitable distribution of benefits and opportunities by fostering sustainable livelihoods among small farmers through improvements in both farm productivity and natural resource management, thus to contribute to national economic development. The Magna Carta supports small farmers in several areas like organizational strengthening; infrastructure and inputs; machinery and equipment; water management and irrigation facilities; agricultural credit; wage, incentives and price support; and research and extension services.

In the Philippines, small farmers make up the majority of the farming population, yet they also represent one of the most vulnerable groups in the economy. The Magna Carta of Small Farmers (Republic Act N° 7607 of 1992) it lays down the framework to uphold small farmers' rights to productive resources and processes for the goal of agricultural development.

In 1988, with the Comprehensive Agrarian Reform Law (RA 6657), the state dedicated efforts to the promotion of social justice and the reduction of inequalities in favour of landless farmers and farm workers, promoted sound rural development and industrialization, and the establishment of owner-cultivators. The Agrarian Reform Program however did not reach all eligible small farmers and over time, uncertainties about its implementation emerged including unintended consequences such as premature land-use conversion, the transition of agricultural lands into non-agricultural uses, and the decline of the collateral value of agricultural lands. Difficulties in these years triggered oppositions among various actors and street protests by farmers and agrarian workers.

The Magna Carta of Small Farmers was proposed as a response to the continuing challenge of attaining agricultural development and alleviating rural poverty. The policy formulation was managed by the House Committee on Agriculture and Food, which conducted public hearings to engage with representatives from various government agencies and groups such as the Department of Agrarian Reform, the DOST-Philippine Council for Agriculture, Aquatic and Natural Resources Research and Development, NGOs, farmers' groups and advocates, and other stakeholders.

The legislation was signed into law on June 4, 1992, to empower small farmers by providing support to farmers in the form of infrastructure, inputs and services. It included the removal of market and institutional barriers that limit the capabilities of small farmers from realizing their productivity and welfare potential. Endowments toward transportation, communication, postharvest and market facilities, and support for the benefit of small farmers would encourage farmers to take on a more market-oriented production approach, as access to information, technology and markets enhance their competitiveness in the market. The same effect is expected from other incentives such as 1) ensured access to reasonably priced good seeds, planting materials, fertilizers, and pesticides – by its sustainable use; 2) increased availability of farm machinery and equipment, as well as draft animals for farming operations; 3) improved access to irrigation services by conservation of water resources; 4) credit subsidy coupled with farmer-friendly terms, and; 5) privileges and incentives for efforts toward livelihood development and improved productivity. In addition, it recognizes the rights of small farmers to organize themselves and promotes the establishment of farmers' cooperatives and associations. (The case study focuses on: access to farm machinery and equipment, and access to irrigation facilities and water management support.)

The policy's Implementing Rules and Regulations were published in 1993. It included the task of the National Irrigation Administration and the Department of Agriculture – also in its regional offices – worked with farmers' organizations to implement small water impounding projects also though the distribution of irrigation pumps for small farmers. The Bureau of Soils and Water Management was called to provide maps identifying agricultural lands that can be reached by irrigation systems. In addition, the policy implementation required the establishment of irrigators' associations and of their capacity building to use, manage and maintain irrigation facilities such as electric pumps and deep good irrigation systems in water-scarce areas. This work was assisted by the National Irrigation Administration. The Department of Agriculture was also reasonable to disseminate farming equipment and machinery, like wheel tractors, banana chipper, cacao/coffee drier, cassava granulator, corn planter, hand tractor, fruit/vegetable dehydrator, fruit juicer, generator set, grain dryers, vacuum pack sealer or vegetable seeder.

Among number of successful cases of FOs and efforts to empowering engagement small farmers, the policy implementation faced challenges like the limited availability of resources to reach the still many small farmers located in remote areas was mentioned, the often not well organized farmer organizations which are just formed to meet requirements for availing of mechanization support from the government or the mismatch between the provided equipment or machinery and the condition of the locality, i.e. machinery designed for use in lowlands are delivered to farmers in the uplands.

Viet Nam

Name of the programme/policy	Nong Thon Moi – New Rural Development Policy
Thematic focus	Rural infrastructure development, agricultural production facilitates improvements
Constituency	Smallholder farmers
Year of inception	2010
Main goals/objectives	To build a new countryside with modern socioeconomic infrastructure; reasonable economic structure and production organization forms, linking agriculture with rapid industrial and service development.

With the National Target Program on New Rural Development (NTP-NRD), signed on 4 June 2010, the National Assembly has realized a common goal of building a new rural structure through better socioeconomic infrastructure; reasonable social services structure and model; linkages between agriculture and rapid development of industry and services; linkages between rural and urban development in terms of planning, rural democracy, stability, and rich national cultural identity; protected environmental ecology; natural preservation; and enhanced and socially-oriented quality of life and well-being of the people.

The main policy background for this nation-wide development programme, the Resolution on “Agriculture, Farmer and Rural Area” or Tam Nong, stems from 2008. The document states that the development of agriculture and rural areas, as well as improving the living conditions of farmers, is based on the market economy with a socialist orientation. The general objective is to improve income for farmers and develop the competitiveness of Vietnamese agricultural products by adopting a scheme for “restructuring the agricultural sector towards enhancing value-added and sustainable development”. Its three goals are: 1) to maintain growth, improve efficiency and competitiveness through increased productivity, quality and value; 2) to improve income and improve living standards for rural residents, to ensure food security (including nutrition security), and to contribute to reducing poverty rates; and 3) to strengthen natural resource management, reducing greenhouse gas emissions and other negative impacts on the environment, to improve risk management capacity, proactively preventing natural disasters, increasing the national forest coverage rate, and contributing to implementing a national green growth strategy.

The NTP-NRD standards consist of 19 criteria and cover 11 issues related to agricultural and rural development: 1) Plan to build new villages; 2) Social infrastructure development; 3) Restructuring, economic development, and increased incomes; 4) Poverty reduction and social security; 5) Renovation and development of effective forms of production organization in rural areas; 6) Development of education and training in rural areas; 7) Development of health care for rural residents; 8) Building of rural culture, information, and communication; 9) Clean water supply and rural sanitation; 10) Raising the quality of the party, the right, and the social-economic policy on the board; and 11) Maintaining security and social order in rural areas.

Since its approval, the Ministry of Agriculture and Rural Development made several provisions to improve the implementation of the NTP-NRD. Amendment in this context included bigger focus on irrigation supply, as a priority investment, to provide infrastructure support for family farming. “In-field irrigation” investments had to be consistent with the irrigation and other related plans that are approved. They also have to comply with current standards and technical regulations. The revision encourages the application of advanced technologies for economically viable water construction of in-field irrigation systems.

Irrigation construction’s must be associated with the construction of in-field roads. They also have to consider land consolidation, exchange of plots, and the design of fields in a suitable manner to enable the use of advanced farming methods to meet the requirements of demand for restructuring of agricultural production.

A second are of improved implementation aims at renovating the organizations of agricultural and family farming production. The programme improves the capacity of preliminary processing, processing, and market development. It encourages strengthening the linkages between the segments of the value chains and connecting production with the output markets. It also encourages the establishment of links between agribusinesses, such as farmers, cooperatives, and agroenterprises. The contents of the innovation of production organization in agriculture comply with the Government’s Decree N^o 193/2013/ND-CP dated November 21, 2013, detailing several articles of the Law on Cooperatives; Decision N^o 2261/QĐ-TTg dated December 15, 2014, of the Prime Minister approving the cooperative development programme for the period 2015–2020 and related guiding documents to develop programmes and plans for economic cooperation.

Although not without its challenges, in general, the new rural programme is creating positive impacts on production activities and changing the production structure and income of families. It was found that focusing on household economic development within the new rural construction is the right and appropriate approach and direction to improve production capacity as well as the life of rural people in general. For example: The proportion of agricultural workers in the total social labours has decreased sharply from 48.2 percent to 38.1 percent in the period 2010–2018. Rural off-farm jobs are developing day-by-day, where income from off-farm activities only accounts for 22 percent of the total income of rural households. The average cumulative capital per household in rural areas has more than doubled every five years, even in regions that do not have favourable natural conditions for economic development such as the Northern Midlands and Mountains, North Central, and Central Coast. The efficiency of using resources of households is increasingly improving, positively impacting the overall efficiency of the family economy.

China

Name of the programme/policy	The 13th Five-year National Plan – including the Agricultural Informationization Plan: e-commerce
Thematic focus	Digitalization, e-agriculture, e-commerce, informationization. The modernization of agriculture through the increased use of technology for enhanced food security and sustainability
Constituency	Farmers, youth, small and medium-sized enterprises and entrepreneurs
Year	2016–2020
Main goals/objectives	To modernize agriculture and help rural territories and family farmers use digital technologies and improve access to resources, information and market opportunities.

The National Plan on Agricultural Informationization constitutes an integral part of China’s 13th Five-year Plan (2016–2020) that underpins the overall framework for policies for the national economy and social development. This plan aims at advocating for a “new normal development” that is characterized by innovation, coordination, green, open and shared development.

The National Plan of Informatization, headed by the Ministry of Agriculture and Rural Affairs (MARA), foresees the structural transformation in agriculture where digital agriculture, including e-commerce is highlighted as an essential aspect of modern agriculture. It aims at helping rural territories and family farmers use digital technologies and improve access to resources, information and market opportunities.

E-commerce was listed as one of the seven “Key Programs and Engineering” (KPE) of the MARA Informatization Planning. E-commerce was conceptualized as complex systems in which there are great gaps to integrate smallholder family farms. It was framed according to different levels. At the firm level, for agribusiness enterprises the programme provided infrastructure (e.g. cold storage and warehouse, grading and processing) and supporting institutions (standards, quality inspection, credit investigation, etc.). At the individual level, for family farmers, it brought education and training. Finally, at the territorial level, the KPE focused on strengthening the community capacity for discovering and exploiting market opportunities and value adding. For example, the “Community Center of Farmer Information Service” (yinong xinxi she, CCFIS) at the village level, was identified and incorporated in the KPE so that services to family farms can be facilitated.

During the implementation phase however, real focus was finally placed on the first and the third levels. Over the period of 2016–2019, MARA organized five rounds of thematic training on e-commerce for farmers, rural entrepreneurs and coordinators of Community Centers of Farmer Information Services (CCFIS). The education and training focused on applied skills and knowledge of developing e-commerce at various stages, including legal procedures, technical operations, software and online user interface, etc. The training – including lectures and the direct sharing of experiences by peer farmers – was organized and delivered through partnering with academic institutions and the private sector.

Brazil

Name of the programme/policy	“Nuestra Primera Tierra” del Programa Nacional de Crédito Fundiário -Terra Brasil- (PNCF)/“Our first Land” Programme of the National Programme for Land Credit
Thematic focus	Land credit programme for youth
Constituency/ Beneficiaries	Rural youth between 18 to 24 years of age (later, in 2012 target group was extended to youth between 16 and 32 years of age) – with a gross family income ranging from R\$ 15 000 to R\$ 30 000.
Year of inception	2003
Main goals/ objectives	<ul style="list-style-type: none"> ■ To decrease youth exodus from rural areas and provide a solution for generational renewal and succession problems by facilitating access of youth to complementary production assets, such as natural, financial resources, technical services and infrastructure. ■ To increase youth ability to create autonomous projects and legitimize their importance as social actors, who can grow by realizing their ideas and projects in the Brazilian field.

As part of the Programa Nacional de Crédito Fundiário (PNCF), or the national programme for land credit, enhancing agrarian reform in the country started in the 1990s. The government established a general land credit operation programme with the aim of reducing rural poverty by supporting family farming (small-scale and/or landless rural workers) through facilitating access to land, improving production practices to increasing income. While in the initial years of the PNCF, credit conditions was not accessible by young farmers, the continuous advocacy activities of social movements and family farmers’ organizations (e.g. La Confederación de Organizaciones de Productores Familiares del Mercosur Ampliado – COPROFAM) and their dialogue with the federal government resulted in the programme being made available to rural youth. This resulted in the introduction of an age-specific credit programme to provide young people access to the main social and economic reproduction assets.

The credit was accessible by young people between the ages of 16 and 32 years of age (see above) at an interest rate of 1 percent per year. Among the incentives, there was a bonus of up to 50 percent for those who made their payments on the day and could negotiate the land below the market price. Credit lines up to R\$ 80 000 were available for land acquisition, technical assistance (R\$ 7 500 for up to five years) and infrastructure were also provided.

Although not without its challenges, this programme – often in combination other public policies (e.g. the Programa Nacional de Fortalecimiento de la Agricultura Familiar – PRONAF) – allows youth to overcome financial limitations which may arise along food production, and enables them to obtain financing from banks and to invest in the property.

The implementation of the NPT dedicated a prominent role to rural workers unions: unions and federations were made responsible for training, as well as monitoring and preparing for the financing proposals. They were also tasked with negotiating with the owners to ensure sustainable and diversified projects. Moreover, they were responsible for the presentation and registration of proposals in the systems, for forwarding them

to the agency responsible for the programme in the state (State Technical Unit of the – PNCf) and for monitoring the approval by the Council Sustainable Rural Development State, with the financial agents and notary offices.

The programme gave the responsibility to the state governments to sign agreements or terms of technical cooperation with the Ministry of Agrarian Development. These units of the state federations were called to create state technical units that would formally become regional executing agencies of the programme to follow-up with the preparation and processing of financing proposals, and the monitoring of the programme with youths (individually or as part of associations) while providing the necessary technical support.

Despite this participative and decentralized approach, the implementation of the NPT faced a series of legal, institutional, bureaucratic and cultural obstacles: (1) One of the first difficulties was to define the target audience, since there was no legal consensus on the corresponding age group. (2) In the course of the policies implementation, another issue was the excessive bureaucratic procedures: in many cases it was difficult for young people to negotiate the acquisition of land and/or to deal with financial agents. (3) It was also difficult to identify available land, while (4) land prices increased fast while the maximum value that youth could obtain for land acquisition remained low. (5) Finally, another identified shortcoming of the project was the lack of interest and under-training of bank officers to work with and orient young farmers as their clients, which often delayed the releasing the loans.

Due to these reasons, among others, the land credit programme for youth did not reach the expected number of beneficiaries. In general, in the context of the PNCf, from 2007 onwards, the number of beneficiaries and the value of operations has been constantly in decline. The number of families, for example, dropped from 10 606 in 2007 to 244 in 2016 and just 15 in 2017 (until May). During 2013–2017, the Ministry of Agrarian Development reported 437 families who gained access to this credit through the NPT.

Despite its limited success, the NPT financial support programme was established with the aim of providing combined assistance for youth in various issues relevant to farming (including agriculture and non-agricultural activities), thus mitigate the problem of generational turnover in rural areas.

Brazil (Bahia region)

Name of the programme/policy	Projeto de Desenvolvimento Rural Sustentável da Bahia (Projeto Bahia Produtiva)
Thematic focus	Access to markets
Constituency/ Beneficiaries	Farmers' cooperatives /associations/organization
Year of inception	
Main goals/ objectives	Addressing market challenges of family farmers, the programme supports the establishment of viable family farming businesses with well-structured marketing strategy (model of business with the definition of a product, re-orientation of the process, re-negotiation with suppliers, consolidation of new clients and consolidation of two existing clients).

The project is developed since 2014 by the Brazilian state of Bahia with the financial support of the Inter-American Development Bank (IADB). The main objectives are to increase market integration and income for family farming organizations; improve families' socioeconomic inclusion and food security, and improve access to water supply and sanitation services at home. The case study focuses on the first two components. The project has been implemented through a decentralized territorial approach and synergies with other federal and regional policies targeted to family farmers. It developed specific quotas for the benefit of women farmers and high vulnerable family farmers.

The project is led by the Regional Action and Development Company (CAR), in partnership with other state agencies and multi-stakeholder participatory councils. The main policy instruments include public calls of grants to capacity-building and support the production and commercialization of cooperatives and associations, research and assessment of the main value chains involving family farming, and strategic alliances with private actors to promote their products.

Chile

Name of the programme/policy	AGRICULTURAL DEVELOPMENT INSTITUTE (INSTITUTO DE DESARROLLO AGROPECUARIO – INDAP) – established under Organic Law number 18.910 in 1990, modified by Law number 19.213 in 1993
Thematic focus	Development and operation of producer-centred financial support system and mechanism (credits and technical assistance) for individual family farmers individually, or for associations/organizations of family farmers
Constituency	Small and medium-sized farmers, Indigenous Peoples, women and youth and their organizations
Year of inception	Since 1962, modified/updated in 1990 and 1993
Main goals/objectives	To provide family farmers financial services and technical assistance (extension) to support innovation, improve their skills and capacities to develop agricultural and rural entrepreneurship.

The Agricultural Development Institute (Instituto de Desarrollo Agropecuario – INDAP), a Ministry of Agriculture agency, was created in 1962 as part of the agrarian reform in Chile. It was developed as a specialized service for those without access to loans through traditional financial institutions. The Institute targets small and medium-sized farmers, with priority given to Indigenous Peoples, youth and women, and their respective organizations, to achieve the following:

Provide family farming technical assistance (extension) and support for innovation, to improve their skills and capacities to develop agricultural and rural entrepreneurship.

Facilitate access of family farmers to financial services (credit and non-refundable encouragement) that suits their needs, as well as access to the capital investment required to enhance individual or associative economic activities.

Support family farming expanding and improving their access to local, regional, national, and international markets to promote traditional products.

Strengthen family farmers' organizations economically and in their collective action, to promote cooperation between producers through public/private partnerships.

For over 50 years, INDAP has established legal, political, institutional and budgetary certain, while addressing the chronic problems of the various segments of family farming, and at the same time continuously adapting to the democratic contexts and to the priorities of the state. It is a significant policy, considering the number of its beneficiaries (more than 50 thousand on average/year) and its budget as authorized annually by the State. The budget includes both resources that are provided for clients (more than USD100 million per year), and institutional resources required to implement policy work (personnel, equipment, supplies, technology, etc.).

Through INDAP, both (reimbursable) credit services and subsidies were created to reduce the gap between the financial requirements of small businesses and their organizations in relation to the public and/or private financial resources existing in the market. Among others, INDAP provides savings accounts and credit services such as: short-term credit (up to one year, mainly to finance working capital) and long-term credit (up to 10 years, for fixed assets).

INDAP beneficiaries include those with (i) a maximum of 12 hectares of basic irrigation; (ii) a maximum of 3 500 UF in asset value; (iii) whose income is derived mainly from agricultural activities, and; (iv) who directly work the land. In recent years, specific emphasis was placed on women, youth and Indigenous Peoples as beneficiaries of the programme. As of 2009, 29 percent of agricultural micro-enterprise operations had a woman as head of the farm, 19 percent had farms headed by Indigenous Peoples, and 22 percent had producers under 45 years of age. As an example, in 2015, INDAP users represented 71 percent of the country's agricultural holdings.

The programme is operated by three main institutions: the Ministry of Agriculture, which INDAP depends on, the Ministry of Finance, which provides the public resources necessary for its operation, and the Comptroller General of the Republic (CGR), which ensures that actions of public bodies adhere to the laws that govern them. The implementation of the credit programme rests on the institutional structure that INDAP has consolidated through a national directorate and 16 regional directorates. There are 113 area agencies that receive and process funding requests from family farmers and their associations. When users accredited as a beneficiary of INDAP request a loan, they are assigned a loan officer to process the application. The head of the area agency then approves or denies access to the loan. The credit process involves initiation, evaluation, approval, follow-up and recovery stages.

Despite the absence of conclusive and systematic impact evaluation that demonstrates the effective changes achieved with the different financial and non-financial services offered by INDAP, lessons learned include: (i) Built with the dynamics of conflict and consensus, INDAP is akin to a state policy that extends beyond its legislative adjustments, has the fiscal, regulatory, institutional, social and cultural spaces necessary for the various political coalitions to make its durability and sustainability viable. (ii) Although there have been problems of delinquency, which were then resolved by legislative and/or regulatory means for the operation of credit services, a solid culture of payment has been established among users of financial services, allowing the operation of the annual credit cycle. (iii) The State, through INDAP, occupies a relevant place as a provider of credit services among segments of the rural population who, according to recent studies, maintain lower rates of access and use of financial products and services.

Guatemala

Name of the programme/policy	Community Forest Concession (CFC) programme in the Maya Biosphere Reserve, northern Guatemala
Thematic focus	Transfer of natural assets and forest governance to benefit and strengthen organized forest community groups. Sustainable community forest management and ecosystem services in the context of climate change.
Constituency	Indigenous forest communities – Mayans and Ladino farmers
Year of inception	1994
Main goals/objectives	To strengthen the process of managing protected areas through the concessions mechanism, as a working model that fortifies the wealth generation systems of the social actors involved. This is done while trying not to exceed the capacity/limits of the ecosystem and ensuring a relationship based on constructive interaction, co-responsibility and equitable participation, to more effectively conserve biodiversity and other values of protected areas.

To protect the forests of El Petén, in the north of Guatemala and to respond to issues such as deforestation, access to land to peasants and communities of Indigenous Peoples, and the increasing militarization of the area, in 1989, the government of Guatemala promulgated the Law of Protected Areas. This Law was also established due to the increasing pressure exerted by international conservation organizations (e.g. Conservation International, The Nature Conservancy, the Rodale Institute and CARE International) together with international cooperation agencies (United States Agency for International Development – USAID) calling attention to the loss of biodiversity due to unregulated settlements and uncontrolled timber extraction. The Law established the protection of reservoirs of biodiversity and wildlife and defined the scheme of concessions including the creation of the National Council of Protected Areas, as part of the design of the conservation model.

Shortly after, in August 1990, considering the state's limited capacity to stop illicit activities (drug trafficking, poaching and the illegal extraction of wood, animals and archaeological materials) that took place in the reserves, USAID and the Guatemalan government signed an agreement to create the Maya Biosphere Project to improve the long-term economic well-being of the Guatemalan population through the rational management of natural resources. The Project began with USD 10.5 million from USAID and USD 11.6 million provided by NGOs and the Government of Guatemala.

As part of this initiative, in 1994, the government established a community concession system by issuing the framework that formally sets the motion of community forest concession (CFC) as norms for granting concessions for the use and management of renewable natural resources in the Maya Biosphere Reserve. This also resulted in the recognition of historical and recent settlement rights of communities, while furthering the forest and biodiversity conservation agenda.

The process of establishing a concession was carried out through competitive public calls, which assessed the ability of applicants to meet the requirements set by the law. Recruitments included: i) to be legally organized (civil society or cooperative, thus being able to distribute profits among the partners); ii) be duly trained; iii) to achieve

the objectives of sustainable management of the area, particularly that contribute to achieving the fulfilment of the management and protection of the Reserve; iv) have the support of an NGO, or a technical advisory group; v) make a technical justification of the area requested; vi) present a general management plan; vii) present an environmental impact assessment; viii) submit annual operating plans; and ix) achieve forest certification within a maximum period of three years after the concession is granted.

Starting in 2000, investments were mainly focused on strengthening the management model and the organization of CFCs for the processing and commercialization of forest products. Since 2010, investments aimed at developing new value chains and strengthening the commercialization of non-timber products, for which, sawmills were established, generating around 70 percent of the income of community companies, in general.

While oil extraction, corporate tourism, drug trafficking and the transit of migrants have remained constant threats to the CFC, the livelihoods of community members in such concessions has significantly improved and the conservation of nature was successful with deforestation and the loss of biodiversity significantly reduced. Communities' income stemmed from traditional activities, and the sustainable harvest of timber, xate palm (*Chamaedorea spp.*), allspice (*Pimenta dioica*), chicle gum (*Manilkara spp.*), wicker (*Philodendron spp.*) and other wild plants and seeds. At a family level, the additional income has allowed re-investment in basic needs (food, housing) and, in many cases, in the education of children, purchase of vehicles (motorcycles, cars) and livestock among others.

Overall, the CFC programme is a good example of a successful case combining: i) the protection of valuable natural heritage assets; ii) the responsible and sustainable community use of such assets; iii) an active channelling of financial, institutional and productive support to communities; and iv) the establishment of an adequate regulatory framework.

Mexico

Name of the programme/policy	Programa de Apoyo para la Productividad de la Mujer Emprendedora (PROMETE) antes Programa de la Mujer en el Sector Agrario (PROMUSAG) – Support Programme to Increase the Productivity of Women-led Enterprises, previously Support Programme for Women in the Agrarian Sector
Thematic focus	Providing finance, training and market access to rural women through the support of productive projects
Constituency	Rural women beyond 18 years of age, including Indigenous Peoples' women in marginalized areas
Year	2002 -2017
Main goals/objectives	To increase the income generation of women older than 18 years of age in rural households through the implementation of productive projects, access to financing and support for marketing

In Mexico, 88 percent of the women who live in rural households are *ejidatarios*, holders of a share in common lands. Households headed by women are highly vulnerable: 62.1 percent of rural women are poor, 3 million are extremely poor and 5.5 million are moderately poor. Addressing rural women's vulnerability in Mexico and in Latin America in general became part of the public discussion in the 1970s, through a critical approach toward economic and social development models, which left women out of rural development policies and policy processes relevant to them.

To reduce inequalities between women and men in terms of access to education, job training, employment and to opportunities and resources of all kinds, first, the *Women in Development (Mujeres en el Desarrollo -MED)* strategy aimed at modifying the material basis of gender inequalities in order to overcome social inequality at work and in other areas. This approach, however, did not address the root causes of gender asymmetries. Therefore, in the following years, greater emphasis was placed on women's productive contribution to rural household poverty alleviation. New initiatives spurred an "anti-poverty approach" in women-targeted policies. These policies were geared at promoting small income-generating projects, executed by women, organized in cooperatives or in different types of associative groups to raise the well-being of their families and to reduce gender asymmetries. They were also geared at programmes that support the reproductive role of women as mothers and wives, through scholarships or other types of resource transfers.

At the end of the 1980s, the emphasis shifted from "women" to "gender" and, particularly, on the inequitable power relations between genders, giving rise to the Gender in Development strategy (Género en el Desarrollo - GED). Since then, "gender" and "gender analysis" terminology have been widely adopted, both by the governments of Mexico and its various institutions, as well as by international agencies and development cooperation NGOs. However, each of these actors – including those in Mexico – has given its own interpretation of the issues and, although the same concepts were used, they were not always reflected in the same way in the formulation of policies and programmes directed at women.

Against this background, it was necessary to establish instruments that allowed the identification of the roles, responsibilities, practical needs and strategic interests of women, which then had to be taken into account for policy design, implementation, monitoring and evaluation as fundamental aspects toward the transformation of gender relations toward equality.

In this context, PROMUSAG, later called PROMETE, was established to increase the productivity of women over the age of 18 years old in rural households. This occurs by (1) supporting the realization of agrifood projects, (2) promoting the transition of beneficiaries to small producers and (3) encouraging the legal constitution of the beneficiaries. The policies were assigned to the Secretariat of Agrarian Reform, which in 2013 changed to the Secretariat of Agrarian, Territorial and Urban Development and were executed by the Secretariat of Agriculture, Livestock, Rural Development, Fisheries and Food from 2013 until 2017. The policy, PROMETE succeeded a previous programme, PROMUSAG, which had been adopted 11 years before.

The target population was based on the high vulnerability of women in rural households who often live below the poverty line. It included 1 210 172 women at national level, particularly in municipalities with Indigenous Peoples populations and women facing higher levels of vulnerability, food insecurity and violence.

The programme granted women direct financial resources along with legal and technical advice and mentorship assistance to implement new productive projects and expand and/or scale-up ongoing projects. Agricultural and livestock projects can receive up to USD 240 000. Other projects (commerce, services, and agribusiness) are entitled to a ceiling of USD 180 000 of support. An additional 10 percent can be assigned to technical assistance. Women's groups can be comprised of 3-6 members.

Over the years, farmers' organizations have played an important role in the re-adjustment of this policy and have taken part in various rounds of negotiations with the government to discuss the programme's rules and its functionality. For instance, they advocated for an increase in the available budget (like those targeting men farmers) and the provision of technical support, not only in the project design, but also in the implementation phase. Farmers' organizations constituted an important channel both to help women farmers apply for the grants and to manage their projects. Thanks to these programmes, many women become sufficiently empowered to occupy public spaces in the municipalities, while others became community authorities.

Even though the programmes did not achieve significant results or impacts, they contributed relevant lessons formulation based on the various lessons learned, as well as implementation, and monitoring and evaluation. This helped incorporate gender perspectives and exposed how discrimination against women occurs and the ways to transform them through state intervention.

Senegal

Name of the programme/policy	La loi d'orientation agro sylvo pastorale (LOASP)/ Law of Agro-Sylvo-Pastoral Orientation
Thematic focus	The LOASP is the main legal framework defining the priorities and strategic pillars of Senegal's sectoral development policies, including agriculture, forestry, livestock and fisheries
Constituency/ Beneficiaries	The LOASP provides legal recognition of various types of occupations involved in these sectors, their related professional organizations, the social protection of concerned workers, and the legal status of family farmers.
Year	2004–2024
Main goals/ objectives	The LOASP deals with relevant sector strategies, with special reference to land tenure reform, diversification, value chains and market regulation, forestry development and environmental protection, land and water management, rural infrastructure and service delivery, private sector investments, social equity and disaster relief and agricultural risk management.

Launched on June 18, 2004, the Law of Agro-Sylvo-Pastoral Orientation set the legal, institutional and financial framework for agricultural policies by 2024. From 1984 onwards, structural adjustment policies resulted in state disengagement from production activities, liberalization of the agricultural economy and privatization. This marked the start of the dismantling of the agricultural economy administration system put in place between 1960 and the mid-1970s.

At the beginning of the 1990s, the economic and social impacts of structural adjustment policies in Senegal favoured the emergence of a peasant movement which served as the junction between old organizations that were encouraged and supported by the state since Independence (such as cooperatives agricultural groups, women's groups, etc.) on the one hand, and peasant associations set up in response to the droughts of the late 1960s and early 1970s on the other. This movement aimed, with some degree of success, to fill the void created by the disengagement of the state by providing services to its members with the support of NGOs and development partners. This movement would also assert itself more and more as an interlocutor between the state and partners in the development, implementation and evaluation of public policies and programmes concerning the rural world and the agricultural sector.

Between 2000 and 2002, a referendum campaign and two electoral campaigns took place. The year 2000 marked the first political alternation in the history of independent Senegal, between a regime claiming to espouse democratic socialism and a regime claiming to be based on economic liberalism. This political alternation accelerates economic and social reforms, after the exit in 1997 from structural adjustment. It also highlights the questioning of the role and place of family farms given their political, demographic and employment significance. Hence the tensions in terms of narrative with an official discourse on the archaic nature of family farming and its rudimentary techniques compared to corporate agriculture and agribusiness, the only ones capable of meeting the challenges of development.

The entry into force of the WAEMU common external tariff resulted in a wide opening of common markets, which therefore increased competition for small-scale West African family farmers. Indeed, at the sub-regional and international levels, Senegal participated in sub-regional integration policies within West African Economic and Monetary Union (UEMOA) and Economic Community of West African States (ECOWAS). It is a signatory to the Marrakesh agreements and the EU\ACP Cotonou agreements, which provide for the negotiation of economic partnership agreements between ECOWAS and the EU.

Faced with the demands of peasant organizations and the great mobilization organized by them in January 2003, the President of the Republic promises the vote of an agricultural orientation law. In other words, the Law of Agro-Sylvo-Pastoral Orientation (LOASP) promulgated in 2004 responds on the one hand to the desire for reform displayed by the new liberal regime, and on the other hand, to the specific interests of family farms and their increasingly stronger representative organizations. This is a long-term legal framework (20 years) embracing all dimensions of agriculture and rural areas of Senegal, with particular attention accorded to the issues of family farming. The process of its development was participatory and inclusive with positive interaction between state and non-state actors, including farmer organizations and the government, as well as technical support from technical and financial partners.

Decided and prepared by the Government of Senegal, the LOASP was the subject of consultations with all stakeholders: public and private institutions, and development partners. Its final version is the result of in-depth and long negotiations (four years) which made it possible to build strong consensus on very controversial aspects such as land issues and the place of family farming in the legislative system.

The LOASP has set the stage for an interactive and participatory process involving the development of complementary legislative and regulatory measures. For example, the establishment of a Higher Orientation Council for Agriculture, Forestry and Livestock (COASP) and the organization of an annual conference chaired by the head of state and bringing together representatives of key actors in the concerned sectors.

After a relatively slow launch (2005–2006), there was a significant acceleration in the pace of implementation (2007–2008), with the adoption of a number of administrative and regulatory measures. These measures included the establishment in 2007 of the Orientation Council (COASP) and its regional branches (CROASP); the National Fund (FNDASP), and the Fund for animal housing facilities (FondStab). This was followed by other decrees, relative to relevance of LOASP to the professional organizations; the social protection regime applicable to workers in the agriculture, forestry and livestock sectors; and the organization of the national research system (SRASP).

The LOASP has shown significant advances in many areas. However, it must be recognized that the implementation of the LOASP did transpire as planned. Several commitments could not be honoured. Over the past 15 years, several projects and programmes in line with the spirit of the LOASP have been launched. The adoption of the LOASP and the debates generated by the achievements – or failures – of its implementation have paved the way for many innovative approaches or initiatives to improve food security and nutrition, as well as the income and resilience of family farms through better access to land, water control, access to production and processing inputs and tools, finance and markets, social protection and productive nets and other risk management tools, as well as training.

Rwanda

Name of the programme/policy	STRATEGIC PLAN FOR AGRICULTURE TRANSFORMATION (PSTA, 2004–2024)
Thematic focus	The Government's vision under PSTA is to transform agriculture from a labour intensive, low productivity and subsistence to a mechanised, highly productive commercial sector producing market niche crops for local, regional and international markets as well as feeding a growing urban population.
Constituency/ Beneficiaries	Farming households, private sector actors such as agribusiness traders, processors, exporters, transporters, input dealers, extension agents etc.
Starting year	2004
Main goals/ objectives	(i) Increasing the contribution of the agriculture sector to wealth creation among households; (ii) Enhancing economic opportunities from agriculture through creating jobs and reducing poverty among Rwandan households; (iii) Improving food security and nutrition among Rwandan households; and (iv) Increasing resilience to climate change and promoting sustainability among farming households and other actors in the agricultural value chains.

Since 2004, the Ministry of Agriculture and Animal Resources (MINAGRI) has developed and implemented three phases of Strategic Plans for the Transformation of Agriculture (PSTA). The priority of PSTA 1 and 2 was to contribute in a sustainable manner to increased and diversified household incomes, while ensuring food security for Rwandans. The emphasis shifted somewhat in PSTA 3, with a greater emphasis on the need to modernise and commercialise the sector as well as to increase non-farm employment, to free land for scaled-up agriculture. PSTA 4 is a continuation of PSTA 3, in terms of addressing a similar set of constraints and opportunities. However, the priorities have shifted for several areas. Some of the strategic innovations of PSTA 4 include an increased focus on better land management, a shift towards market orientation and farm profitability, strengthened private sector service delivery and investment, and a push for domestic market re-capturing, and high-value exports in value chains where Rwanda is naturally competitive. In addition, PSTA 4 increased focus on diversifying animal resources and more emphasis and investment in research and skills development.

MINAGRI is the key institution implementing policy. It is responsible for engaging all relevant stakeholders (including the districts, implementing agencies, the agricultural sector working group and others) in the coordination of the Rwanda's PSTA. The MINAGRI steering process is done at the impact and outcome levels. Implementing agencies include the Rwanda agricultural Board (RAB), The National Agricultural Exports Board (NAEB) among others. The Agricultural Sector Working Group (ASWG) is a forum for dialogue and coordination around key agricultural development issues. Members include development partners, NGOs, the private sector, civil society, farmer organizations, financial institutions and government agencies. Under the Agricultural Sector Working Group (ASWG), there are Sub-Sector Working Groups (SSWGs) of four permanent specialized clusters including: crop development, livestock development, agribusiness, markets and export development, and planning and budgeting. SSWGs

enhance stakeholders' roles planning, monitoring, advisory, coordination and financing for the sector. At the district level, the Joint Action Development Forum (JADF) made up of district government representations, international NGOs, farmer and community organizations, and traditional and religious leaders, meets regularly to discuss sectoral issues. The implementation of the District Development Plan is overseen by the JADF. Feedback from the districts is then transferred back to MINAGRI, ASWG and implementing agencies such as the Rwanda Agricultural Board. In terms of financing, the Sector Wide Approach (SWAp) group brings together MINAGRI and key budget support development partners to discuss issues related to budget support in the agriculture sector and coordinating financial support to PSTA 4.

West Africa

Name of the programme/policy	Le Programme de Développement de l'Agriculture en Afrique (CAADP)/ The Common Agricultural Policy in the Economic Community of West African States (ECOWAP)
Thematic focus	Development of the agricultural sector
Constituency/ beneficiaries	Farming sector
Starting year	2003 and 2005
Main goals/ objectives	Modernization and sustainability of agriculture, enhanced productivity and competitiveness

CAADP and ECOWAP were adopted in 2003 and 2005 respectively. CAADP is the agricultural component of the New Partnership for Africa (NEPAD), championed by African Heads of States under the aegis of the African Union (AU). It is part of the efforts to unleash Africa's development potential, having agriculture as a key engine for inclusive growth, poverty reduction and food security in the continent. ECOWAP was built as the framework to guide CAADP's implementation in the 16 countries of the Economic Community for West African States. CAADP and ECOWAP function as a common coordination framework to guide national policy-making and promote countries' political commitment.

The process of framing CAADP and ECOWAP involved multi-stakeholder partnerships and the engagement of farmers' organizations, who influenced their design.

On the programmatic terms, CAADP's pillars focus on water control and expansion of irrigated lands; rural infrastructure and market access; improved food availability and access, hunger reduction, and preparedness for food crises; agricultural research and appropriate technology dissemination. ECOWAP priorities focus on the modernization and sustainability of agriculture, enhanced productivity and competitiveness; establishment of a shared commercial regime and adaptation of the external trade regime.

Under the coordination and monitoring of regional bodies, CAADP and ECOWAP guidelines, goals and resource mobilization are adapted and operationalized through the development of national agricultural investment and food security programmes. CAADP has a small grant programme for non-state actors to strengthen advocacy strategies, data collection and programme monitoring.

Kenya – Nairobi and Kisumu

Name of the programme/policy	Nairobi City County Urban Agriculture Promotion and Regulation Act and Kisumu County Integrated Development Plan (CIDP) 2013–2017
Thematic focus	Urban and peri-urban agriculture
Constituency	Smallholder farmers
Starting year	2010
Main goals/objectives	To build a new countryside with modern socioeconomic infrastructure; reasonable economic structure and production organization forms, linking agriculture with rapid industrial and service development.

Local policies to promote and regulate urban and peri-urban agriculture in Kenya started to emerge and become adopted after a constitutional reform in 2010 that made them legal and part of counties' legal responsibilities.

Since 2015, Nairobi, since 2019, also Kisumu City have been a signatory to the Milan Urban Food Policy Pact (MUFPP) aiming to “promote and strengthen urban and peri-urban food production and processing” and to integrate urban and peri-urban agriculture into city and county plans. The pact, equivalent to a treaty, means the city has voluntarily entered its provisions. It commits signatory cities to undertake certain actions for sustainable development. Nairobi and Kisumu are thus now urged to encourage interdepartmental and cross-sectoral coordination to integrate food systems into policies, programmes and initiatives. They should also ensure that their food policies are coherent with national and international policies. Signing the MUFPP also requires the cities to engage all stakeholders such as research institutions, the private sector, NGOs, family farmers and others during the food-related policy cycle.

Nairobi City County Urban Agriculture Promotion and Regulation Act was passed by the Nairobi City County Assembly in 2015 with the aim to improve food security and ensure food safety by promotion of urban agriculture in the City. It aims at guiding and supporting urban agricultural activities through regulation. It establishes a framework for improving access to extension services, access to farming land and water for agricultural production activities, especially among households in high density informal settlements. Through these initiatives, the Act aims at creating employment opportunities through promotion of agriculture. It also aims at establishing a monitoring framework to assess negative impacts of urban agriculture.

While Kisumu's County Integrated Development Plan (CIDP) does not specifically outline urban agriculture activities and programmes, the county allocated a budget of KES 20 million for the formulation of acts and policies and a total of KES 166 million for the purchase of water-harvesting technologies and training on water-harvesting and climate-smart technologies such as vertical gardens. These are typical of urban farming, especially where space is restricted as in dense informal settlements. However, because the CIDP does not distinguish between urban and rural farmers, these inputs will also benefit farmers in rural areas. The total budgetary allocation to the sector amounted to KES 1.99 billion, representing three percent of the total budget for Kisumu County.

The actions of Kisumu County (grants to farmers, provision of extension services to urban farmers and consultation with urban farmers) signal support for family farmers, including urban farmers. The Governor, through the Department of Agriculture, Irrigation and Fisheries, has been supporting urban agriculture initiatives, which the county considers to be a good instrument for alleviating poverty, reducing food insecurity and malnutrition as well recycling organic wastes. Policy instruments involve delivering agricultural extension and veterinary services, training, starter packages, demonstration plots, livestock regulations and inspections.

ANNEX 2

Case study methodology

Applied for the development of background papers including the systematization and the detailed, comparative analysis of successful experiences and lessons learned about public policy development, implementation and monitoring.

Possible criteria for case selection

- Public policies and programmes:
 - Targeted at family farmers;
 - Preferentially with more defined/specific goals and already being implemented;
 - Adequate to discuss the whole policy cycle or specific parts of it;
 - With appropriate amount of information available for research;
 - That help trainees to:
 - Visualize real and practical daily aspects of the public policy-making;
 - Reflect and discuss political and technical issues of the public policy-making; and
 - Learn and apply the policy cycle frame for future public policy development;
 - Successful cases considering implementation and outputs/outcomes;
 - Replicable, adaptable and scalable; and
 - Possible to link to the UNDFP GAP, shows diversity in terms of thematic focus, constituencies and geographic coverage.
- Discussions and definition of policies and programmes shall involve family farmers' organizations

Research methodology

- Case studies shall build a linear and objective narrative of the policy/programme development by collecting available data about each stage and the policy cycle as a whole, describing and analysing key variables that affect/explain this process.
- Data collection methods:
 - Access and review of available **documents**: government and other stakeholders' reports, legal and judicial acts, managerial/planning tools and instruments; textbooks, manuals, brochures, speeches, newspapers, websites, etc.
 - In-depth **interviews** or **focus groups** with key actors involved in the programme/policy: State actors at different levels: politicians; elected or appointed officials; high, middle and street-level bureaucrats; Public and private service providers and their front-line workers; Members of the "policy community" (multi-actor group/network/coalition) or "policy entrepreneurs"; Family farmers' organizations and other civil society organizations; Policy/programme beneficiaries (families and individuals); other targeted or affected groups/individuals.

- **Field visits**, direct observation and/or participation in policy/programme different activities
- Data to be collected following the proposed semi-structured script of guiding questions allowing a minimum level of standardization among the cases.

Proposed guiding questions

Agenda setting – Stage 01

- Which problems related to family farmers were recognized as public problems, and through which means, channels, events or opportunities? How did they enter the governmental agenda?
- How were problems related to family farmers identified and framed by state and non-state actors? Was there any kind of evidence to support that? Were there convergence or controversy/conflicts over the problem and possible solutions?
- Was there a policy coalition/network that promoted the issue? Who was part of it? How did they act and influence? Were there policy entrepreneurs? Were there conflicts with other previously established policy communities and public agendas?
- What was the [possible] role/influence of public opinion, media, international actors, different pressure groups, etc.?

Formulation – Stage 02

- What were the set of alternatives presented by actors, given the previous recognition of a public problem?
- Who were the main actors involved, their roles and influencing visions/ideas?
- Were there competing/conflicting alternatives? If yes, how were conflicts managed?
- Did alternatives consider the specificities and perspectives of family farmers? Did it consider specific gender and/or youth approach(es)?
- How were alternatives pondered, debated, analysed and compared? Was it achieved in a participatory/inclusive approach?
- How were policy goals and means defined?
- Was any methodology/instrument/tool of government planning utilized? (e.g. SWOT, Problem trees, logical framework, etc.) Was any kind of data utilized to frame the alternatives?
- Were the alternatives presented technically, economically and politically feasible? Did formulators discuss budgetary costs, beyond the policy alternatives?

Policy adoption – Stage 03

- Why was an alternative chosen by the government over other competing options?
- How were laws and other legal acts passed/enacted? How are the roles and powers/authority of the executive and legislative branches established?
- How was the decision chain (and actors involved) structured until a final authoritative legal act?
- How did the decision-making process unfold? Was it diffuse or concentrated? Uni- or multi-rounded? Rational or irrational?

- The final format of the programme: Policy goals, definitions and means to achieve them. Were they vague, unclear, contradictory or clear, compatible and well defined? Did it consider the specificities and perspectives of family farmers?
- Was any methodology/instrument/tool of government planning utilized? (e.g. SWOT, problem trees, logical framework, etc.)
- What were the main aspects of the programme and how were they described? Outcomes/outputs, targeted group and beneficiaries, rights and duties, proposed activities/services/interventions/tools, gender/youth approach(es), budget structure and types of expenditures, the cost estimate of activities or services, geographic area, monitoring indicators, etc. Were all necessary inputs (budget, personnel, etc.) made available?
- Were the activities/services/interventions context-specific with a focus on the features and perspectives of the family farmers?

Implementation – Stage 04

- How were previous decisions put into practice? How was the implementation chain/flow (and the different organizations involved) structured? Was the implementation design adequate for the previously defined policy goals?
- How was the need for more detailed (infra-legal) norms/acts/regulations (to make implementation possible) addressed?
- Was any methodology/instrument/tool of government planning utilized? (e.g. SWOT, problem trees, logical framework, etc.) Was any specific strategy adopted? (pilots; [different types of] segmented or massive implementation).
- What implementation approach was predominant? Top-down or bottom-up?
- What were the roles, powers, and structure/capacity of the implementing agencies? How did these elements influence the implementation?
- Were there contradictory decisions? Were there inter-agency or federative conflicts? How were they solved?
- How was the relationship between the street-level bureaucrats/front-line workers and the beneficiaries developed throughout the implementation?
- Were there agent-principal conflicts involving private companies, interest groups, private and public service providers, politicians, courts and bureaucrats?
- What was the effect of implementation by other programmes?
- Were possible adaptations, deviations, and failures identified (given the original goals and means previously decided)? Did the implementation help “shape” the policy/program? If so, how?
- Were other challenges and difficulties identified? (e.g. budget implementation).

Monitoring and evaluation – Stage 5

- How is the policy/programme monitored? Do monitoring methods and indicators dialogue with the established goals? Is there administrative and/or field monitoring? How is data collected? Is data made public? Is there any kind of social participation? How systematic is the monitoring?
- Did the programme have any type of evaluation? Who conducted it (agencies, politicians, judiciary, universities, consultancies, other external actors)? Did it have a qualitative or quantitative approach? Was evaluation full or partial? Which measures/indicators were established to assess aspects of policy/programme success or failure?

- Were the goals (total or partial) achieved? Which outputs/outcomes/impacts were produced? Is there reliable evidence to confirm them? Was any unforeseen effect verified?
- Did beneficiaries/communities take part in the evaluation efforts? Was the policy/programme considered a success or failure by them, and why?
- How were the evaluation assessments used by implementing agencies and other policy stakeholders? Were there competing or convergent narratives on policy/programme success/failure?
- Has evaluation generated any process of policy learning, adaptation, modification, innovation, or even termination? If yes, how did it unfold? Were new and interrelated public problems identified?

Additional questions and aspects to explore for the case analysis

- What are the critical elements of success or failure related to different policy stages?
- How can decisions in one programme stage influence the other ones? How did actors coordinate policy/programme development among the stages?
- How did actors manage to build affirmative actions and the differentiation of policies to family farmers?
- How did family farmers benefit or not from this policy/programme? How did they engage?
- The influence of the institutional environment, ideas, and knowledge on actors' behaviour and decisions.
- Political and technical challenges, improvements, and future perspectives – is the policy/programme sustainable (from political and economic perspectives)?
- Interconnections to the national context and other policy areas related to family farming.
- Is there a comprehensive policy framework which this policy/programme is part of?

ANNEX 3

Further readings

LS 2.1. The emergence of public policy as an academic field of study

A specific academic field focusing on public policy emerged in the first half of the twentieth century, and especially after the Second World War. This period saw an unprecedented expansion in the role and structures of the state in North America and Western Europe. The state became involved in new areas of social and economic development, creating new sets of public services and organizations, whose personnel and costs needed to be financed (Hay and Lister, 2006; Howlett, Perl and Ramesh, 2009).

Beyond understanding how political institutions were formed and functioned, and how power was acquired and exercised in different countries (the core *foci* of the political sciences), these transformations led to an increasing interest in how the state and its political-administrative apparatus worked and the “consequences” of government policies and programmes.

The new field developed not only to provide knowledge and advice on how governments could improve policy-making processes but also to constitute public policies as a new object of study within the social sciences.¹⁷

Throughout the twentieth century, other regions and countries also experienced significant processes of state transformation. For instance, processes of independence, transition of political regimes and/or (re)democratization, with the development of legal-administrative structures, policies and programmes with the objective of promoting social and economic development. This led the academic field of public policy to expand, consider new policy realities and promote international exchange between researchers, practitioners and governments.

As the processes of globalization accelerated during the second half of the twentieth century, new and more complex social, economic and environmental problems have arisen. Today, as countries are more interdependent, such exchanges between researchers, practitioners and governments are even more important and active.¹⁸

Analytical value of the Lowi-Wilson policy typology. The typology analyses the authoritative dimension of public policies. It draws attention to the different ways in which the state organizes society, for example, by limiting certain freedoms, penalizing non-desirable actions, incentivizing desirable actions, and by targeting public policies towards specific groups. Some examples of these were presented in the policy news exercise.

¹⁷ Hill and Varone (2017) highlight the differences between analysis “of” policy, which tries to describe and understand policy trajectories, and analysis “for” policy, which tries to provide evidence and advice to improve policymaking processes.

¹⁸ This is a short historic overview from a global perspective. Facilitators can add supplementary material on the emergence of a regional/national public policy field and its main features.

The typology can also be used to analyse the ways in which the benefits and costs of public policies are structured (and the ideas that underpin these decisions). Based on the aspects of coercion, and the distribution of costs and benefits, the typology predicts different patterns of political behaviour and interactions (through the policy process) between actors who are subject to coercion or costs and the actors who benefit from public policies. For example, regulatory policies place restrictions on the actions of individuals and firms, who may object to or resist the regulations. At the same time, groups that benefit from the regulations are likely to lobby the government to maintain (or even expand) the restrictions and to guarantee that they are enforced.¹⁹ Similarly, for redistributive policies, groups that pay higher costs (taxes) are expected to resist, limit, or question the legitimacy of policies, while other groups will attempt to maintain or expand the benefits they receive.

As illustrated by these two examples, regulatory and redistributive policies tend to be more contentious. This can lead to unstable and combative policy-making processes. According to the theory, establishing these policies is likely to be more difficult and complex.

In contrast, establishing distributive policies is expected to involve less conflict, as the policy costs are dispersed across a wider section of society. The rule does not always hold. For example, governments facing fiscal crises face pressure to restrict the reach of distributive policies or make budget cutbacks. Such actions are likely to be highly contentious as they limit access to the benefits of these policies, with unequal impacts on different societal groups.

Constituency policies influence all the other categories by establishing “the rules of the rules”. Constituency policies can make the adoption of and access to public policies easier or more difficult, influencing the way the costs and benefits of government action are distributed.

The four policy types are not mutually exclusive. The classification of some public policies within the typology is open to debate, while other public policies may exhibit characteristics of more than one type of policy (to a greater or lesser extent). The balance of these characteristics can also shift over time as policies evolve.

For example, policies supporting family farming may share a mixture of distributive and redistributive characteristics. The costs of the policies may largely be diffuse, but they may also have redistributive effects by targeting specific groups and addressing existing inequalities (e.g. between urban and rural areas).

Recall the “first arrow of influence” (previously introduced) with social demands influencing public policy and the process being mediated by the political system. The predictions of the Lowi-Wilson policy typology point to the existence of a second arrow of influence whereby differences in the content of policies influence the behaviour of, and interactions between, political actors. In other words, the way a policy is defined has the potential to “expand the scope of conflict”, bringing additional groups of people into the policy process, thus shaping politics (Smith and Larimer, 2009). Ultimately, this will result in different responses to the social demands and problems posed.

¹⁹ The model emphasizes state coercion as a restriction on freedom. However, consider an alternative view where the legitimate role of the state is to increase the freedom of citizens. By placing limits on individual and economic activities (e.g. agricultural activities that cause diffuse water pollution), regulations may maintain the freedoms of other members (e.g. to swim in rivers, access safe drinking water).

ANNEX 4

Detailed training agenda

(This table is an example for a training agenda. The specific timing and the length of the sessions can be adjusted according to the specific training needs and context.)

DAY	LEARNING STAGE	NR OF SESSION	LEARNING SESSION (DURATION)	TIMING	AGENDA ITEMS	METHODOLOGY		
1	Registration		Registration and coffee		9:00 - 10:30			
	Preliminaries	A	Welcome and Opening (0.40)	10:30 - 11:10				
		B	Participants getting to know each other (0.30)	11:10 - 11:40				
		C	Presentation of the agenda and goals of the training (0.30)	11:40 - 12:10				
			Lunch break (1:30 min)		12:10 - 13:40			
	Learning stage 1 CONTEXT ANALYSIS	1.1	ANALYSIS OF THE CHALLENGES OF CURRENT FOOD SYSTEMS (1.40)	13.40 - 13.50	1. VIDEO PRESENTATION ON FOOD SYSTEMS	Plenary		
				13.50 - 14.20	2. BRAINSTORMING ON FOOD SYSTEMS CHALLENGES	Group work		
				14.20 - 14.50	3. REPORTING BACK ON FOOD SYSTEMS CHALLENGES	Plenary		
				14.50 - 15.20	4. CREATING A COMMON STATEMENT ON FUTURE FOOD SYSTEMS	Plenary		
				Coffee break (30 min)		15:20 - 15:50		
		1.2	FAMILY FARMING IN THE COUNTRY CONTEXT (1.20)	15:50 - 16:10	1. BRAINSTORMING ON FAMILY FARMING	Plenary		
				16:10 - 16:40	2. DEVELOPING CONCEPT ON FAMILY FARMING	Group work		
16:40 - 17:10				3. REPORTING BACK and FACILITATORS' OR EXPERTS' INPUT ON FAMILY FARMING IN THE COUNTRY	Plenary			

DAY	LEARNING STAGE	NR OF SESSION	LEARNING SESSION (DURATION)	TIMING	AGENDA ITEMS	METHODOLOGY		
2	Learning stage 2 PRINCIPLES OF PUBLIC POLICIES: KEY CONCEPTS AND RELATIONSHIP TO FAMILY FARMING	2.1	THE CONCEPT OF PUBLIC POLICY (2.00)	9:00 - 9:30	Recap of day 1	Plenary		
				9.30 - 10.00	1. GENERATING INPUTS ON PUBLIC POLICY DEFINITION	Individual exercise		
				10.00 - 10.30	2. FACILITATOR'S INPUT ON PUBLIC POLICIES	Plenary		
				10.30 - 11.00				
				11.00 - 11.40	3. NEWS ON PUBLIC POLICIES	Group work		
				11.40 - 12.10	4. REPORTING BACK: POLICY TYPOLOGIES/CLASSIFICATION	Plenary		
				Lunch break (1:30 min)		12:10 - 13:40		
				2.2	PUBLIC POLICIES FOR FAMILY FARMING: NATIONAL TRAJECTORIES, BENEFICIARIES AND THEMES (1.40)	13.40 - 14:00	1. LISTING FAMILY FARMING POLICIES	Work in pairs
						14.20 - 14:50	2. CONSTRUCTING THE SET OF EXISTING NATIONAL POLICY FRAMEWORK	Plenary
						14.50 - 15:40	3. FACILITATOR'S INPUTS AND DISCUSSION ON THE SET OF NATIONAL FAMILY FARMING POLICIES	Plenary
				Coffee break (30 min)		15.40 - 16:10		
				2.3	ACTORS AND INSTITUTIONS IN POLICY PROCESS (1.50)	16:10 - 16:30	1. BRAINSTORMING ON FAMILY FARMING POLICY ACTORS	Plenary
						16:30 - 17:00	2. DRAWING THE MAP OF FAMILY FARMING POLICY ACTORS	Group work
						17:00 - 17:45	3. REPORTING BACK AND DISCUSSION ON THE MAP OF FAMILY FARMING POLICY ACTORS	Plenary
				2.4	INTRODUCING THE POLICY CYCLE MODEL (0.30)	17:45 - 18:15	1. VIDEO PRESENTATION OF THE PUBLIC POLICY CYCLE FOR FAMILY FARMING	Plenary

DAY	LEARNING STAGE	NR OF SESSION	LEARNING SESSION (DURATION)	TIMING	AGENDA ITEMS	METHODOLOGY	
3	Learning stage 3 THE POLICY CYCLE MODEL	3.1	AGENDA SETTING (2.00)	9:00 - 10:00	Recap of day 1 and day 2	Plenary	
				10:00 - 10:30	1. ICEBREAKER ON AGENDA SETTING	Work in Pairs	
				10:30 - 11:00			
				11:00 - 12:00	2. ROLEPLAY ON AGENDA SETTING	Group work	
				12:00 - 12:30	3. COLLECTIVE REFLECTION ON AGENDA SETTING	Plenary	
		Lunch break (1:30 min)		12:30 - 14:00			
		3.2	FORMULATION (1.30)	14:00 - 15:00	1. DETAILS OF POLICY FORMULATION		
				15:00 - 15:30			
				15:30 - 16:00	2. FACILITATOR'S INPUT ON POLICY FORMULATION AND PLANNING		
					9:00 - 9:30	Recap of day 3	Plenary

DAY	LEARNING STAGE	NR OF SESSION	LEARNING SESSION (DURATION)	TIMING	AGENDA ITEMS	METHODOLOGY
DAY 4		3.3	ADOPTION (2.00)	9:30 - 10:00	1. ICEBREAKER AND FACILITATORS/EXPERT'S INPUT ON POLICY ADOPTION	Plenary
				10:00 - 11:00	2. LAW ANALYSIS	Group work
				11:00 - 11:30		
				11:30 - 12:00	3. LEGISLATIVE FRAMEWORK	Plenary
		3.4	IMPLEMENTATION (2.00)	12:00 - 12:30	1. FACILITATOR'S INPUT ON POLICY IMPLEMENTATION	Plenary
				12:30 - 14:00		
				14:00 - 14:45	2.IMPLEMENTING POLICY SOLUTION	Group work
				14:45 - 15:30	3. REPORTING BACK AND DISCUSSION ON POLICY IMPLEMENTATION CHALLENGES	
				15:30 - 16:00		
		3.5	MONITORING & EVALUATION (1.00)	16:00 -16:15	1. BRAINSTORMING ON MONITORING AND EVALUATION	Plenary
16:15 -17:00	2. FACILITATOR'S INPUTS WITH DISCUSSION ON MONITORING AND EVALUATION			Plenary		
DAY 5	Learning Stage 4 ANALYTICAL REFLECTION FOR CONTEXTUALIZED POLICY SOLUTIONS FOR FAMILY FARMING	4	PUBLIC POLICY PROCESS FOR THE SUPPORT OF FAMILY FARMING IN THE NATIONAL CONTEXT (2.00)	9:00 - 10:20	1. POLICY NEWS FROM THE FUTURE	World Café
				11:00	2. NEWS ARTICLE FROM THE FUTURE (2028)	Plenary
	Coffee break (30 min)				11:00 - 11:30	
	Learning Stage 5 CONTEXTUALIZED PLANNING	5	PUBLIC POLICY FORUM PLANNING (0.45)	11:30 - 12:15	1. PLANNING FUTURE ACTIONS	Group work
				12:15 - 13:45		
13:45 - 14:30				2. JOINT PLANNING OF FUTURE ACTIONS	Plenary	
Coffee break (30 min)				14:30 - 15:00		
Wrap up		00.1	(1.30)	15:00 - 16:30		Individual work and plenary

The *Learning framework for inclusive, integrated and innovative public policy cycles for family farming* was developed under the framework of the United Nations Decade of Family Farming (2019–2028) to support policymakers, family farmers’ organizations and other relevant stakeholders to increase their understanding of public policy cycles and family farming related policies. This technical and methodological capacity development programme is adaptable to local, national or regional priorities. It offers a holistic perspective to building knowledge and capacity of the various actors involved in the design, implementation and review of effective and coherent policies and programmes.

The training places the policy cycle model in the reality of family farming public policies, programmes and strategies. It contains 17 sessions. These sessions follow each other in a proposed order to reinforce a continued and progressive capacity development process in the specific field of family farming related policies. Departing from a wider, global perspective, training sessions guide participants to examine their national policy context and invite them to explore opportunities in their countries to strengthen the support they provide for family farming.

ISBN 978-92-5-137867-0



9 789251 378670

CC5968EN/1/07.23