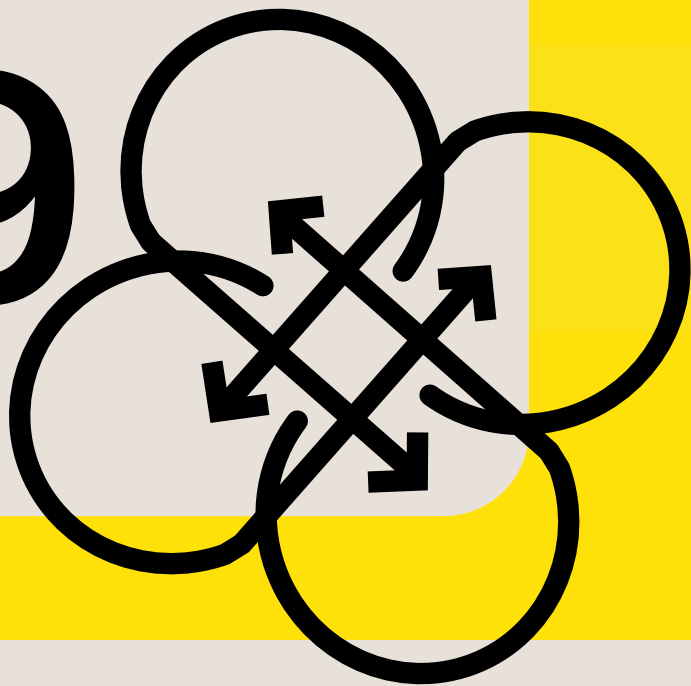


# Global Soil Week 2019



Creating an Enabling Environment for  
Sustainable and Climate-Resilient  
Agriculture in Africa



**July 2019**

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# Global Soil Week 2019: Outcome Report

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# Abbreviations

ASAL	Arid and Semi-Arid Land
BMZ	German Federal Ministry for Economic Cooperation and Development
CETRAD	Centre for Training and Integrated Research in ASAL Development
CITES	Convention on International Trade in Endangered Species of Wild Fauna and Flora
CSO	Civil Society Organisation
F&G	Framework and Guidelines on Land Policy in Africa
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GSW	Global Soil Week
ICT	Information and Communication Technology
IGAD	Intergovernmental Authority on Development
IUCN	International Union for Conservation of Nature
LDN	Land Degradation Neutrality
M&E	Monitoring and Evaluation
NRM	Natural Resource Management
NGO	Non-Governmental Organization
NTFP	Non-Timber Forest Products
PES	Payment for Ecosystem Services
REDD+	Reducing Emissions from Deforestation and Forest Degradation
SALM	Sustainable Agriculture Land Management
SCP	Sustainable Consumption and Production
SDGs	Sustainable Development Goals
SLM	Sustainable Land Management
UNEP	United Nations Environment Programme
VGGT	Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests

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- Initiative 4p1000
- Centre for Training and Integrated Research in ASAL Development (CETRAD)
- FAO Global Soil Partnership
- Groupe de Recherche et d'Action sur le Foncier (GRAF)
- Institute for European Environmental Policy (IEEP)

- International Land Coalition (ILC)
- International Union for the Conservation of Nature (IUCN)
- Total Land Care (TLC)
- United Nations Convention to Combat Desertification (UNCCD)
- United Nations Environment Programme (UNEP)
- United Nations Framework Convention on Climate Change (UNFCCC)
- World Wildlife Fund (WWF) International

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1. <https://globalsoilweek.org/youth-in-soil/>

# Chapter 1:

## Introduction

Soil provides the basis for a wide range of ecosystem services from which humanity benefits. One of the most notable functions of soil is its role in food production. With up to 95% of the world's food produced on soil, food availability and quality largely depend on the availability of healthy soils.<sup>1</sup> Yet global land resources face increasing degradation, mainly as a result of anthropogenic influences such as unsustainable land and water use and poor land management. Climate change further exacerbates these trends and, as a consequence, nearly 24% of the global land area is facing degradation, threatening the livelihoods of around 1.5 billion people around the world.<sup>2</sup>

The African continent is disproportionately impacted by these global trends. Up to 45% of the continent's terrestrial surface is estimated to be affected by desertification and a majority still exposed to a high or very high risk of further degradation.<sup>3</sup> As land degradation and declining soil fertility negatively impact crop production, these trends threaten to undermine the achievement of the global goal of food security. Further, land degradation and reduced soil fertility decrease the resilience of already vulnerable groups, such

1. FAO. (2015). Healthy Soils are the basis for healthy food production.

2. Umweltbundesamt. (2015). Land Degradation Neutrality: An Evaluation of Methods

3. ELD Initiative & UNEP. (2015). The Economics of Land Degradation in Africa: Benefits outweigh costs. ELD Initiative: Bonn.

as those living in poverty, and has the potential to intensify conflicts over scarce natural resources.<sup>4</sup>

### Land & Soil in the context of the Sustainable Development Goals

The GSW is a platform that brings together a wide range of actors to strengthen policies and actions on sustainable soil management and responsible land governance. Identifying, promoting and sustaining systems that halt land degradation, improve soil fertility and promote equitable access to the benefits of land and natural resources are crucial considerations in the context of sustainable development agendas.

Sustainable Land Management (SLM) and responsible land governance are key to the achievement of a majority of the Agenda 2030 Sustainable Development Goals (SDGs). SLM contributes to maintaining the many different functions of healthy soils (e.g. biomass production; storing, filtering and transforming nutrients, substances and water; biodiversity and carbon pool; physical and cultural environment for human activities; source of raw material). These soil functions are directly related to the six major global issues that the SDGs address (climate change,

4. UNCCD. (2017). Global Land Outlook.



water security, land restoration, human health, food security, biodiversity).<sup>5</sup> SLM and investments in improving soil fertility are for instance key to SDGs 1, 2 and 3, as soil provides the basis for food production and, consequently, the achievement of food security and nutrition.<sup>6</sup> SDGs 3 and 6 address the importance of safe water sources. In this context, sustainably managing land and soil resources is a key factor in supporting their function to filter water and transmit it to plants, the atmosphere, groundwater, lakes and rivers.<sup>7</sup> SLM and responsible land governance are further key to maintaining soils as a carbon sink for climate mitigation efforts, therefore playing a key role in combating the climate crisis as urged for under SDG 13. Finally, the importance of sustainably managing land and soil resources is most evidently present in SDG 15 which calls for the sustainable use of terrestrial ecosystems and management of forests, combating desertification, halting land degradation and halting biodiversity loss.<sup>8</sup> It can therefore be claimed that the majority of SDGs depend on the different functions provided by soil, reflecting the importance of investing in SLM and responsible land governance for the achievement of the SDGs as a whole.<sup>9</sup>

5. Keesstra, S.D. (2016). The significance of soils and soil science towards realization of the United Nations Sustainable Development Goals. SOIL. 2. Pp. 111 – 128.

6. SDG 1: End poverty in all its forms everywhere; SDG 2: End hunger, achieve food security and improved nutrition and promote sustainable agriculture; SDG 3: Ensure healthy lives and promote wellbeing for all ages.

7. SDG 6: Ensure availability and sustainable management of water and sanitation for all

8. Keesstra, S.D. (2016). The significance of soils and soil science towards realization of the United Nations Sustainable Development Goals. SOIL. 2. Pp. 111 – 128.

9. For a more complete overview of which soil functions contribute to which specific SDG, please consult Keesstra, S.D. (2016). The significance of soils and soil science towards realization of the United Nations Sustainable Development Goals. SOIL. 2. Pp. 111 – 128.

## Global Soil Week 2019:

### Addressing the missing middle

Under the title of *Creating an Enabling Environment for Sustainable and Climate-resilient Agriculture in Africa*, the GSW 2019 addressed the lacking long-term impacts of investments in SLM practices that fail to effectively counter land degradation trends and limit the capacity of smallholder farmers to adapt to climate change. Although SLM techniques have long been recognized as an approach to halt land degradation and maintain soil fertility, recent reports on the degradation of ecosystems and biodiversity question the extent to which the decade-long promotion of SLM has been successful. The 2019 report by the Intergovernmental Science Platform on Biodiversity and Ecosystem Services (IPBES) for instance draws attention to the devastating status of biodiversity around the world and the anthropogenic influence on the reduction of species worldwide.<sup>10</sup> Amongst others, the report highlights that food crop production has increased by 300% and that 100 billion USD are being invested in agricultural practices that are harmful to the environment.<sup>11</sup> Not being able to achieve the majority of the Aichi Targets by 2020 presents even more clearly the negative trends in biodiversity conservation.

These developments raise the urgency of addressing the question of why decades of

10. The report highlights that the abundance of species has been reduced by 20%

11. IPBES. (2019). Global assessment report on biodiversity and ecosystem services of the Intergovernmental Science- Policy Platform on Biodiversity and Ecosystem Services. E. S. Brondizio, J. Settele, S. Díaz, and H. T. Ngo (editors). IPBES Secretariat, Bonn, Germany.

investments in SLM programmes have not been able to deliver outcomes that sustain investments in ecosystem restoration and SLM practices. There are several reasons why SLM programmes have not yielded the desired outcomes. One is that SLM technologies are often driven by their theoretical potential rather than their practical value in implementation. Another is that technologies promoted in SLM programmes often presuppose labour requirements that are not available to smallholder farmers and are often not adapted to farmers' needs and capacities, or do not give thought to prevailing social norms in land management. The lack of adoption of SLM practices is further reinforced by insecure land tenure undermining investments in SLM and financial services that often are inaccessible or unaffordable to many smallholder farmers. Similarly, many SLM programmes do not reach the most vulnerable and marginalized groups, contributing to a continued lack of access due to the reality of public service providers not being able to reach those farmers. Finally, many SLM programmes do not sufficiently create environments in which project exit strategies adequately strengthen organizations that are meant to assume service provision responsibilities after the end of a project.

Despite the vast theoretical recognition of the importance of investing in strengthened land tenure security, extension services, access to financing mechanisms or social accountability, SLM programmes in practice do not sufficiently respond to these considerations. SLM programmes

often do not address the middle ground that lies between the realities experienced by farmers and national frameworks that guide agricultural practices. This “missing middle” emerges at several points of interactions between farmers and a range of service providing stakeholders. For instance, it emerges where public service providers are not able to reach farmers, where private service providers only attend to farmers who are better connected to markets and thus able to acquire private services or where individual farmers or farmer organizations lack leverage to hold authorities accountable.

There are, however, examples that have proven successful in responding to these challenges and creating environments at the local level that foster the adoption of SLM practices and climate smart agricultural practices. These projects and programmes have identified strategies to adapt SLM practices to the realities experienced by smallholder farmers, landless households, women and youth and to ensure that SLM efforts are implemented beyond the project cycle. These projects and programmes span a wide spectrum from securing land use rights for women to sustaining farmer to farmer extension and creating value chains that enable farmers to market the products of SLM practices in European niche markets. The experience of these projects and programmes provide valuable insights for the development of strategies to create an enabling environment that addresses the missing middle. It is against this background that the GSW 2019

applied a bottom-up learning process to generate lessons learnt on how successful SLM programmes were able to create enabling environments for sustainable and climate-resilient agriculture.

To this end, the GSW 2019, co-hosted by the Governments of Benin, Burkina Faso, Ethiopia, Madagascar and Kenya, took place from May 26th to May 30th, 2019 at the ICRAF Campus in Nairobi, Kenya. More than 200 representatives of successful local initiatives, governments, international organizations and research institutions gathered to jointly develop strategies to create an enabling environment for sustainable and climate-resilient agriculture in Africa. This outcome report summarizes the results of four days of fruitful discussions on more than 20 case examples and with a focus on four specific dimensions of an enabling environment: land governance, local governance and new cooperation models, extension

services, and access to finance and markets. This report summarizes the main discussion points and findings of the GSW and is structured as follows: Chapter 1 provides an introduction to the GSW 2019 followed by chapter 2 describing its methodological approach. Chapter 3 highlights the outcomes of each of the four dimension workshops and reflects on the respective strategies that have been identified to contribute to creating enabling environments. Chapter 4 discusses the interconnectedness of the four dimensions as well as sustainable consumption and production pattern as a cross-cutting theme within the different dimensions. It continues to provide a regional and global perspective of the discussion before chapter 5 concludes with an outlook on the relevance of the identified strategies of the GSW 2019 for a broader application of SLM practices and their further implementation.



Photo by Francis Dejon/IISD

# Chapter 2:

## Methodology

The GSW 2019 is the result of continuous engagement and contributions from a vast network of partners from government, civil society, research institutions, international development organisations and implementing partners. The joint deliberations reinforced the need for a better understanding of the conditions that enable SLM projects to be successful and generate sustained impacts.

Learning from different local initiatives across the African continent on how an enabling environment for sustainable and climate-resilient agriculture can be created formed the backbone of the GSW 2019. In the context of the GSW 2019, an enabling environment is defined as the institutional and technical requirements (laws/rules, organisations, services and techniques) for broad-scale dissemination and for long-term maintenance and adoption of practices of sustainable and climate-resilient agriculture after the end of external interventions. The GSW 2019 therefore set out to discuss and analyse a wide range of local initiatives with the following objectives:

- To emphasize that progress in ending hunger in rural areas, in enhancing the adaptive capacity of smallholder farms, achieving land degradation neutrality, and in managing

biodiversity and natural resources in a sustainable way depends on an enabling environment for smallholder farmers that is often yet to be created.

- To sharpen our joint understanding of an enabling environment that is needed to make investments in sustainable and climate-resilient agriculture sustain over time and to be adopted at a broader scale.
- To show that progress in creating an enabling environment for sustainable and climate-resilient agriculture is possible, even through small-scale investments in locally driven learning and innovation processes.
- To create a dialogue between representatives of relevant regional initiatives, national governments, municipalities, and civil society on their respective roles and contributions in making this enabling environment for sustainable and climate-resilient agriculture come about.

### **A bottom-up learning process**

To achieve its objectives, 22 cases (see Figure 1 and Annex 1 for a full list and description of cases) that were able to create elements of an enabling

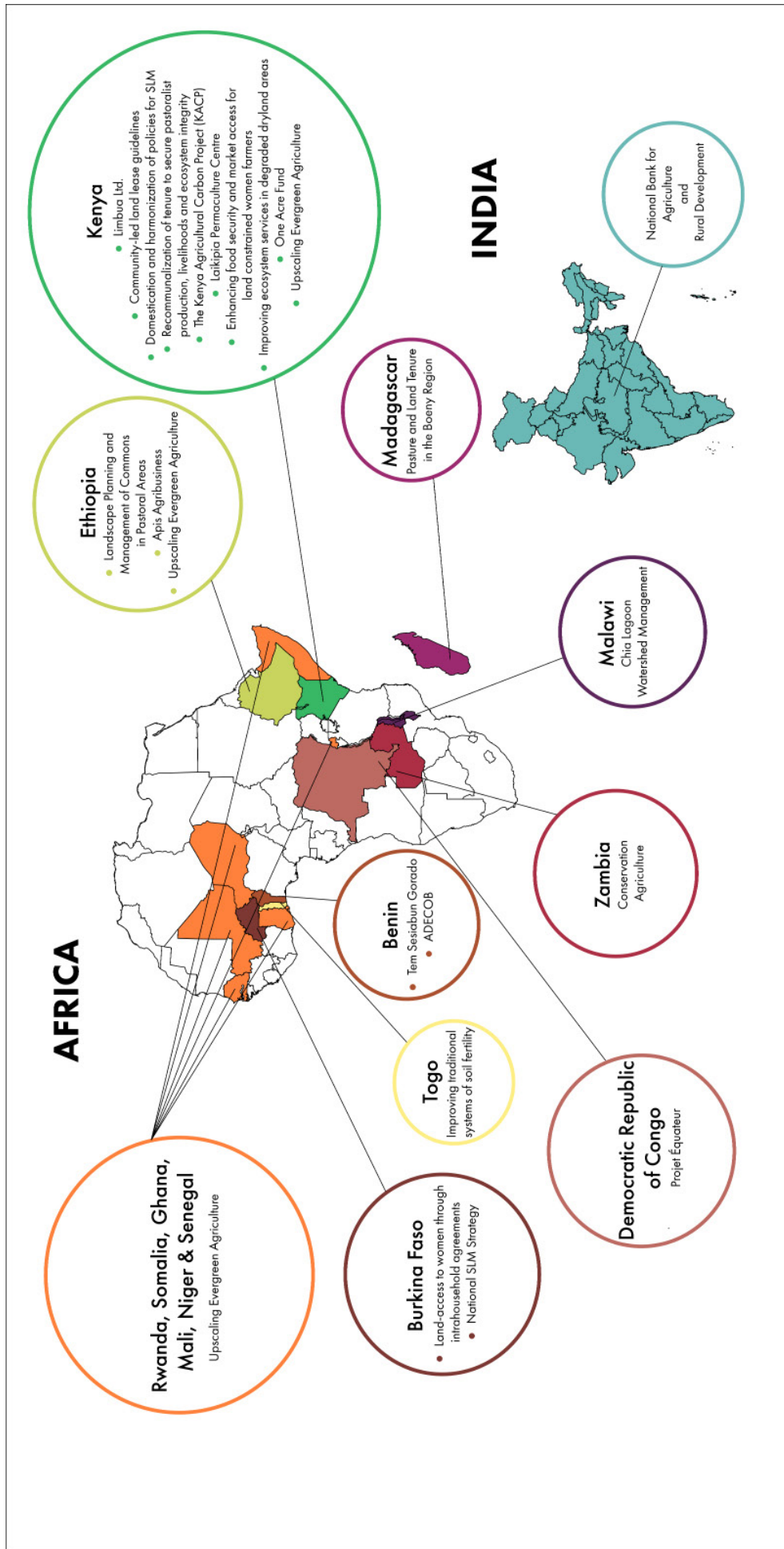


Figure 1: Map of GSW Cases



environment were identified by TMG Research gGmbH and its partners prior to the GSW 2019, covering a wide spectrum of different topics ranging from securing land rights for women, land use planning for pastoralists to social enterprises providing financing models to smallholder farmers. Further, four dimensions of an enabling environment that are crucial in the implementation of sustainable and climate-resilient agricultural practices and for their sustained impacts were identified: land governance, local governance and new cooperation models, extension services, and access to finance and markets. The identification and selection of these four dimensions was a deliberate choice because of their importance for SLM but they do not, of course, offer an exclusive selection of important aspects of an enabling environment. In individual contexts, further aspects of an enabling environment may need to be considered.

The outcomes of the GSW 2019 were generated over a period of four days, each day building on the outcomes of the preceding day. A bottom-up learning process that built both on the experiences of local initiatives and the expertise of the participants ranging from project implementers, technical experts, government representatives and researchers was at the core of this process.

During Day 1, the cases were at the centre of the discussions. Workshop participants gained an in-depth understanding of the processes that had allowed the cases to create an enabling environment and jointly developed a set of lessons

learnt derived from the individual cases. The discussions were guided by several questions pertaining to the characteristics of the enabling environment presented in the case, the actors providing aspects of the enabling environment and the inclusion of vulnerable and marginalized groups.

The lessons learnt generated during Day 1 provided the evidence-base for the discussion on Day 2. Day 2 aimed at moving from these individual case experiences to broader strategies to create an enabling environment for sustainable and climate-resilient agriculture. Within the four dimensions, participants compared and analysed the lessons learnt based on their differences and similarities to arrive at more generally applicable strategies. To this end, the debates focused on the suitability of the lessons learnt in different contexts, their limitations, missing elements to ensure post-project sustainability and the role of different agents in these processes (for a list of guiding questions per dimension, see Annex 2). This gave participants the opportunity to enrich the discussion with their expertise and to exchange knowledge amongst each other. On Day 3, a range of lead discussants peer-reviewed the strategies within their dimensions to ensure that the strategies are relevant and feasible in different policy contexts.

The last day was conceptualized in light of the need to provide room for discussion cutting across the dimensions and to provide entry points that support the translation of the strategies into actionable outputs across different policy levels and amongst

different stakeholders. During an interactive plenary lab session, selected speakers from organizations and initiatives with strong experience and influence in project and programme design related to sustainable and climate-resilient agriculture were asked to respond to the strategies. Further, the discussion permitted the GSW 2019 participants to jointly develop an in-depth understanding of how the different dimensions need to complement and support each other to create an enabling environment.

The GSW 2019 showed that an enabling environment can be created through locally driven learning and innovation processes. The methodological approach of the GSW 2019 developed by TMG Research gGmbH allowed participants to jointly identify and refine strategies that cut across a wide range of topics related to sustainable and climate-resilient agriculture. The interactive nature of the GSW 2019 provided participants with the opportunity to shape the discussions based on their expertise and introduce aspects for consideration that were a shared concern amongst participants.

# Chapter 3:

## Dimension Reports

The following section presents in detail the outcomes of the different dimension workshops and summary discussions around each of the proposed strategies toward an enabling environment for sustainable and climate-resilient agriculture.

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### Land Governance

Responsible land governance is fundamental for SLM. Land governance “concerns the rules, processes and structures through which decisions are made about access to land and its use, the manner in which decisions are implemented and enforced, and the way that competing interests in land are managed.”<sup>1</sup> Land governance thus provides the framework that guides land tenure systems. This, in turn, is essential for agricultural productivity, reducing poverty resulting from lack of access to land and minimizing conflicts over land.<sup>2</sup> Further, responsible land governance can ensure that benefits derived from land and natural resources are equitably distributed and that they are managed sustainably.<sup>3</sup>

The link between land tenure security and soil

1. Palmer, D., Friczka, S., Wehrmann, B. (2009). Towards Improved Land Governance. Land Tenure Working Paper 11. Food and Agriculture Organization of the United Nations.
2. Espinoza, J., Kirk, M., Graefen, C. (2016). Good Land Governance: Between Hope and Reality. Working Paper 11. Food and Agriculture Organization of the United Nations.
3. Espinoza, J., Kirk, M., Graefen, C. (2016). Good Land Governance: Between Hope and Reality. Working Paper 11. Food and Agriculture Organization of the United Nations.

conservation has long been recognized.<sup>4</sup> However, SLM remains difficult where secured ownership of, access to and use of land is weak or lacking. For instance, SLM measures require investments that generally manifest in the medium- to long-term, while implementation costs are mostly allocated in the short term. Farmers who fear losing their land through insecure tenure have little incentive to invest in soil protection measures. Therefore, tenure security, secured access and use rights to land are central for land users to sustainably manage land.<sup>5</sup> Land ownership is further often a requirement to receive benefits generated from SLM, sustainable agriculture and/ or natural resource management (NRM). SLM projects often operate in a context where smallholder farmers, women and other vulnerable and marginalized groups face insecure

4. See for instance: Holden, S. and Ghebru, H. (2016). Links between Tenure Security and Food Security in Poor Agrarian Economies: Causal Linkages and Policy Implications. CLTS Working Papers 7/16, Norwegian University of Life Sciences, Centre for Land Tenure Studies.; Kabubo-Mariara, J., Linderhof, V. and Kruseman, G. Does land tenure security matter for investment in soil and water conservation? Evidence from Kenya. *AfJARE* 4(2): 123-139.; Lovo, S. 2016. Tenure insecurity and investment in soil conservation. *Evidence from Malawi. World Development*, 78. pp. 219-229. ISSN 0305-750X
5. Meinzin-Dick, R., Markelova, H. and Moore, K. (2010). The role of collective action and property rights in climate change strategies. CGIAR CAPRI Policy Brief No. 7. IFPRI: Washington.



access to, use of and ownership of land. This provides neither the necessary incentives to employ SLM techniques, nor does it ensure that these groups receive benefits for SLM practices where these are being promoted.

Although recognizing, respecting and protecting legitimate tenure rights that encourage SLM is key, communal land tenure systems that are supporting SLM practices are increasingly coming under pressure. Pastoralism, for instance, can provide an effective rangeland management mechanism. It is often recognized as increasing productivity and food security and conserving wildlife and ecosystem services.<sup>6</sup> In Eastern Africa and the Sahel region, pastoralist communities contribute significantly to the economies of their countries. However, pastoralists increasingly face socio-political and economic barriers that hinder their mobility and make the sustainable management of rangelands, grasslands and dry lands increasingly difficult. These barriers include the erosion of common property regimes through land privatization, competing land uses and policies encouraging the reduction of livestock numbers.<sup>7</sup> These aspects are exacerbated by the increasingly palpable effects of climate change.

These examples reflect the challenges that

**persist in the nexus of land governance, SLM and**

6. Neely, C. and S. Bunning. (2008). Review of Evidence on Dryland Pastoral Systems and Climate Change: Implications and opportunities for mitigation and adaptation. FAO – NRL Working Paper. Rome, Italy. McGahey, D., Davies, J., Hagelberg, N., and Ouedraogo, R., 2014. Pastoralism and the Green Economy – a natural nexus? Nairobi: IUCN and UNEP.

7. Neely, C. and S. Bunning. (2008). Review of Evidence on Dryland Pastoral Systems and Climate Change: Implications and opportunities for mitigation and adaptation. FAO – NRL Working Paper. Rome, Italy.

climate-resilient agriculture. During the GSW 2019, opportunities to create an enabling environment that strengthen secure access to, use of and ownership of land, in particular for vulnerable and marginalized communities (e.g. landless farmers, women, pastoralists), were analysed.



Photo by Francis Dejon/IISD

Experiences from projects presented at the GSW showcase innovative processes to secure access and use rights for farmers, and especially vulnerable groups, that have been developed at the community level with recognition by local authorities. The discussions during the GSW underscored that these social innovations need to be mainstreamed at a broader scale and integrated into legal and regulatory frameworks for their recognition at municipal and national level and their sustainability in the long run. The strategies listed below have evolved from these workshop discussions, each of them focusing on a particular aspect of an enabling environment for responsible land governance in the context of a sustainable and climate-resilient agriculture.

**STRATEGY 1: Investing in equitable benefit sharing of Payment for Ecosystem Services receipts for the inclusion of landless households who are often left out if benefits are linked to land ownership**

Means and ways to achieve equitable benefit sharing:

- *investments in community infrastructure, e.g. equal access to water (ensured through community mapping); construction of schools (Projet Équateur)*
- *investing in income generating activities for landless households, such as beekeeping, poultry farming (Projet Équateur)*
- *securing land access for SLM farmers through intra-household tenure arrangements to enable farmers to receive carbon benefits (The Kenya Agricultural Carbon Project)*

Receipts generated from Payment for Ecosystem Services (PES) schemes are often tied to individual land ownership. During the workshops, PES projects presented approaches to ensure that landless households also benefit from PES receipts. Workshop participants recognized the importance of a broad range of actions to include landless households in PES schemes, such as facilitating the formalization of land lease agreements and intra-household tenure arrangements, investments in communal infrastructure, and the promotion of alternative livelihoods (e.g. honey production, non-timber forest products (NTFP) such as mushrooms,

poultry raising, promotion of fruit trees and medicinal plants).

To further support vulnerable groups, workshop discussants suggested that a fixed percentage of the project benefits could be used to support vulnerable and marginalized groups (e.g. indigenous forest dwellers). This approach should be supported by policies that emphasize the protection of vulnerable and marginalized groups.

To ensure coherence of approaches pertaining to this strategy across PES projects, monitoring and evaluation (M&E) systems in terms of implementing the strategy and the associated actions must be developed. The data generated from M&E should then be accessible to all stakeholders involved at different politico-administrative levels (i.e. community, local, sub-national and national).

**STRATEGY 2. Securing land access and use rights for women through intra-family tenure agreements**

Means and ways to secure land access and use rights for women:

- *investing in sensitising men, educating men and women on women's socio-economic rights to foster a common understanding of the importance of improving women's access to land to build the basis for land leasing agreements on the household level. Men understand the necessity and benefits for women to and importance of women's ability*

*to decide over land use. Land use agreements recognized by customary leaders (Improving traditional systems of soil fertility)*

- *awareness raising on the economic benefits of women's secure access to land; granting men decision-making power over terms and conditions of tenure arrangements when this is necessary to get their buy-in into the process; supporting women in negotiating more rights (if necessary) (Land-access for women through intra-household agreements)*
- *negotiating with Elders to allow women to use designated area of group ranch for permaculture project; men see the benefits of granting women access to land through productivity gains/ yield increase (Laikipia Permaculture Centre)*

Participants highlighted the importance of women's secured access to land through tenure agreements within the family to enable women to invest in soil protection and restoration in the long run. In all cases discussed at the workshops, sensitisation of men and traditional leaders was key to building the foundation for land right transfers from men to women within the household/ family. Civil society (or community-based) organisations facilitated this process and moderated negotiations in land allocation. These organisations played a key role in achieving this aim (see Land Governance, Strategy 6).

Necessary foundations for these tenure agreements are social acceptance (i.e. within the

family and community) and validation by local authorities, such as the municipal administration, to make the process legitimate (see Land Governance, Strategy 4). To make these tenure agreements effective in the long-run, formalisation and institutionalisation (e.g. coherence with regulatory and legislative frameworks) are crucial. Again, civil society organisations (CSO) play a key role in advocacy with policy makers.

Furthermore, it was noted that tenure arrangements should not only cover land-use rights but also access to land. Land-use agreements need to provide clarity regarding the time duration of the agreed terms. Secondly, ensuring secured access to land for women on the household level should not be an end in itself. To ensure that women's secured access to land beyond the ties of marriage is taken into account, tenure agreements should be made not only on the household but also on the family level. For example, in the case of Land-access for women through intra-household agreements, women may lose their land use rights in case of divorce.

To further strengthen women as autonomous actors, policies should eventually enable them to access different tenure regimes independently of their status within their household and family, by securing and legally protecting women's tenure rights through land redistribution mechanisms. The outcome of this discussion led to the formulation of an additional strategy:

*Give women full authority over land (not only through husbands) and secure and legally protect women's tenure rights through land redistribution mechanisms*

### **STRATEGY 3: Securing land use rights for landless/land scarce households through community-led land lease agreements**

Means and ways to secure land use rights for landless/land scarce households:

- *drafting land lease guidelines at community-level, facilitated by a community-based organization, for landless and land-scarce farmers to adopt SLM practices (Community Land-lease guidelines)*
- *supporting lease arrangements between landowners and landless households eligible for REDD+ benefits facilitated by the provincial government in collaboration with village leaders (chefs de terre) (Projet Équateur)*
- *Land use rights secured by increasingly formalising land lease contracts, with community-validated land lease processes as a first step where other legal structures are missing. Written contracts between landowners and land tenant clarify the terms of the lease, for instance the terms of ownership and payment. This motivates both parties to enter the agreement when official land lease guidelines are lacking (Improving traditional systems of soil fertility)*

Participants of the workshops highlighted the importance of locally developed formal land lease agreements as key for landless and land-scarce farmers to engage in SLM. This strategy is especially important against the background of unregulated lease agreements. Informal lease agreements made without witnesses often lead to landowners breaking contracts and other issues, such as crop theft, damage of crops without compensation, and conflicts over arbitrary changes of boundaries. The development of community-led land lease guidelines that are accessible to smallholder, resource-poor farmers was presented as an innovative response to these issues, especially where national guidelines often are too time and resource intensive. The formalisation of such land lease agreements portrayed by the projects presented at the GSW was crucial in two aspects: 1) to enable landless households to engage in SLM, and 2) to allow farmers to participate and benefit from projects capturing PES.

In developing lease agreements, a bottom-up approach (i.e. community-driven and giving local actors a lead role in design and implementation) is crucial to make them context-specific and legitimate within the respective communities according to workshop participants. In the project experiences presented, this meant to involve the community and other local actors (e.g. village chiefs, extension officers, etc.) when designing these guidelines. Once these guidelines had been drafted, they were endorsed by local authorities (see

Land Governance, Strategy 4). Community-based organizations (CBO) played a key role in facilitating the development of such guidelines (see Land Governance, Strategy 6).

For these community-developed guidelines to be sustained, coherence with national legal frameworks is essential. This can be achieved by consulting with legal experts and authorities throughout the design process. Further, the agreements eventually need to be institutionalized and legalized to ensure their sustainability. Participants identified that strengthening the advocacy work of civil society organizations among policy and decision makers at the sub-national and national level is key.



Photo by Francis Dejon/IISD

The discussions further addressed strategies that ensure the inclusion of vulnerable and marginalized groups, such as groups who lack financial resources to lease land. Establishing revolving funds and linking these groups to institutions that can support them are opportunities to strengthen their inclusion in land-leasing processes. Experience from the cases showed that a project that initially targets

a specific group of vulnerable and marginalized peoples can be widened in scope to address the entire community once the strategies applied have proven to be successful.

#### **STRATEGY 4: Recognizing community developed/-level land tenure regulations and agreements through endorsement by local authorities**

Means and ways to recognize community developed land tenure regulations and agreements:

- *Openly displaying support for the project by community members towards local officials for reopening privatized land (Recommunalization of tenure to secure pastoralist production, livelihoods and ecosystem integrity)*
- *Official authorities' active participation throughout the process, e.g. mayor chairs important meetings; documentation of land tenure arrangements at municipal office (Land-access for women through intrahousehold agreements)*
- *Strengthening collaboration between local governments, grassroots organizations, and farming communities who serve as drivers of change on the ground; engaging local stakeholders on pertinent issues of land and tree tenure that may hinder adoption of agroforestry with the aim of finding local solutions; linking community to sub-national and national policy processes and commitments (Upscaling Evergreen Agriculture)*



- *legally backing (e.g. through punitive measures) communally agreed SLM bylaws (e.g. the amount of space to leave between crops and stream or agreements on use of vegetative cover to protect soil) at district level to ensure bylaws align with human rights principles and are respected throughout the community (Chia Lagoon Watershed Management)*
- *continuous, intense dialogues throughout the process and involvement of stakeholders in designing the methodological guide for intra-household lease agreements, which builds on local experiences (ownership) (Land access for women through intra-household agreements)*

The discussions on securing land access for landless men and women reinforced the need of locally developed tenure arrangements being endorsed by local authorities. The discussions showed that land tenure arrangements on the family, household or community level can only be sustained in the long run if they are endorsed by local officials and are aligned with existing policy frameworks. Different strategies have been identified to foster support by local authorities. Amongst others, these included ensuring active participation by official authorities throughout the process by giving them key roles in meetings, strengthening collaboration between local governments, grassroots organizations and farming communities and building an intense dialogue on pertinent land governance-related topics.

The discussion highlighted examples of approaches

to this end such as the importance of enforcing community by-laws that decide over access to or use of land by linking them to the existing legal system or traditional government systems.

This requires a thorough understanding by all stakeholders of the nature of the agreements. Existing stakeholder platforms and other structures that bring relevant stakeholders together can provide the basis for a common and thorough understanding of all parties involved.

Ensuring that vulnerable and marginalized groups form an integral part of the agreement requires to include them in the design processes for tenure arrangements from the beginning onwards. However, who is considered vulnerable and marginalized differs from community to community and needs to be determined by the community itself.

### **STRATEGY 5: Enforcing sustainable management of natural resources through communally developed land use regulations**

Means and way to enforce sustainable management of natural resources through communally developed land use regulations:

- *locally trusted leaders sensitizing communities on the requirements for SLM to overcome fears and anxieties and convincing land-owners to give secure land access to SLM practicing individuals; SLM commitment forms signed by land users and their farmer organization which acts as the witnessing and enforcing*

- (monitoring) party (The Kenya Agricultural Carbon Project)*
  - local level governance structures coming to an agreement on land management practices to be observed by the entire community, and these being recognized and enforced by the local government (Improving ecosystem services in degraded dryland areas)*
  - reopening privatized land that has been fenced by (1) relying on traditional decision-making procedures to come to decisions supported by the community as a whole; (2) using pre-existing long standing tradition of communal land governance to ensure sustainable management of the land; (3) strong sentiment within community that collective benefits override individual benefits to ensure that individuals accept potential trade-offs; (4) community revoked tenure rights amongst each other and were handed over to an elderly within the community (no written but customary agreement) (Recommunalization of tenure to secure pastoralist production, livelihoods and ecosystem integrity)*
  - relying on traditional forms of information sharing (e.g. pass-it-on information sharing), community gathering, and consensual decision-making procedures allows communities to develop land-use plans that are supported and implemented by the community (Recommunalization of tenure to secure pastoralist production, livelihoods and ecosystem integrity)*
  - stakeholder consultations (incl. government departments, CSOs, community representative) to agree on stated zonation of the area; Carrying out sensitization and awareness campaigns, to inform community members about decision on settlement and development zones; signage to show restricted area; and participatory process of undertaking the delineation (Conservation Agriculture)*
- Community-led decisions on how to sustainably use land are a key step towards SLM, as they reflect an agreed understanding within the community on which methods, tools and procedures are used in land management practices. It is equally important to include communities in decision-making processes when agreements are being made at the local level. Landowners and land users both influence the use of land. Therefore, it is not only crucial to come to an agreement on land owning rights, but also on land use rights. The cases highlighted different approaches on how communities can arrive at agreeing on how to use and access land (e.g. by relying on traditional decision-making procedures to decide on how to use land) and on how communities can be included meaningfully in land zoning processes (e.g. stakeholder consultations; participatory delineation processes).
- Throughout the discussions, it was particularly emphasized that community developed land-use and land-owning agreements need to be based on participatory approaches. Ensuring that these agreements are implemented and enforced

requires their formalization and legalization on the subnational and national level. To this end, local and regional actors need to be engaged in the process early on. Municipalities can support SLM on the community level by participatory public budgeting processes that consider the inclusion of vulnerable and marginalized communities.

### **Summary of the joint discussion on the implementation of Strategy 4 & 5:**

To ensure the endorsement of land tenure and land use agreements, actions that need to be taken include establishing local legal mechanisms, building capacities for communities to conduct monitoring and evaluation of the agreed processes, capacitating paralegals and carrying out social audits to monitor the extent to which services have been delivered by local service providers.

Key to the longevity of both strategies is to devolve power to local and subnational government actors to support locally developed arrangements on tenure and SLM in order to give local authorities sufficient authority to formalize communally developed agreements on land use, land tenure and NRM.

### **STRATEGY 6: Involve CSO more effectively in advocacy and lobbying to support tenure agreements on family and community level**

Means and ways to involve CSO more effectively in advocacy and lobbying to support tenure

agreements on family and community level:

- *CSO having long-standing experience in land governance thanks to less staff fluctuation than high-level government staff; and enjoying democratic space to express opinions (Land-access for women through intrahousehold agreements)*
- *intervening organizations having strong ties in the community/region, speaking the local language; and playing the role of a mediator between different interest groups (e.g. project implementers, farmer organisations, local government) (Land-access for women through intrahousehold agreements)*

Throughout the strategies discussed in the dimension of land governance, the key role of civil society organisations was highlighted. CSOs play a key role in many steps of coming to agreements on access and use of land. They can provide initial support in facilitating decision-making within communities, provide sensibilization training or conduct lobby and advocacy work on the community or local level. Where CSOs played a key role in fostering land use and land access agreements, they had enjoyed long-standing trust within communities and long-standing expertise in land governance issues.

Workshop participants therefore acknowledged civil society organizations as key actors in facilitating land use agreement processes. Involving CSOs in project design from the start and offering more opportunities for partnerships through formal



conventions support these organizations in fulfilling this role. Furthermore, inclusive and participatory platforms give CSOs a forum for sharing their important lessons learnt with other actors (e.g. from the public and private sector).

### **STRATEGY 7: Legal recognition, recording and protection of communal land tenure, use and management rights for pastoral communities**

The analysis of cases on day 1 of the GSW emerged into a strategy for the legal recognition, recording and protection of communal land tenure, use and management rights for pastoral communities, based on project experiences of the GIZ global programme on “Soil protection and rehabilitation for food security”, both in the Afar region in Ethiopia and in Madagascar, as well as the project implemented by the Pastoralist Development Network Kenya on the “Recommunalization of tenure to secure pastoralist production, livelihoods and ecosystem integrity”. The discussions confirmed that often pastoralist communities are a blind spot in the discussions around vulnerable and marginalized communities.

These projects made a strong case for the need of pastoralist communities to have protected land use and management rights in designated areas legally recognized and delineated by the State. Within these areas, pastoralist communities need to have full decision-making power over land use and management. To strengthen communal land tenure, such as often found in pastoralist settings,

participants agreed that communal land tenure rights need to be legally recognized, respected and protected.

Additionally, more often than not, decisions made on national level do not correspond with the realities that constitute the everyday life of pastoralists. An opportunity to close the gap between national legislation and local realities is the incorporation of local by-law into national laws. This also requires that communities need to be informed about existing national legal frameworks.

Furthermore, national legislation should be aligned with existing regional and international guidelines and frameworks (e.g. the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests (VGGT), the Framework and Guidelines (F&G) on Land Policy). The Transhumance Protocol by the Economic Community of West African States (ECOWAS) and the Intergovernmental Authority on Development (IGAD) further provide a framework of reference on how to enable transboundary movements of pastoralists. The recognition and protection of communal land rights can further be strengthened by collecting data on the positive economic impact of pastoralism.

### **STRATEGY 8: Integrate local regulatory initiatives into policy, legal and institutional frameworks for their sustainability.**

The beneficiaries of intra-household agreements,

community agreements, or by-laws on land access, use and tenure are often vulnerable or marginalised groups who have little means of accessing land, and to whom these agreements provide a unique opportunity to have secure access, allowing them to invest in long-term land improvements, including the application of SLM technologies. Protecting and ensuring long-term application of the regulatory frameworks that enable these agreements, is crucial in protecting the agreements themselves, and for allowing these schemes to be upscaled.

Strategy 8 stems from the discussions on day 2 of the GSW which revealed that previously developed strategies shared this common need of ensuring the long-term sustainability of local land use regulatory frameworks. Participants agreed that in order to achieve this, the frameworks must be aligned with and integrated into sub-national, national and/or international legal and institutional frameworks. To achieve this integration, advocacy must sensitize policy and decision makers to first become aware of existing household- or community-based land tenure agreement frameworks. Policy and decision makers should then be encouraged to take the necessary steps to incorporate these frameworks and agreements into current regulation.

Actors currently working on creating such agreements should also be made aware of the importance of aligning the design of their guidelines and procedures with regulatory frameworks at national and/or international level, so that the negotiated agreements may eventually be

recognized legally, thereby ensuring the sustained and secure access, use, and tenure of land by their holders.

## Local Governance

Sustainable Land Management (SLM) provides social benefits that go beyond immediate farm profit or other interests of the individual land user (e.g. carbon sequestration, preservation of water quality, biodiversity). Hence, its implementation at scale largely depends on the strength of governance systems to coordinate local actors, activities and budgets towards a common goal. For this purpose, *Local Governance* can be understood as a system of horizontal and vertical coordination between different stakeholders, sectors and political levels which in turn can have a strong potential influence on the allocation of public tasks and resources towards the promotion of sustainable and climate-resilient agriculture.

In theory and practice, coordination at local level is not straightforward but involves different actors on different levels for different purposes. For instance, in many African countries, SLM-related governance is formally based on centralized decision-making and a top-down approach for policy implementation. However, in order to ensure that national guidelines and frameworks are aligned with highly context-specific needs and interests of the population, issues related to sustainable soil and land management should be dealt with at the most immediate level that is consistent with their resolution. Vertical coordination between different levels of administration assigns roles and responsibilities accordingly. At the most appropriate level, horizontal coordination by the respective

part of administration in charge, is responsible for facilitating the participation of all concerned actors in land use planning processes – with particular emphasis on marginalized groups.

As SLM often requires an ecosystem-based approach to planning (e.g. based on watersheds or other “landscape approaches”), such exercises tend to cut across jurisdictional boundaries, raising the need for horizontal coordination between two or more districts or municipalities. In addition, SLM is a complex and interdisciplinary phenomenon and therefore tends to involve more than one line ministry/agency at the local level (e.g. Agriculture, Lands, Planning, Natural Resources, and Infrastructure), each of which follows their own sectoral frameworks and strategies. Again, horizontal coordination is needed to clarify mandates and responsibilities at the local level while also ensuring that all sectors work towards the same objective. Finally, a careful coordination of different stakeholders’ interests and coordinated fulfilling of public mandates is needed as natural resources attract a variety of actors to local communities, some of which provide services in favour of SLM while others promote technologies and practices that may even impede the successful implementation of SLM.

Ideally, the coordination mandate should reside within local governments (e.g. at municipality or district level) legitimised through elections, but where public institutions are dysfunctional or weak or where non-statutory institutions

hold legitimate authority, alternative actors and institutional arrangements such as traditional authorities, community or civil society organizations may play a more prominent role. In this way, local governance can be considered a broader concept that involves multiple forms of governance systems that all have their own characteristics, strengths and weaknesses. Instead of considering one governance system superior to the other, the concept recognizes each system (formal and informal, statutory and customary) as potential element of the enabling environment for sustainable and climate-resilient agriculture.

While there is an international consensus about the relevance of alternative governance systems in implementing SLM, many development initiatives do not sufficiently recognize the importance of systems already in place. Especially, traditional systems are increasingly under stress because of e.g. “modernization” that deny space for traditional arrangements. The following strategies therefore do not only address the formal and informal governance systems but also the relationships between the different actors involved.

### **Local governance strategies towards creating and enabling environment**

The following will briefly outline the strategies through which local governance can be supported to create an enabling environment for sustainable and climate-resilient agriculture. Each strategy is accompanied by (1) the means and ways of how

different actors can promote local governance in contributing to this objective, and (2) insights from workshop discussions of how these strategies can be made sustainable and inclusive in the long-term.

Five out of the seven strategies are based on lessons that can be traced back to seven cases and personal experiences of workshop participants. From a local governance perspective, the seven projects are very diverse in their approach and focus. While some have a strong focus on strengthening local governance institutions (ADECOP), others put a strong emphasis on promoting participatory planning and community organizations (Enhancing food security and market access for land constrained women farmers, Chia Lagoon Watershed Management) or on promoting traditional governance systems (Projet Équateur) or civil society organizations (Improving ecosystem services in degraded dryland areas, The Kenya Agricultural Carbon Project).

While participants appreciated the diversity of cases, it was noted that lessons from a context in which the statutory and the customary governance systems could both be considered as extremely weak or eroded were missing. Four out of the seven cases are located in Kenya which, compared to other African countries, has made considerable advancements in devolving power to local government institutions and in passing the necessary frameworks that encourage participatory planning processes at the local level. The remaining projects are located in Benin, Malawi and the DRC

Congo of which the latter is characterized by weak local government institutions.

The remaining two strategies (Strategy 5 and 7) were identified by participants as missing but relevant strategies during the second and third workshop day. They do not relate to a specific case nor a specific country or region but to personal experiences and expert knowledge of workshop participants.

### **STRATEGY 1: Integrating SLM into communal development plans for the recognition of SLM by other sectors and for appropriate budget allocation**

The promotion of SLM practices by municipalities and villages is hindered by a lack of integrated planning for SLM at the communal level. Municipalities often do not have the flexibility to adopt ad hoc SLM measures and do not have access to the necessary resources for their implementation without the prior integration of those measures in the budgetary planning of municipalities. Therefore, integrating SLM measures in local development plans and budgets at the communal level is an important tool to strengthen the implementation of such measures.

Means and ways to integrate SLM measures in communal development plans:

- *Organizing regular events on local, national and international level to discuss evidence with policy makers and relevant stakeholders*

*(Upscaling Evergreen Agriculture)*

- *Equipping countries with surveillance and analytical tools to map land degradation dynamics (Upscaling Evergreen Agriculture)*
- *Informing local governments about Economics of Land Degradation and the cost of inaction (Upscaling Evergreen Agriculture)*
- *Providing technical and financial support to consultation processes for developing SLM policies (Domestication and harmonization of policies for SLM)*
- *Local government legally backing (e.g. through punitive measures) communally agreed SLM bylaws at district level to ensure bylaws align with human rights principles and are respected throughout the community (Chia Lagoon Watershed Management)*
- *Developing taxation mechanisms to finance SLM measures and reduce the transaction costs associated with their adoption (e.g. measures against land speculation and non-productive use of land) (example from workshop)*
- *Including SLM measures in annual investment plans to ensure that they are considered between communal development plans' development cycles (example from workshop)*
- *Include land management in the canvas of communal development planning (example from workshop)*

Integrating SLM measures in communal development plans can be achieved if municipalities are provided with information and evidence about

the potential benefits of SLM. To this effect, problems have to be mapped and the state of land degradation in different areas analyzed in order to effectively inform priorities and guide action. Once SLM measures are integrated in communal development plans, an important aspect of their effective implementation and long-term sustainability relates to the different ways they can be financed and administered. Participants stressed the necessity of ensuring that transfers of resources (both material and financial) follow transfers of competences/tasks from the national to the local level. They however recognized that the capacity of human resources to adequately manage the implementation of such measures should be reinforced *before* transferring financial resources over to the local level. On funding, participants highlighted the need for establishing funds at the national level (e.g. “Green Windows”) to support the adoption of SLM measures by farmers, while observing that SLM is also a question of local autonomy and that internal funding has to be secured to prevent establishing dependency on external funding.

## **STRATEGY 2: Achieving local level coordination of SLM service providers for better service provision and broader outreach**

At the sub-national level (e.g. villages, catchments, communities) we find a multitude of actors that provide in one way or the other services for SLM. These are constituted of private, public, and state institutions, such as: local authorities (informal and

formal), private sector entities, politicians, traditional chiefdoms, merchandizers, private operators, community associations, cooperatives, development cooperation, religious groups, farmer groups and so forth.

All of the above have their own targets, interests, scope of influence and restrictions. Their different interventions and activities are often conducted in silos, with little or scattered coordination with other relevant institutions and organizations. At the same time, an effective coordination body that has an overview of the entirety of SLM efforts and could provide informed decisions in terms of intervention areas, topics and actual needs is often absent. As a result, we observe the duplication of efforts, inefficient use of resources as well as the consolidation of dependencies of external (aid) funding mechanisms and assistance.

Means and ways to achieving local level soft coordination for SLM service providers:

- *Implementing organizations together with national government identify overlaps and synergies in the implementation of various development frameworks (NDCs, SDGs, etc.) (Projet Équateur)*
- *Establishing a local level soft coordination mechanism for SLM activities provided by local government authorities, e.g. platforms for all SLM service providers with the capacity to make interlinkages and find synergies with other sectors. In these platforms all existing forms of governance and organization should*

*be recognized and included (e.g. village level committees, “informal” arrangements that survive the 4-year legislative periods) (The Kenya Agricultural Carbon Project, Projet Équateur)*

- *Local government pooling of resources among municipalities for better service provision which can be supported by the creation of municipal associations and / or municipal councils with the mandate to conduct these kinds of coordination (ADECOP)*
- *Capacity building with a “rights-based approach”<sup>8</sup> to existing community structures to facilitate them taking part in the institutionalized participatory (and other) governance mechanisms to engage with the local authorities, initiate a dialogue and ultimately allow for better service delivery (example from workshop)*
- *Support/implement/establish legal frameworks that support building local/community self-help groups (e.g. cooperatives) with their own fund-generating activities and autonomous management structures (example from workshop)*
- *Introducing guidelines to outline coordination between stakeholders and government or amongst stakeholders themselves. While the latter is important to ensure harmonized SLM approaches at the local level, local government should remain in ‘driver’s seat’ for coordination*

*and provide oversight (example from workshop)*

- *Project design: base project interventions on a needs assessment, listening to and learning from the local level authorities and adapting the project strategy to these needs. This could be done by inviting all mayors or a certain catchment and analyzing their challenges and needs together with a territorial approach (example from workshop)*

It has been identified as a big challenge that especially development cooperation interventions often duplicate their efforts and do not coordinate amongst themselves where to support, which topic, with what kind of resources and strategies. This can lead to confusion and negative externalities in communities. As the main donors are often the main fund providers in these localities, the ability of local authorities and communities to refuse an intervention is limited. Therefore, it has been highlighted that the development cooperation agencies need to harmonize interventions, without bypassing national authorities. While the question was posed who disposes of the capacities to coordinate all the different interventions, there was consensus that this coordination capacity could (and should) not be provided by “outsiders”, not least to ensure post-project sustainability (“Donors go but the people and the government stay”).

It has become clear that the local level authorities remain the domain in which the collaboration between different actors should happen. At the same time local level authorities need to be

8. Rights-based approach meaning here that the capacity development activities primarily focus on delivering information on the individual rights of each person, especially those of women. Find here the explanation of the rights-based approach used by ActionAid: [https://actionaid.org/sites/default/files/the\\_rights\\_based\\_approach.pdf](https://actionaid.org/sites/default/files/the_rights_based_approach.pdf)



strengthened in their capacities to be able to provide this. The need to provide a space in which knowledge is pooled and connections amongst sectors and different levels of governance can be realized was highlighted (e.g. a platform to allow for the creation of alliances and exploration of synergies).

### **STRATEGY 3: Strengthening local/traditional community governance structures in contexts of ineffective statutory local government**

Many African countries are in the process of decentralizing and devolving power and resources to lower administrative levels. However, local government structures often continue to lack the necessary financial and human resources that are necessary to effectively promote SLM. This situation is even more serious in fragile countries where local governments often fail to provide minimum services to their citizens, who, on the other hand also have little confidence in their local institutions. In such a context, alternative governance models that build on customary systems and that are deeply rooted in the local societies may become more relevant in promoting SLM.

Ways and means to strengthen local/traditional community governance structures:

- *Developing a framework with customary leaders to manage the process of the development intervention (Projet Équateur)*
- *Involving customary leaders in awareness*

*raising and other community mobilisation events (Projet Équateur)*

- *Working with community representatives elected by community members by clustering of groups of households into topics of interests who elect representatives to ensure diversity in the elected representatives who then work closely with the project (Projet Équateur)*
- *Building on groups who are already engaged in natural resource conservation when implementing natural resource conservation measures (Projet Équateur)*
- *Investing specifically in organisational capacities of communities (Projet Équateur)*
- *Providing intensive managerial and technical capacity building (example from workshop)*
- *Involving smallholder farmers in planning process to create ownership (example from workshop)*
- *Formalizing traditional governance structures so that they are legally recognized (example from workshop)*
- *Supporting traditional governance structures in formulating bylaws and guidelines for SLM that respond to the national SLM framework (example from workshop)*
- *Drawing up stakeholder map to identify marginalized farmers who are at the risk of being left out (example from workshop)*
- *Promoting coordination and communication between local governance structure and regional government (example from workshop)*

To ensure post-project sustainability, it is important



to build on existing structures that are deeply rooted in the local society and are likely to remain after the project ends (e.g. self-help groups, farmer groups, faith-based organization). However, it was noted that when working with such groups, one should be cautious not to impose too many new functions on existing organizations that could overburden these structures. In addition, activities of informal and formal systems of governance should be co-aligned in order to sustain effects beyond project end.



Photo by Francis Dejon/IISSD

It is not likely that all members of society have an equal chance to participate in and benefit from local governance structures. Their participation can be encouraged by offering targeted incentives (e.g. use of information and communication technology to attract youth, offer child-care services to women).

Finally, what should be noted is that even in contexts where local governments can be considered inefficient, they are usually not absent. Therefore, development projects that promote SLM through alternative governance structures need to make sure that their activities and outputs are endorsed by and coordinated with formal government structures. In order to ensure long-term

maintenance and institutional sustainability of what has been achieved, informal governance must be reconciled with the existing legal frameworks.

#### **STRATEGY 4: Strengthening the relationship between citizens, civil society organizations and governments**

The implementation of SLM practices is often undermined by conflicting interests amongst the stakeholders involved. Government is interested in maintaining and legitimizing its power, civil society organizations are interested in maintaining and legitimizing their role as “watchdogs” and citizens are interested in demanding the greatest benefits for the satisfaction of their diverse interest from government. Civil society organizations are not legitimized in a formal democratic process and tend to only represent a certain part of society. To ensure sound cooperation towards a common SLM objective, it is important not to forget that trust between institutions is usually based on trust between individuals that needs to be maintained through careful relationship-building measures. This underlines the role of development cooperation in general – and with regard to the political aspects of sustainable land management in particular (esp. access to land, access to agricultural inputs, public service delivery, etc.) – to act as a mediator between administrations and civil society advocates.

Ways and means to strengthen the relationship:

- *facilitating exposure visits for government representatives to establish relationships between women farmers and government officials, strengthening the advocacy efforts of women farmer groups in the long run (Enhancing food security and market access for land constrained women farmers)*
- *regular coordination meetings with existing local governance structures (e.g. village Natural Resource Management committees) for them to self-identify their strengths and capabilities in the development of capacity building strategies allows development partners (local government, international organisations, local NGOs, private companies, etc.) to more purposefully fill the gaps and helps to ensure the sustained effect of capacity building activities (Chia Lagoon Watershed Management)*
- *Civil society having strong ties in the community/ region, speaking the local language, playing the role of a mediator between different interest groups (e.g. project implementers, farmer organizations, local government) (Land-access for women through intrahousehold agreements)*
- *ensuring that relationship-building activities are aligned with the available resources (financial, time) of all partners (example from workshop)*
- *understanding government's interest and political priorities in cases of unresponsiveness (example from workshop)*

- *jointly identifying/defining legitimate issues and policy priorities e.g. by government inviting citizens to participate in budget planning and organizing family events (e.g. farmers' day) (example from workshop)*

Trust amongst local actors does not emerge automatically and should not be taken as a given. Against this background, it was noted that relationship-building requires careful attention and should be initiated and coordinated by local government in order to promote oversight and ownership which in turn is expected to ensure post-project sustainability. The public extension service which is not project-related but embedded in local development plans and local budgets was highlighted as one mechanism of strategically creating trust between local government and local resource users. In this way, extension officers are expected to play the role of "trust builders" by staying in contact with citizens and sharing or gathering relevant information for both parties.

At the same time, relationship-building between government and civil society is more direct, e.g. by involving civil society organizations during budget planning processes. However, it was noted that civil society organizations are not by default inclusive of all parts of the population and particularly the most marginalized sections. Taking the example of involving civil society during budgeting or development planning processes, this could lead to a situation in which the interests of marginalized resource users are less reflected in local budgets

and local development plans as opposed to the interests of the better-off. To support inclusivity, relationship-building involving civil society organizations should consider their legitimacy and relationship with citizens to ensure that the interests of marginalized groups are equally represented.

Finally, in terms of complementarity, it was noted that relationships can be strengthened by recognizing local institutions as equal partners that can complement statutory institutions. Participants further highlighted that linking difference modes of governance may require a considerable amount of time and commitment while local governments should not be afraid to engage in negotiations with local institutions to find a common understanding of roles and mandates.

#### **STRATEGY 5: Strengthening civil society and citizens to hold their governments accountable**

The success of SLM implementation at the local level largely depends on whether local governments respond to citizens' livelihoods, needs and legitimate rights. Soil conservation may not always coincide with the immediate interest of local populations, which may comprise quick returns from farming, engagement in the non-farm economy or other agriculture-related concerns such as secure water supply. In order to avoid that local governments are criticized for taking decisions behind closed doors with little regard for the public interest, effectively communicating the rationale behind public investment into SLM is crucial.

Furthermore, the available – and usually scarce – resources need to be made transparent and used efficiently. At the same time, citizens may lack the knowledge and skills to hold their governments accountable while civil society organizations that represent citizens' interests may have little room to navigate SLM related policy processes.

Ways and means to strengthen civil society and citizens:

- *Interest of the populations are flexible and altering over time, policy-makers and administration need to adjust their activities as well as the “packaging of information” accordingly (e.g. in situation where policies are primarily implemented through agricultural extension services)*
- *Local Governments implementing national frameworks for participatory budget planning involve citizens and civil society organizations in the planning processes*
- *Civil society – farmers associations in particular – providing capacity building to citizens so that they know their rights and can articulate their needs vis a vis Local Government*
- *The “citizen’s voice” is easier to be recognized by public administration if it provides a clear message. Civil society groups, therefore, are benefitting if based on a clearly defined common interest of its members*
- *Identifying appropriate channels to make the citizen’s voice heard (Local Governance, Strategy 4)*
- *Government providing comprehensive*

*and timely budget information (e.g. budget proposals, mid/end of year reports or audit reports) to inform citizens and civil society organizations*

- *Government ensuring that SLM policies are tailored to the livelihoods of citizens (e.g. advise on labour-intensive structural erosion control measures such as terracing will – albeit necessary from an ecosystem point of view – not be in high demand in areas where dairy farming is the main source of income) (example from workshop) [n.b. although this point is not directly related to strengthening civil society and citizens, it was deemed important by workshop participants during the workshop]*

The post-project sustainability of the strategy largely depends on the commitment of individual local government officials. One way of ensuring this is to identify and promote “local innovators” or “change makers” within local government who are passionate about SLM and eager to promote social change. In addition, civil society organizations can build coalitions to increase their power vis a vis local and regional governments and to scale-up their civic education programmes.

In terms of inclusiveness of marginalized groups, there is the risk of civil society organizations not representing all groups of society (e.g. farmer groups often working with better-off farmers). Thus, when governments engage in negotiation processes with civil society groups about SLM strategies, governments should ensure that

these groups also represent the interests of marginalized smallholder farmers (e.g. youth). It was also highlighted by participants that not all members in society share the same level of skills and competences, making it necessary to consider the packaging of information and training materials. Here, it was suggested that civil education should be coupled with technical trainings on SLM to make the information more approachable and illustrative to illiterate farmers.

### **STRATEGY 6: Strengthening the representation of groups of vulnerable people through community mobilization and organization**

Groups of vulnerable and marginalized people often do not enjoy the necessary representation which would allow the proper consideration of their interests in decision-making processes. Mechanisms to ensure that no group is being left out when implementing projects need to be developed to increase their representation.

Ways and means to strengthen the representation of vulnerable and marginalized groups:

- *Facilitating rights and leadership trainings to build bargaining and collective action skills amongst women farmers in order for them to effectively engage in politically mandated participatory processes (Enhancing food security and market access for land constrained women farmers)*
- *Ensuring that capacity trainings on leadership and management skills are offered to the wider*

*group of community members (young and old, men and women) so that ownership of Natural Resource Management is shared throughout the entire community, allowing for the sustained effect of capacity building exercises beyond project implementation (Chia Lagoon Watershed Management)*

- *Conducting a mapping of the households present on a territory to inform the efficient allocation and sharing of resources (example from workshop)*
- *Furthering the representation of households by electing households' representatives (e.g. one representative per 10 households) which can participate in consultation processes (example from workshop)*
- *Developing concertation structures to develop a shared vision between community interests and project aims (e.g. participatory rural appraisal process for inclusion) (example from workshop)*
- *Securing land rights of vulnerable groups (see Land Governance for strategies to ensure access to land for women and landless households) (example from workshop)*
- *Strengthening the capacities of duty bearers in order to enable them to fulfil their roles (example from workshop)*

The discussions revealed that strengthening the representation of groups of vulnerable and marginalized people can be achieved if information on those groups is made available, those groups are organized and their priorities aligned, and their

capacity to engage in political processes reinforced. Gathering information about the different groups inhabiting a territory constitutes an essential step in the development of the measures outlined above. Once groups are thoroughly identified, it has been recognized that strengthening their representation cannot happen without their prior organization and mobilization. Consultation structures need to be developed to provide the arena for deliberation and to achieve consensus on general and specific actions. Those structures need to contribute to a common identification of problems and to an equitable sharing of benefits and resources among the members of the community.

Finally, the sustainability of their representation can only be ensured if those actors can effectively make their voices heard. Ideally, the legal framework for formal recognition of CBOs, common interest groups, etc. prescribes institutional mechanisms that ensure that this is possible. Leadership and collective action skills can contribute to actors being adequately empowered and having the necessary tools to engage in participatory and democratic processes and bring their interests forward.

### **STRATEGY 7: Ensuring that international frameworks and development interventions reflect the realities of local populations for SLM implementation**

Not only the Sustainable Development Goals but also other international frameworks have

been developed with the objective to provide an overarching global agenda for SLM strategies and initiatives. In many cases, these frameworks have been developed through a consultative process that involves a multitude of stakeholders, including civil society organizations and representatives from local communities. While the success of global SLM frameworks largely depends on the degree to which they can be translated into local action that is aligned with the realities of resource users, international frameworks do not always respond to the livelihood, needs or priorities of local communities. At the same time, community members are often unaware of international SLM policies that may directly concern them. To strengthen the implementation of international frameworks, local governance can provide the link between local communities and higher-tier institutions and decision-makers.

Ways and means to ensure that international frameworks and development interventions reflect local SLM realities:

- *Aligning language between farmers and policy makers and technocrats (example from workshop)*
- *Organizing regular visits of international decision-makers to better grasp local realities (example from workshop)*
- *Involving smallholders and their representative organizations to participate in the development and decision-making of international frameworks (example from workshop)*
- *Focus reporting of development interventions*

*on impact (adoption rates, yield data, etc.) rather than outputs (farmers “reached”, hardware distributed) (example from workshop)*

Participants raised the concern that smallholder farmers and their special interest groups are often left out during international negotiation processes that may affect their lives. It was noted that although there are consultation processes in place, it is very difficult to influence international decision-makers. One possible explanation was that rural areas and land degradation dynamics are highly complex while policymakers may find it difficult to draw general lessons from local experiences that could be up-scaled.

Development interventions (projects as well as donor-funded government programmes) that aim at contributing to these international frameworks, often tackle a specific target through a sectoral perspective. For example, SLM programmes tend to focus on the social benefits or natural resource conservation and fail to answer questions on how to contribute to wider economic development of rural areas. Moreover, their attachment to national or global target setting undermines their flexibility for learning and rerouting of methods and objectives in cases where baseline assumptions do not hold true.



## Extension Services

Land and soil degradation is a global problem that directly affects yields and consequently leads to food insecurity that can be further intensified by climatic extremes. Agricultural practices to avoid soil degradation, commonly referred to as sustainable land management (SLM) practices, are well known and have been promoted by development organizations since decades. However, the continuation of the introduced measures often slows down as soon as the provision of inputs (equipment, seeds and seedlings) from the respective project comes to a halt. There is often no extended dissemination and continuation of successfully tested practices beyond farmers targeted directly by projects.<sup>9</sup>

Studies on the reasons for low uptake among smallholder farmers reveal that lack of access to the services (consulting, financing, inputs, outlet markets) necessary for successful adoption are a major obstacle to the dissemination, and sustained application of such practices. This applies particularly to target groups that are poor and often food insecure. The following factors contributing to this service gap can be identified:

- *The institutional capacities of governmental stakeholders are very limited, particularly in rural regions.*
- *Public and private service providers tend to selectively privilege smallholders who have*

9. Rauch, T; Kersting, D. (2016). Making service systems work for food security and sustainable land management. Strategic recommendations for targeting smallholder farmers in sub-Saharan Africa and India. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH

*more resources and are better off.*

- *SLM is not a political priority in most countries.*
- *Many of the regions particularly affected by soil degradation are peripheral ones with badly equipped infrastructure, difficult to reach, and often neglected by the service providers.*
- *The market integration of these regions is often inadequate. Even smallholdings that produce for national or international demand often suffer from low or strongly fluctuating producer prices. Consequently, they are not very keen to invest in new technologies or innovations.<sup>10</sup>*

Bearing in mind these problems and challenges, the improvement of the access to agricultural extension services is a key prerequisite to long-term adoption of SLM practices and technologies.<sup>11</sup> At the workshop on agricultural extension services, discussions sought to contribute to identifying strategies based on practical lessons learnt to create an enabling environment for the adoption of sustainable soil and land management practices, with specific reference to agricultural service systems in Africa.

### **Conceptual framework: agricultural extension and the service system approach**

Under the realm of the “Green Revolution” the traditional understanding of extension in Africa focused on increasing production, improving yields, training farmers, and transferring technology, commonly based on the introduction of high-

10. Ibid.

11. Ibid.

yielding varieties, and the optimal application of yield-enhancing inputs such as fertilizers and pesticides.<sup>12</sup>

Today, the understanding of extension is wider and includes broader dimensions such as facilitation, learning and assistance to farmers' groups.<sup>13</sup>

Agricultural extension can be defined as the entire set of organizations that support and facilitate people engaged in agricultural production to solve problems and to obtain information, skills, and technologies to improve their livelihoods and well-being.<sup>14</sup> This can include different governmental agencies (formerly the main actors in extension), non-governmental organizations (NGOs), producer and other farmer organizations, and private sector actors including input suppliers, purchasers of agricultural products, training organizations, and media groups.<sup>15</sup> The term "advisory services" is sometimes used instead of extension services.<sup>16</sup> For this discussion we use the term "extension services".

As a consequence of the public debt and structural adjustment policy, state advisory services aiming

to promote small-scale agriculture were privatized

12. Food and Agriculture Organisation of the United Nations (2014): The state of food and agriculture. Innovation in family farming. Rome

13. Davis, K. (2008). Extension in sub-Saharan Africa: Overview and assessment of past and current models and future prospects. *Journal of International Agricultural and Extension Education*, 15(3), 15-28.

14. Birner, R., Davis, K., Pender, J., Nkonya, E., Anandajayasekeram, P., Ekboir, J., Mbabu, A., Spielman, D. J., Horna, D., Benin, S., & Kisamba-Mugerwa, W. (2006). From best practice to best fit: A framework for designing and analyzing agricultural advisory services. ISNAR Discussion Paper No. 5. Washington, D.C.: IFPRI.

15. Neuchâtel Group. (1999). Common framework on agricultural extension. Paris: Bureau des Politiques Agricoles et de la Sécurité Alimentaire.

16. Davis, K. (2008). Extension in sub-Saharan Africa: Overview and assessment of past and current models and future prospects. *Journal of International Agricultural and Extension Education*, 15(3), 15-28.

in many regions from the mid-1980s. Consequently, the share of the agricultural sector decreased both in the national budgets of African countries (formerly around 10 percent) as well as in terms of the global development funds (official development aid, formerly 20 percent) to approximately 5 percent. The funds were mainly allocated in a one-sided manner to increasing production. Even today the share of programmes for sustainable land use management in Uganda, Ghana and Burkina Faso account for less than 5 percent of the agricultural sector budget whereas the lion's share of the funds is used for mineral fertiliser subsidies. Expenditures of USD 400 million a year as in the Ethiopian example (20 percent of the sectoral budget) is a rare exception.<sup>17</sup>

The current pluralistic service systems do not fill the resulting gap in an adequate manner. State services and non-governmental organizations only have very limited capacities, but private service providers often have little interest in soil protection and rehabilitation. SLM is often only addressed selectively in the context of commercially successful value chains. Mainly poorer small-scale and food insecure farmers are often excluded from agricultural services for soil protection due to the inadequate resources of state services and the lack of monitoring and coordination of various non-government stakeholders.<sup>18</sup> A crucial deficit of all public, private and cooperative advisory services

17. Rauch, T., Kersting, D. (2016). Making service systems work for food security and sustainable land management. Strategic recommendations for targeting smallholder farmers in sub-Saharan Africa and India. Pg. 8. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

18. Ibid.



is that they only reach a minority of farmers, predominantly those who are better off.

This is the central subject of the service systems approach.<sup>19</sup>

### **Strategies for agricultural extension service provision**

During the technical segment of the GSW five strategies were formulated that, in their complementarity, offer an approach to create an enabling environment for sustained extension and agricultural service provision and thus lead to resilient and sustainable agriculture in Africa. The five identified strategies follow the subsequent line of argument:

- *If SLM technologies are to be successfully adopted by farmers they need to be adapted to farmers' specific needs and capacities.*
- *If SLM technologies are to reach and benefit the most vulnerable and marginalized groups within a community they need to specifically target these groups.*
- *To ensure that SLM technologies are applied in the long-term and further disseminated beyond project-targeted farmers, local organizations (including public and private extension service providers) and champions (community leaders) play a crucial role.*
- *In order to guarantee that extension services reach the most vulnerable farmers, public*

19. Rauch, T; Kersting, D. (2016). Making service systems work for food security and sustainable land management. Strategic recommendations for targeting smallholder farmers in sub-Saharan Africa and India. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

*extension need to be strengthened. One strategy to do so can be the SLM-focused extension services in local development plans, ensuring public funds are allocated to these activities.*

- *Mainstreaming SLM into local development plans is one option for preparing scaling of SLM. Others may include strengthening spaces and platforms for stakeholder dialogues and engagement all levels. This would ensure vertical integration – local to international and vice versa, as well as horizontal integration, into other programmes including not only the public sector but also the private sector, civil-society and non-governmental organizations.*

These strategies are based on the practical experiences as shared from the cases and do not claim to be a comprehensive analysis of how to make extension services work for sustainable and climate-resilient agriculture in general, nor SLM adoption in particular.

### **STRATEGY 1: Enhancing adoption of SLM technologies by adapting to farmers' local needs, interests, and capacities**

Discussions showed that SLM technologies are often developed in isolated research facilities, far away from the farmers' realities on the ground. Moreover, interventions often introduce technologies that were chosen on the basis of project implementers' assumptions but may not necessarily match farmers' preferences.

If SLM technologies are to be adopted by farmers and practiced in the long-term, these need to be tailored to the respective farmers' needs, interests and capacities. Local contexts are characterized by unique socio-cultural, socio-economic, political, institutional and biophysical characteristics that need to be considered when developing and introducing new technologies or innovating already existing technologies.

Means and ways to take local contexts into account:

- *Introducing SLM technologies that are accessible, affordable and context-fitting, therefore having a comparative advantage over the farmers' own practices e.g. locally adapted seeds (Conservation Agriculture).*
- *Addressing specific and relevant problems farmers are facing e.g. land degradation and showing the evidence of the effectiveness of the SLM technology on demonstration plots where the technology can be analysed together with the farmers (Improving traditional systems of soil fertility).*
- *Using existing farmers groups or by facilitating spaces/dialogue platforms where the farmers can analyse and express their needs (collective self-assessment), that can eventually change from year to year and season to season (Kenya Agricultural Carbon Project).*
- *Gathering and incorporating farmers feedback through surveys and focus group discussions*
- *to steer development of credit packages (One Acre Fund).*
- *Forming farmer organizations, based on their common needs/interests or on already existing social groups, to increase smallholder farmers' capacities to communicate their needs to extension officers (collective communication of extension needs) (Kenya Agricultural Carbon Project).*
- *Capacitating and supporting state extension officers to identify service gaps and adapt the service to the needs of the farmers (Kenya Agricultural Carbon Project).*
- *Introducing credit packages in phases (e.g. with small group of farmers, then with village, etc.) to monitor adoption rates and potential implementation challenges (One Acre Fund).*
- *Building on practices and technologies that are compatible with the community's norms and values (Laikipia Permaculture Centre; Apis Agribusiness; Limbua Ltd.).*
- *Adding economic value to existing endogenous and environmentally friendly production systems already in place e.g. bee keeping (Apis Agribusiness) and macadamia nuts (Limbua Ltd.).*
- *Introducing low-input land management practices that generate multiple benefits to the communities (Laikipia Permaculture Centre).*
- *Bringing researchers and farmers together, organizing joint reflection and learning events (e.g. on project sites) to identify what works, needs improvements or could be upscaled (Upscaling Evergreen Agriculture).*

It was highlighted that SLM technologies need to be developed together with the farmers in order to match their realities. The *Upscaling Evergreen Agriculture Project* shows that this gap can be bridged by directly linking research facilities with local farmers, thus enabling direct feedback.

It was emphasized that SLM interventions should adopt an ecosystem approach (depending on the scale this can go far beyond the project site) and ensure that the associated technologies or innovations do not negatively affect ecosystem services, but rather contribute to restore and protect them.

Discussions also revealed that when introducing new technologies or innovating existing practices, interventions need to carefully take into account the prevalent relations and dynamics between different local actor groups e.g. smallholder farmers and pastoralists. These dynamics could present either interdependencies or synergies through e.g. exchange of goods and products or conflicts over the use of natural resources such as forests, pasture or water.

Finally, it was stressed that a new technology or innovation is best adopted if there is an obvious incentive for the farmer e.g. an added economic value through increased production, or lower inputs needed.

## **STRATEGY 2: Inclusion of specific groups (e.g. women, youth, elderly) in SLM interventions through improved targeting mechanisms**

It was noted that extension services often do not reach the most vulnerable and food insecure farmers. In order to reach and support the most vulnerable and marginalized groups within a community through SLM technologies and practices, specific targeting mechanisms are necessary.

Means and ways of including specific groups:

- *Purposefully including women and youth in conversations during community meetings that would normally be dominated by men (Improving ecosystem services in degraded dryland areas).*
- *Securing women's access to land to enable them to invest in SLM (Land-access to women through intrahousehold agreements).*
- *Supporting the formalisation and functioning of women farmer groups to facilitate their access to extension services (Land-access for women through intrahousehold agreements).*
- *Securing women's access to land, negotiating with elders to allow women to use designated area of a group ranch for the permaculture project (Laikipia Permaculture Centre).*
- *Creating locally accessible and managed training facilities. In this case, the previously*

*formed women groups were very successful in their sourcing and selling activities based on permaculture practices, that they could invest in a multi-functional training centre as a joint effort (Laikipia Permaculture Centre).*

- *Ensuring the approach mirrors the various socio-cultural realities of the village and matches local learning processes (village meetings were held with various ethnic groups in different hamlets and camps composing the village) (Tem Sesiabun Gorado).*

The importance of securing land use rights as a prerequisite to enable women and other marginalized groups or minorities like pastoralists to invest and practice SLM was emphasised. It was also noted that interventions need to map and address already existing spaces and organizational structures where specific groups can be reached e.g. women self-help groups. Examples from Benin show that women can be reached and included by introducing quotas, creating the space for women to participate in meetings and workshops. By adapting the time when meetings and workshops are held to the availability of women, taking into account their many other responsibilities e.g. in the household, their participation can be strengthened. Further it was mentioned that in order to reach the younger generations, SLM could be taught in schools and be integrated into the academic curriculum.

### **STRATEGY 3: Diffusion of SLM knowledge by building capacity of local organizations, institutions and champions (leaders)**

It was found that SLM technologies although successfully adopted by the 'target group' of an intervention, often do not spread to benefit others beyond that target group. Appropriate capacity building measures and diffusion strategies are crucial for the adoption of SLM technologies beyond the target group.

Means and ways toward capacity building and diffusion strategies:

- *Building the capacity of local champions to share their knowledge with the community and other farmers. These are chosen by the community due to their legitimate local authority (Tem Sesiabun Gorado).*
- *Training community moderators, community advisors and contract farmers to help disseminate information that their fellow farmers can use to help increase agricultural productivity (Conservation Agriculture).*
- *Demonstrating effectiveness of SLM practices to village chiefs who subsequently motivate the community to follow these practices (Improving traditional systems of soil fertility)*
- *Using existing farmers' networks to support knowledge sharing among farmers (Tem Sesiabun Gorado).*

- *Jointly developing the diffusion approach together with the local community, to ensure process ownership (through village meetings where the diffusion approach is discussed, amended, and validated by farmers) (Tem Sesiabun Gorado).*
- *Establishing farmer field schools and demonstration plots managed by extension agents and hosted by farmers (Conservation Agriculture).*
- *Implementing locally accessible and managed training facilities (Laikipia Permaculture Centre).*
- *Facilitating exchange/learning visits between farmers within a locality, as well as to other parts of the country (Conservation Agriculture).*

It was commonly acknowledged that the diffusion of knowledge between farmers is most effective when happening within local organizations e.g. farmer associations, clusters or cooperatives. In the case of *Improving traditional systems of soil fertility* in Togo, project sites are chosen based on a number of selection criteria, one of them being the level of organization amongst farmers prior to project start. It was recognized that to design socially inclusive services to reach all smallholders, including the marginalized and food insecure farmers, the organization of smallholder land users is necessary.

Discussions stressed the importance of analysing capacities needed by the target group (e.g. extension officer or farmer) – whether technical knowledge or “soft” skills are required. It was

highlighted that often extension officers lack “soft” skills such as communication, management, negotiation, conflict resolution, or coordination skills rather than technical skills.

It was also noted that capacity building tools need to be adapted to specific target groups by taking into account, for example, local language and level of literacy. The discussions underlined that successful diffusion mechanisms are influenced by prevailing social norms and values. In the *Tem Sesiabun Gorado* case, the local concept of ‘social debt’ – in which target farmers hold a responsibility to their communities to pass on project knowledge and spread new techniques – was key to reinforce the accountability between farmer trainers and trainees.

#### **STRATEGY4: Improving decentralized public extension service through the inclusion of SLM in local development plans**

In most African countries, agricultural extension services are provided by a multitude of actors - public, private and non-governmental. However, this pluralistic system does not fill the service gap in an adequate and efficient manner. State services and non-governmental organizations often have very limited capacities while private service providers may have little interest in soil protection and rehabilitation. These topics are often only addressed selectively in the context of commercially successful value chains. Often, poorer smallholder and food-insecure farmers are excluded

from agricultural services for soil protection due to the inadequate resources of state services and the lack of monitoring and coordination of various non-government stakeholders.<sup>20</sup>

Public agricultural service sector thus needs to be strengthened. Although soil protection is in the direct interest of the landowner, the benefit for society as a whole often far exceeds that of the private user. Moreover, many soil protection measures are only successful if they are implemented on a landscape scale.<sup>21</sup> However public tasks such as soil conservation tend to face neglect in a policy environment that is dominated by the paradigm of privatization of services prevailing in many countries since the structural adjustments policies induced in the 1980s.<sup>22</sup>



Photo by Francis Dejon/IISD

One strategy to sustain extension services that promote SLM practices in the long term can be the

inclusion of extension services practicing SLM in

20. Rauch, T; Kersting, D. (2016). Making service systems work for food security and sustainable land management. Strategic recommendations for targeting smallholder farmers in sub-Saharan Africa and India. Pg. 3. Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

21. Ibid.

22. Rauch, T; Kersting, D. (2016). Making service systems work for food security and sustainable land management. Strategic recommendations for targeting smallholder farmers in sub-Saharan Africa and India. Pg. 8. Deutsch Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH.

local development plans, and ensuring public funds are allocated to these activities.

Means and ways of including SLM in local development plans:

- *Effectively communicating evidence on the effectiveness of extension and SLM practice, creating awareness amongst political authorities and policy makers (e.g. mayor, members of the county assembly) (ADECOPB; Domestication and harmonization of policies for SLM).*
- *Providing technical and financial support to consultation processes for developing SLM policies (Domestication and harmonization of policies for SLM).*
- *Mainstreaming SLM into county governments' key planning documents such as County Integrated Development Plans, Annual Development Plans, Annual Workplans and Budgets (Domestication and harmonization of policies for SLM).*
- *Monitoring the operationalization of SLM in communal development plans (mid-term evaluation of communal plans, evaluating progress in the implementation of SLM related activities) (ADECOPB) and participatory monitoring and evaluation mechanisms (Domestication and harmonization of policies for SLM).*

The discussions showed that public sector reform and community empowerment need to go hand in hand. Empowered farmer organizations need



to lobby for their interest, influencing local policy makers and demanding for accountability and transparency in budget allocation.

At the same time, it requires bringing public service provision closer to the local level.

It was highlighted that the provision of SLM practices in development plans does not automatically translate into budget allocation and implementation. There is a need to closely monitor if budget is actually allocated and spent as planned. To hold government accountable, organized and empowered community and farmer organizations are therefore necessary.

The discussions also highlighted the role of the state in coordinating private or non-governmental service providers to avoid double allocation of resources, or the exclusion of the most vulnerable and poor farmers.

### **STRATEGY 5: Upscaling successful SLM practices into policies and programmes through stakeholder dialogues and engagement**

It has been observed that there are many pilot projects that have successfully implemented SLM practices on the target group level. However, they were not replicated in other regions, nor did they inform policies that subsequently translate into concrete actions on the ground and sustain these SLM practices in the long-term. Upscaling is the process of increasing the geographic scale, policy scope or institutional scale by applying successful activities and approaches at different levels.

The concept includes both vertical (top-down or bottom-up, influencing policy reforms) and horizontal (replication across people and geographies) scaling.<sup>23</sup> The goal of upscaling is to ultimately improve sustainability and increase the impact of SLM interventions.

Means and ways of upscaling SLM practices:

- *Lobbying the parliament through regular field exchange visits and dialogues with farmers at local level to show policy makers and regulators the successes reached through SLM (Conservation Agriculture).*
- *Providing partner NGOs with continuous information and support to effectively adopt and replicate the successful extension model (Tem Sesiabun Gorado).*
- *Creating an international platform of SLM practice to facilitate exchange between farmers that have faced and overcome similar land management challenges (Improving ecosystem services in degraded dryland areas).*
- *Providing evidence on land degradation dynamics (long-term research) and making the information accessible to a wide audience and policy makers (Upscaling Evergreen Agriculture).*

ICRAF contributed with lessons learnt from the

23. SOPAC, UNDP, UNEP, and GEF. (2011). Defining Replication, Scaling-Up, and Mainstreaming in the Context of the Pacific IWRM Programme: Identifying Priority Areas of Work for Work Plan Development. <http://www.pacific-iwrm.org/rsc/third-meeting-documents/16-Replication-Scaling-Up-Mainstreaming-cp.pdf>.



*SHARED project*<sup>24</sup> where scientific evidence on land degradation could inform decision-making and be mainstreamed into policies by adapting the way of communicating data through e.g. adapted language, one pagers, simple graphs, images, pictures or interactive decision dashboards.

Participants underlined that mainstreaming of SLM into policies and programmes need to be considered right from the start of a project or intervention, and not only at the end of the project, to ensure that processes are institutionalized and sustained in the long-term.

Finally, it was stressed that in today's digital era, Information Communication Technology (ICT – e.g. radio programmes, SMS service, websites, GIS platforms) presents a big potential to reach a larger audience in a cost-effective way.

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24. <http://www.worldagroforestry.org/shared>

## Finance & Markets

Markets and financial mechanisms that are accessible for rural and resource-poor smallholder farmers are often preconditions for these farmers to engage in SLM and increase agricultural output. Access to finance and markets is therefore pivotal to reduce hunger, poverty, and food insecurity while increasing human welfare. The challenge for resource-poor, smallholder farmers in Africa is to increase agricultural output while engaging in a sustainable and climate-resilient management of land and soils. However, smallholder farmers without (secure) access to land are affected by increasingly complex environmental, social, economic and political challenges such as climate change, population growth, and limited access to financial capital. Market failures such as missing markets, externalities from unsustainable agricultural practices and asymmetric information about input or market prices tend to sharply limit their ability to sustainably increase agricultural productivity.<sup>25</sup>

In terms of creating an enabling environment when it comes to accessible and inclusive financing mechanisms and market access, two key areas limit the capacities of marginalized smallholder farmers to engage in sustainable and climate-resilient agriculture: finance and access to capital; and the organization and logistics of production, marketing, and storage services.<sup>26</sup>

25. Todaro P, M., & Smith C, S. (2011). *Economic Development* (11th ed.). Harlow: Pearson Education Limited. (pp. 416–457)

26. Collier, P. & Dercon, S. (2014). *African Agriculture in 50 Years: Smallholders in a Rapidly Changing World?*, *World Development*, Elsevier, vol. 63. (pp. 92-101).

First, smallholder farmers often lack the necessary capital to increase productivity and generate profits for further investment.<sup>27</sup> Lack of suitable collateral, especially for farmers without (secure) access to land, poses a considerable constraint for accessing finance amongst smallholder farmers. Furthermore, lack of managerial and organizational skills limits the capacity of many smallholder farmers to document their financial assets, further increasing transaction costs related to accessing finance by involving external agents if independent audits are needed.<sup>28</sup> As lenders must responsibly evaluate the borrower's reliability to avoid default, providing this information is a key step in accessing finance for smallholder farmers.<sup>29</sup> Additionally, external shocks such as weather variability pose a significant challenge to farmers who might need emergency capital to overcome unexpected challenges in production. This, in turn, highlights the all too common risk of smallholders falling into debt traps and incentivizes even more strongly the need for smallholder-specific finance models.

Second, weak linkages between producers and markets hinder the ability of smallholder farmers to capitalize on potential market access. Physical capital constraints such as the lack of storage, processing, and marketing facilities along with weak public infrastructure, increase transaction costs for accessing markets, especially for poorer farmers.

This disincentivizes investments in sustainable production and decreases the capacity to generate

27. African Union/NEPAD (2003).

28. Collier, P. & Dercon, S. (2014).

29. Richard L. Meyer. (2015). *Financing Agriculture and Rural Areas in Sub-Saharan Africa: Progress, challenges and the way forward*. IIED Working Paper. IIED, London.

additional value to agricultural products through value chain development. Subsequently, weak value chains have perpetuated the marginalisation of poorer farmers from the generation of wealth as well as accessing markets for their products.<sup>30</sup>

Experiences from the projects discussed during the GSW 2019 permitted to identify a set of strategies to address market failures and social constraints that affect smallholder farmers in Africa. The enabling environment created by these cases contributed to increased capacities of rural and resource-poor smallholder farmers to catch up with frontier technologies and access effective finance and market access services. For example, some projects have integrated actors along value chains for nuts and honey. In doing so, these projects have created economies of scale that outweighed market imperfections by providing cost-effective extension, production, processing, and marketing services for groups reducing transaction costs for the individual farmers. Other projects encouraged the formation of farmers associations that reduced information asymmetries, incentivized technology adoption by reducing risks of adoption, and pooled resources to facilitate lumpy investments in on-farm technologies or value-adding processing facilities.

The following strategies present the major findings and agreements derived from the discussion on ways of creating an enabling environment for sustainable and climate-resilient agriculture in

Africa from the finance and markets perspective.

30. African Union/NEPAD (2019). Knowledge Compendium for Malabo Domestication. Chapter 4: Agricultural Value Chains and Agro-Industrialisation.

## **STRATEGY 1: Ensuring that donor-funded projects are context-specific**

The underlying theory of the GSW 2019 that 'projects never fail, but also never scale,' includes an observation that many donor-funded development projects employ a blanket approach in pilot initiatives meant to support smallholder farmers. Consequently, some cases explored during GSW 2019 provided lessons on how to ensure more context-specific funding models and project design.

Means and ways of contextualizing donor funding:

- *local implementing agencies having authority over project design (Chia Lagoon Watershed Management; Improving ecosystem services in degraded dryland areas)*
- *implementing adaptive management processes to ensure projects adapt to community needs (Chia Lagoon Watershed Management)*
- *funding civil society to mediate participatory design (example from workshop)*
- *establishing social accountability measures which hold donors to account for project objectives and outcomes (example from workshop)*
- *committing funds for pre-assessment phases (example from workshop)*

One example in support of this strategy involves *allowing local implementing agencies to have authority over project design*. The essence of this example is to value local implementing agencies in their knowledge of local needs. Directly related is

another example, which is *to implement adaptive management processes to ensure projects adapt to community needs*. Workshop participants discussed that such processes are supported by applying a market-ecosystems approach, where each actor along the value chain is considered in regard to what they produce and supply to the market. This ensures that individual needs and interests are acknowledged and that the production ecosystem (e.g. upstream and downstream) is aligned to the best possible degree.

In order to ensure that such authority over project design is established and to support adaptive management processes, the role of civil society was discussed. Considerable time must be provided for in pre-project phases in order to make participatory processes a genuine reality. The *funding of civil society to mediate participatory design and commitment of funds for pre-assessment phases* are major lessons that donors can take away in terms of mechanisms to achieve post-project sustainability.

Finally, *establishing social accountability measures which hold donors to account for project objectives and outcomes* is another example regarding context-specific donor-funded projects. An example from Orissa, Eastern India, was provided in which the use of social audits was put forth as a mechanism to hold public agencies accountable for the success and ultimate benefit sharing of development initiatives throughout the State.<sup>31</sup>

31. ActionAid India, Bolangir Team. (2002) Samajik Samikhya: a social audit process in a panchayat in Orissa. PLA Notes, 43: 14-17; <https://pubs.iied.org/pdfs/G01976.pdf>

As illustrated in the example, social audits are normally used for holding local governments accountable, but workshop participants discussed how such mechanisms could be extended to hold foreign governmental representatives accountable for donor-funded projects implemented in their country's name. How such a mechanism could come to agreement and be properly implemented was, however, left as an open question.

## **STRATEGY 2: Understanding the variety of financial needs amongst farmers to create suitable financial mechanisms for the different actors**

This strategy relates to the reality of smallholder farmers lacking access to credit. This is often due to their cash-poor status and the general risk involved in investments within the agricultural sector. However, farmers – smallholders or not – are not all the same. Thus, they each may require different and specific financial support for practicing SLM and maintaining such practices over time.

Means and ways of contextualizing financial services:

- *providing inputs (seedlings etc.) on credit for repayment with harvest (Limboa Ltd; One Acre Fund)*
- *offering support to farmers through a community-financed revolving fund for in-kind agricultural inputs (Chia Lagoon Watershed Management)*

- *allowing for agricultural-specific collateral such as standing crops (National Bank for Agriculture and Rural Development)*
- *establishing enabling policies that create incentives for SLM (example from workshop)*

One example gathered through the analysis of our cases was to *provide in-kind loans (seedlings, fertilizers, etc.) on credit for repayment with harvest*. This example interlinks with the strategies formulated in the extension workshop, as tying such in-kind loans to training of how to properly use them has proven successful in many cases. This example is also particularly useful in the production of cash crops – i.e. those with an established market linked to their production – but participants of the workshops highlighted that this example does not consider the production of crops for household consumption, thus without a profit margin.

A second example from our analysed cases proposed *offering support to farmers through a community-financed revolving fund for in-kind agricultural inputs*. The inclusion of ‘community-financed’ was a particular consideration highlighted by workshop participants due to a consensus of building ownership, and thus sustainability, around these funds by them being at least partly financed by the community members who will benefit from them.

A third example involved *allowing for agricultural-specific collateral for loans, e.g. standing crops*. As mentioned above, cash and resource-poor

farmers often lack the needed collateral to enable their access to credit. This calls for innovative and context-specific loan requirements, including the identification of collateral suitable to smallholder farmers’ realities. The example of standing crops (e.g. crops that have not yet been harvested) was illustrated as one possible form of collateral, though one could also consider other on-farm products (e.g., tractors, processing equipment) as well.

The question here, however, is where to draw the line as to what makes this different from forms of collateral including one’s home, for example. Equally, the question of whether this strategy reaches the poorest farmers who may not have any such form of collateral at all, or how such a consideration can ensure that poor (smallholder) farmers do not get trapped in a cycle of debt, remains open to further considerations.



Photo by Francis Dejon/IISD

Finally, an additional consideration was to *establish enabling policies that create incentives for SLM*. Such incentives need to encourage the production of appropriate crops (e.g. drought resistant) and could include an assessment of subsidy policies, which often incentivize the use of mineral fertilizers, contrary to the support of smallholders practicing

low input SLM. Both governments and the private sector are important actors regarding such incentives, as farmers are often either reached through public extension services or privately funded programmes. Both of these service providers thus have the ability to steer sustainable production through financial or material incentives provided to farmers, whether this is in the form of subsidies or direct input provision. In connection to the enabling environment illustrated within Local Governance & Cooperation Models, the coordination of service providers is important to note here.

**STRATEGY 3: Using ICT to both reduce transaction costs of payments between farmers and service providers and to improve information flows**

This strategy draws on the potential of Information and Communication Technology (ICT) to contribute to sustainable agriculture, climate change adaptation, and more specifically, to access financial services and relevant financial information. The strategy is based on the complementarity of financial services and ICT, the former providing the credit, the latter facilitating access to it. It is a strategy to overcome the challenge for smallholder farmers, especially those in remote areas to place payments and other financial activities more easily.

Means and ways of using ICT to improve financial transactions and access to financial information:

- *allowing at-home payments through mobile*

*technology (One Acre Fund)*

- *allowing for flexible repayments in instalments (One Acre Fund)*
- *providing real-time payment of produce to each farmer (Limbia Ltd.)*
- *increasing information flow through use of data (example from workshop)*
- *investing in ICT infrastructure based on supporting government policy and incentives (example from workshop)*

ICT can make repayment of credits more suitable and cost-effective for rural smallholder farmers and agribusinesses. The One Acre Fund, for example, *allows for electronic payments in instalments and for at-home payments through mobile technology.* This reduces efforts needed to travel to centralized payment centres, especially for farmers in remote areas. In the case of the agribusiness Limbia, *real-time payment of produce to each farmer is made possible through ICT.* When ICT is used for information sharing e.g. of data, it also contributes to *accessing financial information and reducing information asymmetry.* The role of government, both local and national, is important here as strategic intervention through the formulation of policies or public investment in ICT infrastructure can support the financial services sector in providing access to credit and financial information to smallholder farmers. The private sector can be encouraged to further *invest in ICT infrastructure* by setting the right incentives (e.g. reviewing existing legal and regulatory frameworks in order to reduce barriers that hinder widespread roll out



and usage, simplifying licensing regimes, reducing regulatory obligations, and increasing fiscal and tax incentives).

#### **STRATEGY 4: Providing access to and building finance through community-based farmer, saving and investment groups**

African (smallholder) farmers and agribusinesses increasingly need access to financial service tools that allow them to farm sustainably. As an individual, smallholder farmers face many challenges in accessing financial means. To overcome these challenges, various communities have formed groups in order to build internal financial resources and to access external funding. Workshop participants discussed relevant ways on how to achieve the formation and good functioning of such farmer, saving, and investment groups.

Means and ways to access and build finance through community-based groups:

- *targeting financial and managerial training to marginalized groups and holding regular meetings to promote group cohesion, reduce information asymmetries, collect savings and debate investments and borrowing schemes (The Kenya Agricultural Carbon Project)*
- *providing organizational support in the formation & running of cooperatives (Limbua Ltd.)*
- *establishing women's savings groups by educating women and girls about their economic and social rights and strengthening*

*their voice and participation (Upscaling Evergreen Agriculture)*

- *enacting national and local laws and regulations regarding land tenure systems (e.g., group ranch titles) that guarantee services for organised farmer groups (Laikipia Permaculture Centre)*
- *supporting institutional development through community organizations (e.g., farmers clubs, self-help groups, cooperatives, joint liability groups) (National Bank for Agriculture and Rural Development)*

This strategy is strongly based on local groups that accumulate financial means through saving and borrowing money among its members. However, the discussions showed that it is beneficial if these groups go beyond saving and together decided on investments for the internal funds to grow. Farmer groups are also a means to join forces to access external funding. Financial institutions providing finances to groups can help to better provide effective measures to a wider range of smallholder farmers than by providing them individually. Participants perceived the formation of farmers into groups to generate or access finance as an efficient scaling strategy. The formation of farmer groups requires *institutional development through community organizations (e.g., farmers clubs, farmer organisations, cooperatives, self-help groups, saving, borrowing and investment groups, joint liability groups)* and initial capacity building through a structured process of training and support. This includes *organizational support in the formation &*



*running of cooperatives, financial and managerial training to build capacity for financial management as well as regular meetings to promote group cohesion, reduce information asymmetries, collect savings and to debate investments and borrowing schemes.*

Furthermore, cooperation and resources sharing among farmer groups within communities were strongly recommended by some workshop participants as it can help to increase internal sources of finance. It was pointed out that it is important that these groups are inclusive and based on effective democratic leadership allowing equal access to finance and financial information to all (including women, men, and youth). The formation and establishment of women's savings groups can, in particular, be facilitated by *educating women and girls about their economic and social rights and strengthening their voice and participation.*

An additional consideration was to create a business model for SLM to gain access to finance. Once the groups have been formed, it is up to them to organise and provide extension services to their members, to ensure information dissemination, create awareness and lobby government to receive financial means for their members. However, for farmer groups to be formed, to keep them running and for them to be an effective means to access finance, supportive conditions are required. In most cases that have been analysed, NGOs and CBOs took strong roles, but one example has shown (e.g., Apis agribusiness) that the private

sector can also support farmer groups and provide financial support. Private businesses can provide production inputs, processing facilities, and other technologies, financial and managerial training, support procurement and marketing. The stronger involvement of private business in the facilitation of financial access for smallholder farmers might also be a more long-term sustainable approach than relying on the support of NGOs. The role of NGOs in support for farmers to gain access to financial resources should, however, not be devalued, and can go beyond the direct provision of credits and extension by facilitating the formation and management of groups and by lobbying and advocating farmers' needs for finance. Financial measures offered by financial institutions need to be targeted towards smallholder farmers, especially farmer groups. This requires identifying and distinguishing between the different financial needs within a community.

Furthermore, financial institutions need to provide guidance and information to groups on how to access these financial tools. ICT can be a helpful tool in this undertaking (see Finance and Markets, Strategy 3). Governments and leading financial institutions should come together and harmonize regulations to improve investment prospects. Examples raised were improved tax regime for farmers, the support of public-private partnerships and manageable interest rates for farmers. Through *national and local laws and regulations*, governments can set a framework for farmer groups to access finance. In the case study by the

Laikipia Permaculture Centre regulations set by the Kenyan government on land tenure systems (group ranch titles) allowed for (e.g., financial) services for organised farmer groups. Furthermore, workshop participants saw local and national governments in charge of capacity building, provision of extension services, governance, and monitoring.

A shortcoming of the financial schemes for farmer groups is that only agents directly related to agricultural production (e.g., smallholder and marginalized farmers) are targeted while agricultural input providers and agents beyond (crop) production are not considered in this strategy.

#### **STRATEGY 5: Building capacities to access payments for ecosystem services to incentivize SLM adoption**

Despite promotion efforts by government and non-governmental organizations, the adoption of SLM practices often remains low. Although SLM practices entail many benefits, they present two major challenges for their successful distribution: length of the payback period and externalities. That is, the positive effects (e.g., yield increase, water storage) derived from SLM are most often only noticeable after several years of implementation. Secondly, while the additional costs and the necessary investments associated with the adoption of SLM practices accrue at the farm level, benefits of SLM are gained by the farmer as well as by society as a whole, namely in the form of climate change mitigation and increased food

security. Hence part of the challenge of achieving SLM comes down to the balance of short-term profit versus long-term sustainability, as well as the debate of what constitutes a public good. Payments for ecosystem services, such as carbon sequestration, to farmers practicing SLM is one way to compensate farmers for the social benefits they provide and to set an incentive to practice SLM.

Means and ways to access payments for ecosystem services such as agricultural carbon finance:

- *developing a SALM (Sustainable Agriculture Land Management) carbon accounting methodology, certifying the methodology under the Verified Carbon Standard, setting up a carbon fund for agricultural, carbon sequestering practices (The Kenya Agricultural Carbon Project)*
- *setting up a carbon trading scheme for SALM (provided by the intervening NGO) and a participatory monitoring system (provided by the intervening NGO and farmer group), sharing of revenue among participants (The Kenya Agricultural Carbon Project)*

By developing a *verified method to estimate the climate benefits* of SALM,<sup>32</sup> the Kenya Agricultural Carbon Project (KACP) managed to generate payments for carbon sequestration that incentivise farmers to adopt SALM, that (partly) compensate the social benefits generated by them and, at the

32. Carbon savings are measured using the World Bank's sustainable agricultural land management (SALM) carbon accounting methodology, developed specifically for small-scale farms in developing countries.

same time, pay for the extension service on SALM provided to the farmers. The farmer groups receive the revenues from the sale of carbon credits as a group and decide as a group how to invest the money. The agriculture carbon scheme is supported by a *participatory monitoring system* where farmers with the support of farmer group leaders self-report the resulting GHG emission reductions using ICT.

The workshop participants raised the concern that the self-reporting might be a burden for farmers as this might take a lot of time and resources and that the carbon revenues only make up a small share of their income. Participants expressed the worry that the investment in carbon sequestering practices will end up costing more for the farmers than what they are being compensated for.

Another discussion point was that only farmer groups participating in the project are benefitting and not the entire community. Participants also expressed the need to go beyond payments for carbon sequestration and to also include compensation for other ecosystem services and social benefits such as biodiversity conservation, water management, etc.

Furthermore, the workshop group questioned whether the strong role of the NGO (Vi Agroforestry) can ensure long-term sustainability of the undertaking or whether the private sector should support the development of SALM using a carbon accounting methodology useful to their business. The discussion regarding this strategy ended with the open question on how payments

for services such as carbon sequestration can be provided and ultimately, how to get governments and the private sector to invest in it.

### **STRATEGY 6: Creating economies of scale by setting up production, processing and marketing facilities at the community level**

The challenge of developing food value chains that foster SLM while increasing the participation of those at the bottom of the global economic system has attracted the attention of not only development agencies and national governments but also of the private sector. In this context, the GSW 2019 identified and discussed experiences related to the provision of inputs, production, processing, and marketing services for marginalized groups in Africa, such as landless youth and women. The lessons from these cases address the provision of critical inputs for marginalized groups to escape from marginalization traps. Further, these lessons depend on a reduction of adoption costs for farmers and businesses higher-up in the value chain thanks to economies of scale.

Means and ways of supporting smallholders through economies of scale:

- *providing local and direct access to inputs, storage, and processing facilities (for organic honey) so that transportation and transaction costs are reduced for marginalized honey producers (Apis Agribusiness)*
- *decentralizing and locating processing facilities in rural village centres and committing to low-*

*level mechanization of factories, supporting more manual labour (Limbua Ltd.)*

- *organising transport of nuts/avocados from individual farmers' farms, thereby removing the burden of transport costs from farmers (Limbua Ltd.)*
- *bringing in technical and management expertise in processing and marketing of the agroforestry products (Upscaling Evergreen Agriculture)*

The creation of economies of scale is crucial for a market-driven value chain development approach, especially considering that the lessons drawn from the cases can be contextualized in profit-seeking initiatives for which the reduction of costs is determinant. The examples within this strategy portray a reduction of adoption costs for individual farmers by private businesses taking the lead in organizing joint transport, processing, and marketing services. For example, by *organising transport of nuts/avocados from individual farmers' farms, thereby removing the burden of transport costs from farmers*. Furthermore, the provision of *local and direct access to inputs, storage, and processing facilities* can be secured by agribusinesses higher up in the value chain because not only do they have the necessary financial resources, but also profit from such investments by e.g. reducing their transaction costs and securing their supply chain. Subsequently, the cases have revealed that the business sector can become an integral part of an enabling environment, as the business model itself is ensuring the provision of

extension, production, and market access services to marginalized groups.

Despite these findings, participants discussed that traditional notions of economies of scale could be contrary to efforts toward SLM and the inclusion of marginalized groups. For example, conventional agricultural practices which promote monocultures endanger biodiversity and further marginalize those who lack capacities to bear adoption costs of modern, large-scale technologies. Furthermore, it is important to note that businesses providing production, processing, and marketing services for marginalized groups are an alternative that works only in specific contexts such as when accessing niche markets. This is due to few markets being able to offer premium prices to compensate for higher operational costs used to set up value chain development services for marginalized groups.<sup>33</sup>

The challenge is thus looking for strategies that address alternatives for value-chain development beyond niche markets.

### **STRATEGY 7: Incentivizing SLM adoption through demand-driven approaches**

Market-driven approaches are an alternative to incentivize mainstream SLM adoption, as marketing agricultural surpluses helps to compensate SLM adoption costs. Making use of niche markets and exploring new market opportunities provide incentives for smallholder farmers and

<sup>33</sup>. Other considerations such as a type of soil and commodity have been identified. Also, low mechanization practices to increase employment opportunities is a rare example that can be sustained, for example, only when premium prices in niche markets pay for it.

agribusinesses to engage in SLM.

Means and ways to implement market-driven approaches for SLM:

- *access to premium markets for organically farmed macadamia nuts and avocado oil (Limbua Ltd.)*
- *accessing international consumer markets (in Germany) willing to pay a premium price for organically farmed nuts and avocado oil (Limbua Ltd.)*
- *putting in place a traceability system that informs consumers on the source of farm produce (Limbua Ltd.)*
- *developing business models that assume upfront planning, implementation, and organic certification costs of organic honey production while offering training. Agribusinesses profit from engaging marginalized groups as part of the business market entrance strategy because of high demand for these strategies in premium markets (Apis Agribusiness)*
- *having national policies allowing Public-Private Partnerships to take place and promote investments for local market development (Example from the workshop)*
- *having local governments coordinating market agents (farmers, transporting and marketing) through Market Access and Agricultural Counsels that agree with the community agriculture development plans (Example from the workshop)*
- *focus on non-niche, domestic/regional markets. This leads to a reduction of input costs thanks to economies of scale, which compensates*

*adoption cost (Example from the workshop)*

Initially, the discussion about this strategy focused on different ways to access niche markets.

Traceability systems and business practices with socio-environmentally responsible production standards were identified as core niche market access approaches. Participants, however, rapidly identified the need for solutions in contexts where agricultural products do not meet the demand in niche markets. The argument is based on the understanding that niche markets are exclusive in essence and, therefore, cannot provide robust demand for mainstream SLM adoption. Furthermore, labels for niche markets such as organic do not necessarily translate into SLM practices.

This raised the question of how to mainstream SLM practices and the role of other stakeholders in this context. Based on experiences in Benin, workshop participants discussed how local and regional markets could provide enough demand for aligning SLM adoption with staple food production. The challenge of coordinating market agents for wider dissemination of SLM practices can, for example, be addressed by *having local governments coordinating market agents (farmers, transporting and marketing) through market access and agricultural counsels that agree with the community agriculture development plans*. For example, the Beninese participatory communal agricultural counsels were initiated to allow communities and local authorities to decide on sustainable agricultural development plans for agro-ecological zones

seeking to satisfy local and regional demand for staple food production. National governments can also provide legislative frameworks for collaboration that facilitate entrepreneurs to enter into contracts with producers to jointly develop sustainable value chains. It is important to note, however, potential perverse incentives from legislative/policy frameworks that may discourage SLM, e.g. fertilizer subsidies that promote unsustainable intensification of agricultural output. Overall, the last two strategies have discussed different means of achieving food security and SLM adoption through value chain development and market access. It is not a question on whether to focus on niche markets or main staple food production, but rather on identifying the context in which these strategies could work along with the potential risks and challenges presented by them. All this in light of increasing the prospects of commercialization for smallholder farmers and marginalized groups, understanding their differences and needs.

**STRATEGY 8: Creating opportunities for value addition and SLM practices at the local level by regulating the market**

This strategy calls for government regulation of the market as a way to support local production, processing and value addition, thus incentivizing SLM and ensuring a higher share of end-product value is absorbed by producer communities.

Means and ways of supporting SLM through policy:

- *requiring producers of native and endangered*

*species (and their by-products) to establish plant nurseries for sustainability of the resource (Laikipia Permaculture Centre)*

- *providing a ban on the exports of raw products (Limbua Ltd.)*
- *exploring sourcing models which include sustainable production requirements and comprehensive support for the producer communities by having government (national and local) regulation of partnerships between producing communities and private entities (Laikipia Permaculture Centre)*
- *establishing policies that align incentives (example from workshop)*

One example in support of this strategy proposed *requiring producers of native and endangered species (and their by-products) to establish plant nurseries for sustainability of the resource.* As environmental degradation is often externalized (i.e. not compensated for) by profit-seeking initiatives, governmental regulations that help protect endangered species support the sustainable production of such products as well as the local economy of producer communities. This example is pulled from the case of the endangered Aloe species in Kenya, where the Kenyan Wildlife Service, following the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), provides permits for the sale of Aloe only after establishment of a local nursery. The provision of such permits is also tied to extension services on how to propagate and care for the Aloe plant to ensure its sustainable production.



# Chapter 4:

## The enabling environment beyond the dimensions

Analysing strategies along each of the four dimensions at the GSW 2019 provided many useful insights towards creating an enabling environment for sustainable and climate-resilient agriculture. Yet, discussing these strategies in silos, as they are discussed here by dimension, does not conclude the exercise.

An enabling environment requires that these strategies and the dimensions they represent be discussed and implemented in conjunction with one another: responsible land governance to provide secure land tenure is often, for example, a precondition to access financial services; such financial services need to be provided in tandem with relevant and accessible extension services; and finally, the coordination of these processes is given oversight by strong local governance institutions. The identified dimensions of an enabling environment are, thus, highly interconnected when it comes to the promotion of sustainable and climate-resilient agriculture. Also, there are aspects of an enabling environment that the GSW 2019 did not fully address.

### **Sustainable Consumption and Production Patterns**

One major and cross-cutting theme relevant to an enabling environment for sustainable and climate-resilient agriculture is sustainable consumption and production (SCP) patterns. SCP is a growing field of interest, highlighted as one of the 17 Agenda 2030 Sustainable Development Goals (SDG 12) and consistently given attention in international and national discourses. On one hand, protection of global land resources and biodiversity is only possible through more widespread implementation of SLM and production practices. On the other hand, global consumption patterns play a major role in an enabling environment for sustainable agriculture and land management in general.<sup>1</sup>

The finance and markets dimension discussed quite prominently the market in Europe that is created for sustainably produced commodities from Africa and how this market provides an enabling environment for smallholder farmers if such farmers are

supported through fair pricing and comprehensive

1. Bengtsson, M., Alfredsson, E., Cohen, M. et al. (2018). Transforming systems of consumption and production for achieving the sustainable development goals: moving beyond efficiency. *Sustainability Science* 13, Issue 6, pp 1533-1547. <https://doi.org/10.1007/s11625-018-0582-1>



technical and processing support. An illustration of how this can be realized was provided through multiple case studies highlighting the role of the private sector in facilitating, and ensuring, these arrangements. For example, the government-regulated partnership established between Lush Cosmetics and Laikipia Permaculture Centre through an Access Benefit Sharing agreement of the Nagoya protocol, or the support of young and landless beekeepers in Ethiopia through Apis Agribusiness. Consumerism within the African continent, however, provides a slightly different perspective. The influx of European products into African markets due to liberalized trade policies and subsidization of European farmers impacts smallholder farmers in Africa through their inability to compete with foreign products and world prices for internationally traded goods.<sup>2</sup> In addition, the market for local production of those goods is stifled as consumers opt for the less expensive foreign product.

Issues of sustainable production were quite strongly represented within the other three dimensions of an enabling environment (i.e. extension services, land governance and local governance) explored at GSW 2019. Within land governance, the issue of secure access to and tenure over land is viewed as a precondition for smallholders to invest in more SLM practices. Within local governance, the institutional and political structures that decide where and how public funds are spent highly

2. Arsenault, C. (2014). Developing countries blast rich-world farm subsidies at Rome talks. Retrieved from <https://www.reuters.com/article/us-foundation-food-subsidies/developing-countries-blast-rich-world-farm-subsidies-at-rome-talks-idUSKCN0HV1NK20141007>

influence the level of support offered to smallholder farmers targeted at enabling them to farm in a more sustainable way. The 'missing middle' in terms of service delivery, especially to smallholder farmers, was particularly considered since strong and inclusive local governance structures can go a long way in closing the gap between public expenditure and access to services by the most remote members of the agricultural economy. The extension service dimension touched on the issues of accessibility of services as well, but also the general need for knowledge sharing and training of smallholder farmers to engage in and sustain sustainable practices over time.



Photo by Francis Dejon/IISD

In conjunction with the finance and markets dimension, the issue of engaging and building capacity of rural communities in the area of agricultural waste management was highlighted in the conference discussions. Since SCP involves increasing resource efficiency, encouraging smallholders to manage and capitalize on-farm waste (e.g. to produce organic compost) provides a financial mechanism in terms of access to inputs for resource poor farmers. Similarly, the generation of urban organic compost to support

rural farmers was provided as an example from an initiative by the Urban Development Department of Maharashtra state and GIZ India. Visualizing farms as a holistic unit producing within a closed loop cycle encourages the sustainable use, reuse and production of the farm. This further relates to the finance and market strategies which discuss value chain development. Many smallholder farmers, especially those experiencing higher yields through the implementation of SLM practices, still face challenges of how to handle and market their excess harvests and to reduce loss (waste) to a minimum. Value adding processing facilities that can help farmers to innovatively store and market excess produce significantly adds to an enabling environment for sustainable agriculture.

Overall, SCP is a crosscutting theme that ties all four dimensions of an enabling environment together. The interconnectedness of these dimensions reflects the holistic nature of the necessary conditions to properly support smallholder farmers – an enabling environment for them to practice sustainable agriculture involves elements of each dimension, often simultaneously.

### **Reflections from a global and regional perspective**

The discussions on the final day of GSW 2019 served to paint a more comprehensive picture of the enabling environment for sustainable and climate-resilient agriculture. There were multiple elements emerging from the workshops that merit

further consideration. These include the impact of legal frameworks on smallholder farmer rights, particularly tenure rights, and the transnational acknowledgement of such rights between African nations; the non-binding nature of international agreements and their lack of implementation measures leaving the enforcement of such agreements unclear; the issue of vulnerable landscapes (e.g. grasslands) being unattractive in leveraging private finance, which is the focus of many international funds such as the Land Degradation Neutrality (LDN) fund, or of ensuring that such funds do not contribute to land grabbing in connection with large-scale investments. In calling for “mind restoration before land restoration” Dr. Juliette Biao Koudenoukpo, Director of the UNEP Regional Office for Africa, noted the importance of ‘social consciousness’ in order to reach many of the global goals, especially those related to women’s rights to land. Further entry points of tangible actions toward creating an enabling environment include supporting locally led dialogue and negotiation processes to overcome natural resource-based conflicts especially in support of traditional pastoralist governance structures, innovative farmer-to-farmer models and the use of digital platforms to develop more cost-effective extension services as highlighted by Dr. Boniface Kiteme of CETRAD.

The role of civil society was stressed as critical in the advancement of an enabling environment, especially in their role of organizing farmers to access services, such as credit from international

or national funds, or in providing the needed capacity building initiatives that support stronger local institutions. Initiatives such as the Ecosystem Based Adaption for Food Security Assembly, which works to coordinate stakeholders and build partnerships at the local level, were highlighted in this connection.

Tim Christophersen of UNEP discussed the importance of nature-based solutions as a way forward, with local government having a strong role in organizing the dissemination of knowledge and providing strong platforms for dialogue. The use of voluntary guidelines such as the UN Food and Agriculture Organization's guidelines on Sustainable

Soil Management<sup>3</sup> as discussed by Ronald Vargas,  
3. FAO. (2017). Voluntary Guidelines for Sustainable Soil Management Food and Agriculture Organization of the United Nations Rome, Italy

Secretary of the Global Soil Partnership, provide an example of the type of comprehensive guidance needed for governments to align efforts toward SLM. The facilitation of access to voluntary carbon markets for farmers, or the use of analysis tools such as the Economics of Ecosystems and Biodiversity AgriFood framework are important considerations in this regard as well. As William Speller of UNEP explained, such tools help in the effort to measure externalities and account more accurately for produced, natural, social and human capital, and to incorporate the costs and benefits of agricultural practices and consumption patterns into economic and financial decision-making.



Photo by Francis Dejon/IISD

# Chapter 5:

## Outlook

The GSW 2019 has showcased an alternative conference design. Together with co-hosts, partners and participants, the GSW implemented a bottom-up learning process to jointly identify the necessary characteristics for creating an enabling environment for smallholder farmers to implement and sustain practices of sustainable and climate-resilient agriculture. Participants critically analysed a range of different initiatives implemented in India and across the African continent to identify lessons learnt that can be applied on a broader scale. This approach showed that an enabling environment can be created from the bottom-up. Securing land tenure does not presuppose fully functioning cadastres, reaching farmers beyond investments of a single project does not require large-scale extension service reform. As many of the cases explored at GSW 2019 show, innovative solutions are often developed at the community level.

Creating an enabling environment requires working with local change agents and community members to develop responses that suit them and providing the necessary time and space for social innovations to emerge. In the long term, social innovations created by local initiatives can only continue to thrive in a supportive policy environment. Pastoralist communities, for instance, are unable to manage

their common lands sustainably if their legitimate rights are not recognized, respected and protected.

The outcomes of the GSW 2019 address the implementation gap – the missing middle – that characterizes many rural development and sustainable agriculture policies. Although progress has been made to date in rehabilitating ecosystems, restoring degraded lands, forests, and soils, and achieving land degradation neutrality across the African continent, there is an urgent need to further enhance the adaptive capacity of the agricultural sector to climate change, particularly regarding smallholder agriculture. This requires strengthening the role of nature-based solutions, such as conservation agriculture or permaculture, restoration of soil, land and other ecosystems and afforestation.

Further, the outcomes of the GSW 2019 reiterate the importance that investments in ecosystem restoration will only have a lasting impact if the enabling environment is taken into due consideration. The current omnipresent call for private financing for ecosystem restoration is a necessary but not sufficient condition to that end. Inclusive extension and advisory services, affordable rural finance, responsible governance



of tenure of land, and an accountable local governance system highlight several entry points for stronger efforts to create enabling environments.

The joint commitments agreed upon in Agenda 2030 and Agenda 2063 and the increasingly palpable impacts of climate change necessitate urgent action. Throughout the GSW 2019, the dialogue with co-hosting governments, official partners and relevant regional and global initiatives allowed to identify entry points for action to

contribute to the achievement of global goals at the local level. To further strengthen efforts to this end, the lessons learnt and outcomes of the GSW 2019 must inform strategies, programmes and policies addressing SLM, agriculture and ecosystem restoration measures. Investing in the enabling environment for sustainable and climate-resilient agriculture has the potential to contribute to achieve “The Africa We Want”.



Photo by Francis Dejon/IISD

# ANNEX

## Annex 1: Case Presenters and Case Contributors

### Cases & Case Presenters

- 1. *Upscaling Evergreen Agriculture*:** Reversing Land Degradation in Africa by Scaling-up Evergreen Agriculture (integrating trees with food crops and livestock) in Ethiopia, Kenya, Rwanda, Somalia, Ghana, Mali, Niger and Senegal. Implemented by the World Agroforestry Centre (ICRAF); GIZ - Economics of Land Degradation; World Vision; CARE International; Oxfam; Catholic Relief Services; and Sahel Eco. Presented by Ms. Mieke Bourne and Dr. Leigh Winowiecki (<https://www.worldagroforestry.org/project/reversing-land-degradation-africa-scaling-evergreen-agriculture-regreening-africa>)
- 2. *ADECOB*:** The Association for the Development of the Municipalities of Borgou (ADECOB) is an intercommunity association mutualising resources for effective local rural development implemented by municipalities of Borgou, northern Benin. Presented by Mr. Maman Bassarou. (<http://www.adecob.org/>)
- 3. *Tem Sesiabun Gorado*:** Social innovation for strengthening farmer-to-farmer extension in Benin. Initiated and implemented by TMG Research with support of GIZ ProSOL Benin. Presented by Mr. Kader Baba. (<https://soilmates.org/tags/benin-en/>)
- 4. *Land-access for women through intrahousehold agreements*:** An innovative mechanism to secure women's access to land within the household - a pilot initiative from Tiarako, Western Burkina Faso, implemented by GIZ Burkina Faso ProSol, TMG Research and Groupe de Recherche et d'Action sur le Foncier (GRAF). Presented by Mr. Bala Sanou, Mr. Saydou Koudougou and Ms. Fatoumata Tall. (<https://soilmates.org/tags/burkina-faso-en/>)
- 5. *National SLM Strategy*:** Participatory design of a National Strategy for Soil Restoration, Conservation and Rehabilitation in Burkina Faso, implemented with support from ProSol/GIZ Burkina Faso. Presented by Mr. Bala-Galley Diarra
- 6. *Projet Équateur*:** Lessons learnt from building governance structures at local, provincial and national level for the REDD+ mechanism in the Democratic Republic of Congo. Implemented by Woods Hole Research Center. Presented by Mr. Joseph Zambo. (<http://projetequateur.org/>)
- 7. *One Acre Fund*:** A social enterprise providing a rural smallholder financing model to farmers in East Africa. Implemented by One Acre Fund. Presented by Mr. Daniel Omondi. (<https://oneacrefund.org/>)

what-we-do/farmers-first/)

- 8. *Apis Agribusiness*:** Addressing the socioeconomic drivers of ecosystems degradation from a business perspective: The case of beekeeping in Ethiopia. Implemented by Rare and Apis Agribusiness. Presented by Mr. Jony Girma and Ms. Ann-Kathrin Neureuther. (<https://solutionsearch.org/entityform/922>)
- 9. *Landscape Planning and Management of Commons in Pastoral Areas*:** Land use planning in pastoral settings and management of commons, based on the experience of Afar Region. Implemented by GIZ Ethiopia. Presented by Mr. Said Mohammed Bori and Mr. Alexander Strunck.
- 10. *National Bank for Agriculture and Rural Development (NABARD)*:** Financing models for agriculture development and sustainable soil management (Building an empowered and financially inclusive rural India). Presented by Mr. Shri E. Srinivas.
- 11. *Community-led land lease guidelines*:** a social innovation for improved land access. By Shibuye Community Health Works, Kakamega, Kenya. Presented by Ms. Violet Shivutse. (<https://soilmates.org/tags/kenya-en/>)
- 12. *Domestication and harmonization of policies for SLM*:** Domestication and harmonization of policies for SLM by Western Kenya counties facilitated by GIZ Kenya. Presented by Mr. Vincent Okoth
- 13. *Enhancing food security and market access for land constrained women farmers*:** a human rights-based approach to enhance sustainable and climate-resilient agriculture amongst women farmers in Kenya. Implemented by ActionAid. Presented by Mr. Denis Orioki.
- 14. *Limbuga Ltd.*:** Market access for agro-ecological (by)products from Embu, Kenya. Implemented by German-Kenyan producer Limbuga. Presented by Prof. Rhoda Birech. (<http://www.limbuga-group.com/en/home>)
- 15. *Recommunalization of tenure to secure pastoralist production, livelihoods and ecosystem integrity*:** Re-introducing pastoralist land governance system in Olgos, Kenya, to fight land fragmentation and to secure livelihoods, production systems and to restore ecological health and biodiversity. Facilitated by Pastoral Development Network Kenya in association with the Alliance for Food Security in Africa (AFSA). Presented by Mr. Michael Ole Tiampati.
- 16. *The Kenya Agricultural Carbon Project (KACP)*:** Restoring degraded agricultural land into functioning ecosystems through a carbon-credit system in Kenya. Implemented by Vi-Agroforestry. Presented by Ms. Caroline Musee and Mr. Amos Wekesa. (<https://viagroforestry.org/>)
- 17. *Laikipia Permaculture Centre*:** Strengthening of Pastoralist Women's Groups through permaculture education and value chain development in Laikipia County, Kenya. Implemented by Mr. Joseph Lentunyoi and Womens Groups of Laikipia. Presented by Mr. Joseph Lentunyoi. (<http://www.lpct.or.ke/>)



- 18. Improving ecosystem services in degraded dryland areas:** working with agro-pastoralist farmers to improve the ecosystem services in the degraded dryland areas of West Pokot, Kenya. Implemented by McKnight Foundation. Presented by Ms. Linnet Gohole and Mr. Bonface Alkamoi from University of Eldoret, Kenya. (<https://www.mcknight.org/programs/international/>)
- 19. Pasture and Land Tenure in the Boeny Region:** Developing legal frameworks based on local use practices: Sustainable pasture management and land tenure security in Boeny, Madagascar. Discussion proposed by GIZ Madagascar ProSol and ProPFR. Presented by Ms. Valérie Ramahavalisoa.
- 20. Chia Lagoon Watershed Management:** A community-based catchment rehabilitation project in Malawi. Implemented by Total Land Care. Presented by Mr. Zwide Jere & Mr. Richard Museka. (<http://www.totallandcare.org/>)
- 21. Improving traditional systems of soil fertility:** Increasing the quality of agricultural production in the Savannah region of Togo through improving traditional systems of soil fertility. Implemented by INADES Togo and the Alliance for Food Sovereignty in Africa (AFSA). Presented by Mr. Yao Dovo Feter.
- 22. Conservation Agriculture:** Improving and sustaining farming productivity, profits and food security while preserving and enhancing the resource base and the environment in Zambia. Implemented by WWF International. Presented by Mr. Conrad Muyaule. ([https://www.wwfzm.panda.org/resource\\_center/press\\_releases/?229230/Introduction-to-Conservation-Agriculture](https://www.wwfzm.panda.org/resource_center/press_releases/?229230/Introduction-to-Conservation-Agriculture))

#### Case Contributors

**Mr. Bala Sanou** – Input on intermunicipal pooling of resources for implementation of the land law in Burkina Faso. Presented by GIZ Burkina Faso ProSol.

**Mr. Navin Horo** – Input on digitalization for knowledge transfer and adoption towards SLM and related governance challenges. Implemented by the National Institute of Agricultural Extension Management (MANAGE) and GIZ India.

**Mr. Janardhan Pawar** - Reaping the benefits of local governance in natural resource management. The case of Watershed Organization Trust (WOTR) in India

**Mr. Jitendra Yadav** - Input on urban organic compost for rural agriculture in India. Implemented by the Urban Development Department of Maharashtra state and GIZ India.

**Mr. Joshua Wambugu** from Wageningen University. Input on Payment for Ecosystem Services in Lake Naivasha, Kenya. Ceased project implemented by WWF International.

**Dr. Harifidy Rakoto Ratsimba** from University of Antananarivo. Addressing the incentives from charcoal

supply and demand policies: From Trees to Landscapes in Madagascar. Implemented by GIZ Madagascar

**Mr. Luwayo Biswick** – Founder of the Permaculture Paradise Institute, which functions as a community-based demonstration and training site for permaculture in Malawi.

**Ms. Harriet Nakasi** from the Advocacy Coalition for Sustainable Agriculture (ACSA). Influencing the policy environment for sustainable agriculture. Implemented by (ACSA) in Uganda.

**Dr. George Ayaga** from Kenya Agricultural & Livestock Research Organization (KALRO) on Landscape approaches for scaling up sustainable land management and agro-biodiversity conservation.

**Dr. Bharat Kakade** from BAIF India on Local Governance for innovations towards sustainable soil health management. Implemented by BAIF India and GIZ India.

## **Annex 2: Guiding Questions for Workshops Day 2 & Day 3 per dimension**

### **Land Governance**

#### Guiding Question **Day 2:**

- What needs to be done to ensure the sustainability of the strategies?
- Do the strategies address vulnerable and marginalized groups? If not, how can they be addressed?
- What needs to be done on the local/ municipal / national level to make the strategies coherent?

#### Guiding Questions **Day 3:**

- Is the strategy attainable? If not, what would need to change/be added?
- What are the concrete activities to operationalize and implement the strategy on local, regional, national or international level?

### **Local Governance**

#### Guiding Questions **Day 2:**

- How to sustain post-project sustainability?
- How to ensure participation of the most marginalized groups in community?
- What else is needed for the strategy to work? What are complementarities (e.g. is there a need for a legal framework at the national level or what is the role of other actors)?
- Plenary: What else is missing (strategy/element of the enabling environment)?

#### Guiding Questions **Day 3:**

- Is the strategy valid? If not, what would need to change/be added?
- What are the concrete activities to operationalize and implement the strategy on local, regional, national or international level?

## **Extension Services**

### Guiding Questions **Day 2:**

- What are the key elements of the enabling environment in each cluster?
- Who are the key actors to implement these key elements?
- From your experience and regional background, what important elements, actors and strategies are missing in each cluster?

### Guiding Questions **Day 3:**

Together with the peer reviewers we had a closer look on Cluster 3, 4 and 5 related to upscaling before looking into the interrelations between the 5 clusters, and how to ensure once SLM promoting extension practices have been mainstreamed into policies they are translated into concrete outcomes at local level.

- Cluster 3: How to build capacities of local institutions and champions?
- Cluster 4: How to engage stakeholders at all levels in policy making processes?
- Cluster 5: How to leverage budget to extension service practicing SLM?
- How are the 5 clusters interrelated and lead to upscaling successful strategies.
- How can we close the loop (beyond mainstreaming, to ensure policies are translated into concrete outcomes)?

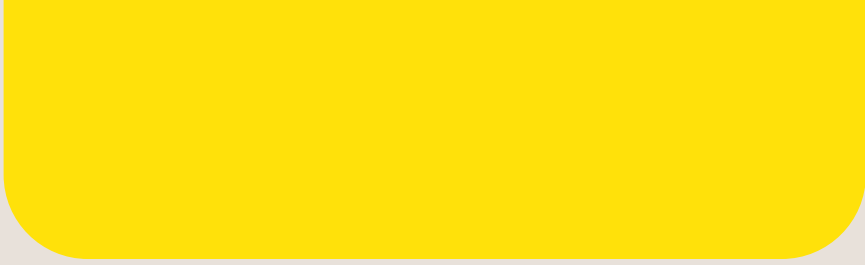
## **Finance & Markets**

### Guiding Questions **Day 2:**

- What commonalities and differences do you see between the different approaches on how the enabling environment was created in each cluster?
- Who are the actors? Are they the same or different in the various approaches? Can they be complemented or substituted?
- Are important elements/strategies missing? Which?
- Post-sustainability and scaling question (in plenary)

### Guiding Questions **Day 3:**

- Who is reached by these strategies?
- What are the conditions under which these strategies can be successful?
- Which actors are responsible for creating this enabling environment? (and what is their role?)



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