Methodologies

for the analysis and planning

of rural development

SNV Netherlands Development Organisation

CTRT

Foreword

Analysis and planning are important aspects of the daily work of many SNV-ers. They use a range of methodologies, instruments and tools for this. At the request of SNV, this CD-Rom describes several methodologies which are used to analyse and plan rural development. At the same time some general remarks are made on analysis and planning within the context in which SNV operates. By combining these two elements, SNV-advisors and partner organisations can assess the usefulness of the methodologies in different circumstances.

This CD-Rom functions as reference guides. It provides basic information on relevant topics and refers the reader to a number of sources where more detailed information and concrete experiences can be found. These can be books and manuals, case studies, Websites, resource centres or training institutes.

The main text of this CD-Rom consist of 10 Word files. The first one (this one) provides an introduction to the CD-Rom and the methodologies. The other nine are each dedicated to one (or two) of the eleven methodologies. The description of the methodologies and the assessment of their usefullness in the SNV context is based on 'Methodologies for analysis and planning of sustainable area development' (Holtland, 1999), published by SNV. The assessment is a mixture of personal experiences and experiences described in literature; without doubt, it contains some statements with which others will disagree. Therefore, this is also an invitation for further discussions to clarify the usefulness of different methodologies in the field. The results of these discussion will be incorporated in updated versions, as well as new sources of information. Looking forward to your reactions.

Gerrit Holtland
Wageningen, autumn 2001

List of abbreviations

ARA	Area Resource Analysis
DELTA	Development Education Leader Teams in Action
FMS	Farm Management Survey
FPR	Farmer Participatory Research
FSR&E	Farming System Research and Extension
GAS	Gender Assessment Studies
GRAAP	Groupe de Recherche et d'Appui pour l'Autopromotion Paysanne
GO	Government Organisation
MAP	Method of Active Participation
NEDA	Netherlands Development Assistance
NGO	Non-Governmental Organisation
OOPP	Objective Oriented Project Planning
PALM	Participation and Learning Methods
PAR	Participatory Action Research
PLA	Participatory Learning and Action
PRA	Participatory Rural Appraisal
PTD	Participatory Technology Development
RAAKS	Rapid Analysis of Agricultural Knowledge Systems
RRA	Rapid Rural Appraisal
SA	Spatial Analysis
SEAn	Strategic Environmental Analysis
SNV	Netherlands Development Organisation
SWOT	Strengths, Weaknesses, Opportunities and Threats

Table of contents

List of abbreviations

Summary and recommendations 1

1. Introduction to the methodologies 1

2. Aspects of sustainable area development 5

3. Analysis and planning in the SNV-context 7

4. The methodologies 12

5. Structured Surveys 16

6. Area Resource Analysis and Spatial Analysis 23

7. Strategic Environmental Analysis 27

8. Objective Oriented Project Planning 35

9. PRA, PLA and Participatory Learning &Action 46

10. Participatory Technology Development 59

11. Rapid Appraisal of Agricultural Knowledge Systems 66

12. Gender Assessment Studies 72

13. Participatory Action Research 86

Summary and recommendations

SNV supports (meso-level) organisations that assists people in marginal areas to take their future into their own hands. The problems which people in marginal areas face are often very complex. Therefor it is of utmost importance for SNV-related projects and programs in these areas to thoroughly analyse the complex situation in order to develop appropriate plans for sustainable area development.

For proper analysis and planning one needs good data, one needs to understand how things are related, one needs to understand how people perceive the situation and what they think about possibilities for improvements, one needs to understand how people and organisations interact, and one needs to understand the social relations within the families and within society. All this is needed, but trying to analyse and plan everything in one go is the best way to fail. Therefore a mix of methodologies is needed, each focusing on one (or a few) of these aspects. This CD-Rom aims to assist people in choosing the most appropriate (mix of) methodologies for a particular situation.

Eleven methodologies for analysis and planning are described, and an assessment is made of the risks of and the potentials for using them in the SNV context. The assessment is made from a managerial point of view. If one wants to apply a certain methodology in the context of an SNV initiative, one has to assess whether it fits into the local institutional and cultural setting, whether local organisations and their staff can cope with it, whether not too many expectations are raised, whether the expected results justify the expenses (in terms of time, energy and money), whether the methodology is in line with the general approach of the (foreseen) project and/or the donor, etc. Such assessments are inevitably partly subjective. In order to try to clarify them, first some general remarks are made about analysis and planning in the context of a typical SNV initiative focusing on rural development in marginal areas. It is an explicit objective of this CD-Rom that both the general remarks and the assessments of the methodologies are discussed with SNV field staff and adjusted wherever appropriate.

A wide variety of methodologies are available and to a great extent they are complementary to one another. They are not alternatives and they do not just represent different ways of doing the same thing. They each have their own objectives and own focus. They also differ in their level of analysis, their geographical scope, their level of involvement of the target group, etc. The choice for a methodology in a particular situation should be based on the objective for which one wants to use it and on the general strategy of the project on how to deal with people and organisations.

Developing new methodologies will generate little added value; it seems more productive to concentrate on making optimal use of available methodologies. Emphasis should be on:

- more training of field staff in basic communication and analysis skills so that they can use and adapt the range of methodologies to their own situation;

- identifying ways to institutionalise the use of the methodologies, especially the participatory methodologies;
- improving the management capacities of intermediate organisations (meso-level organisations or local government organisations) to cope with the complex process of participatory development;
- improving collaboration between organisations, especially between those capable of making a good participatory analysis and those able to contribute to the solutions of technical problems;
- improving the depth of the analysis and the quality of interventions by involving professional staff able to recognise their limitations and the limitations of the organisation they work for and the methodologies they use;
- regularly maintaining and updating methodologies: platforms or other forms of organisation are needed to prevent bad practices and to further develop the methodologies.

Lastly, SNV field staff should exchange their experiences with different methodologies. The key question should not be which methodology is the 'best', but how can the different methodologies be made more effective in the field: what are the preconditions for them to work and how can these preconditions be created? What should be the role of grassroots organisations, local NGOs, local government organisations, projects and outsiders? The combined experience of all SNV-ers can shed considerable light on these complex issues. This CD-Rom is only the starting point for this discussion; in no way is it the final result. It is the intentions to update the CD-Rom after some time.

1. Introduction to the methodologies

1.1 Background

Over the years SNV has developed a comprehensive and coherent mission, i.e. to enable people in marginal areas to take their own development into their own hands. The strategy applied to realise this is 'capacity building of meso-level organisations and local capacity builders in relation to structural poverty alleviation and improved governance'. The main elements of this strategy are Organisational Strengthening and Institutional Development. The first includes an improved service delivery by the supported organisation to the target group (SNV-strategy paper 2000).

Since SNV often works in marginal areas, rural development is one of its key-activities. At the request of SNV/BDB, this CD-Rom presents an overview of the most important methodologies for the analysis and planning of rural development. These are needed in the daily work of SNV-advisors and the organisation they work with. Methodologies are defined as:

> *A logical sequence of activities which lead to comprehensive conclusions in the context of project planning.*

1.2 Objectives

The first objective of this paper is to provide an overview of different methodologies that SNV's partner organisation can use in the field to analyse the problems and underlying causes of underdevelopment and to plan improvements. Eleven methodologies which can be used for analysis and planning for sustainable rural development are described.

As well as a description of the methodologies, an assessment is made of their risks and their applicability in the typical SNV context. This assessment does not answer the question whether the methodologies described are technically correct and internally consistent; all methodologies discussed here fulfil these requirements, and when applied correctly they will deliver the envisaged results. The aim is much more to assess and discuss the practical and managerial consequences of using the methodologies.

Such assessments are inevitably partly subjective since no comparatives studies can be made in which different methodologies are applied to the same situation and the ultimate results are measured and compared. Even worse, very few people (if any) have practical experience with all the methodologies described; also the author has not had such experience. Consequently the level of detail of the assessments differs between the methodologies. It is an explicit second objective of this CD-Rom that the assessments be discussed with SNV field staff in order to come to a generally accepted description of the potentials and risks involved with using the methodologies in the SNV context.

This CD-Rom can therefore serve as a source of information for policy makers, for training purposes and as a base for an exchange of experiences and ideas between the SNV staff working with different methodologies in different situations.

The criteria for selecting the methodologies were:
- to what extent SNV uses the methodologies (or even developed them);
- the general trends in the world of development cooperation;
- to what extent the methodology represents a group of related methodologies;
- the historical importance of a methodology;
- the available time and materials, and the practical experience of the author.

The following methodologies are reviewed:
- Structured Surveys,
- Area Resource Analysis (ARA) and Spatial Analysis (SA),
- Strategic Environmental Analysis (SEAn),
- Objective Oriented Project Planning (OOPP),
- Rapid Rural Appraisal (RRA) and Participatory Rapid Appraisal (PRA),
- Rapid Analysis of Agricultural Knowledge Systems (RAAKS),
- Participatory Technology Development (PTD),
- Gender Assessment Studies (GAS),
- Participatory Action Research (PAR).

In Paragraph 4.1 a further explanation is given for the choice of the methodologies. Many more methodologies are in use and, based on reactions from the field, these can be included in an updated version. Methodologies focusing on organisational strengthening and institutional development are not included since a separate CD-Rom will be developed on this subjects in 2002.

Also, methodologies which aim to assist donors to plan their support for certain areas or sectors without contributing directly to the analysis and planning in the field have been left out. Most of these are based on secondary data; examples are Poverty Assessment, Gender profile, Environmental Profile, and Context Analysis.

1.3 Structure of the CD-Rom

This File continues with Chapter 2 where a short but comprehensive overview is presented of the many, divers problems encountered in the marginal areas in which SNV mostly works. Chapter 3 gives some general considerations on analysis and planning in marginal areas, explains the context within which the 'new' methodologies have evolved over the last decades, present the relation beteen the methodologies and the present SNV-strategy.

In chapter 4 a comparison is made of the methodologies concerning their focus, their relation to other concepts or methodologies not treated here and the level of participation they require.

On this CD-Rom one will find 9 other Files. In each one methodology is presented (in two cases two methodologies are treated together in one File). As such the Files can be used seperately. It is from these Files that links are made to PDF or Word files on this CD-Rom where one can find manuals or other relevant literature.

Each methodology is described under the following headings:

- background to the methodology;
- objectives;
- description of the methodology;
- relation to the project cycle and strategic level;
- resources needed;
- strong points;
- risks;
- issues concerning implementation in the SNV context;
- literature;
- manual(s)
- resource centres;
- websites;
- case study.

All methodologies are based on a central concept and are developed in a particular historical context. This is described in the *background to the methodology*. Secondly, the *objectives* of the methodology are given; thirdly, the way they should be implemented is detailed in the *description of the methodology*. Next, some practical information is given on the *relation to the project cycle* and the *resources* which are needed.

Based on their central concept, all methodologies have their *strong points*. The other side to the coin is that all have their weak points as well. These are usually recognised by the authors of the methodologies, and often they give some hints about how these can be circumvented. Yet, in practice much can go wrong when others use a methodology in an improper way, either overestimating its capacity or leaving out some of its essential elements. Therefore, the *risks of the methodologies* are assessed. When one wants to apply a certain methodology one has to assess whether it fits into the local institutional and cultural setting, whether local organisations can cope with it, whether local staff has the capacity to implement it in the future, whether not too many expectations are raised, whether the expected results justify the expenses (in terms of time and money), etc. These assessments are inevitably partly subjective, since no comparatives studies can be done in which different methodologies are applied to the same situation and the ultimate results are measured and compared. Even worse, very few people (if any) have had hands-on experience with all the methodologies described; certainly the author has not. Consequently the level of detail of the assessments differs for the different methodologies. Therefore it is an explicit objective of this paper that the assessments be discussed with SNV field staff in order to come to a generally accepted description of the potentials and risks involved with using the methodologies in the SNV context.

Concerning the risks: these are indeed risks, nothing more and nothing less. In practice a good facilitator supported by a good Terms of Reference can compensate for most of the risks during the implementation of a methodology. A poor facilitator with an unclear ToR all too often falls victim to the risks inherently part of a methodology.

Next , some remarks are made on the specific issues when the methodology is used in a *context of a typical SNV supported initiative*.

In order to enable the reader to understand more of the methodology and be able to apply it, *literature*, *manual(s)*, *websites* and *resource centres* are mentioned. Lastly a *case study* is included to provide a practical example of how the methodology was used in one particular situation. Sometimes the Case studies are part of the main text, sometimes they can be found in a seperate file.

2. Aspects of sustainable area development

Here seven different aspects of sustainable area development are briefly presented in order to ensure that the rest of the paper keeps in touch with the complex reality of everyday life in the marginal areas in which SNV works. This is important, since in every planning process one has to make assumptions about those aspects of reality which are not under scrutiny. Especially outsiders risk making too simplistic or too optimistic assumptions and, consequently, of developing plans which are not effective in practice.

The above is specially true for SNV which has opted to work in marginal areas where members of SNV target groups face a large number of intertwined problems, ranging from straightforward problems in the physical environment to more abstract and complex ones related to social (power) relations and historical factors.

Ecological factors (the physical environment): the climate and the soil of marginal areas are often unfavourable. High temperatures make it very difficult to sustain a reasonable amount of organic matter in the soil and heavy rainstorms easily erode those which have been depleted of vegetation. Often specific problems are encountered as well, e.g. the lack of water in dry areas. The harsh physical environment of most marginal areas makes the construction and maintenance of a physical infrastructure (roads, water supply systems, electricity, etc.) expensive.

Technological factors: new technologies, such as more efficient agricultural production techniques or processing industries, can speed up the development process. Yet families and entrepreneurs in marginal areas do not have access to these, and if they do gain access to them, all too often it turns out that the techniques or industries are not suited to their specific circumstances.

Economic factors: marginal areas have few 'relative advantages' over other areas, and even if they do, few nearby markets can be found for the products. Since the economic diversity is very low, rural families tend to produce the same products and cannot influence the prices. Entrepreneurs face many difficulties: markets are lacking, few skilled labourers are available, support structures (advisory services, legal support) are lacking and financial institutions (credit/savings, market information) are weak or not functioning at all. Migration of the most skilful and able people to more prosperous areas reduces the economic potential of the marginal ones.

Population pressure: poverty, poor educational systems and the lack of a social security system lead to high birth rates and a high population growth (2-3%). Any society would have difficulty in adapting itself to such a rapidly growing population. In marginal areas this is even more difficult. Yet in absolute terms, many of these areas have a low population pressure which means that public services infrastructure (schools, hospitals, roads, electricity) are relatively expensive.

Institutional factors: the institutions that have to serve the rural poor have few resources and perform poorly. Almost without exception, education and health systems are poor in resource-poor areas. Civil servants are often 'imported' and are

not motivated to work in marginal areas. The same goes for the partner organisations with which SNV works.

Socio-political factors: most political systems in the countries where SNV is working favour the urban elite and exploit the rural poor via direct and indirect taxes. Access to community services such as (higher) education, health services, etc. is expensive and often corruption is at the expense of the poor. In most social systems (both traditional and mixed traditional/modern systems) women are suppressed, while they carry a heavy burden in the form of reproduction, production and community management. Often this is aggravated by male migration.

Historical factors: most marginal areas suffered for centuries from colonialism and slavery. In the twentieth century, too, exploitation of the rural masses (e.g. via poll taxes and forced migration) has had a profound impact on society. This has robbed marginal areas of their natural resources and eroded (or even destroyed) local institutions (e.g. institutions for regulating the use of communal resources or solving conflicts). Local (indigenous) knowledge has been disregarded. All this has had a very negative impact on the self-esteem of the people and on their ability to take their own development into their own hands.

The above shows a number of serious problems which re-enforce one another. It is near to impossible to determine exactly which factor is the most limiting in a specific area at a specific moment in time. Therefore, an iterative planning process is needed (a 'process approach') to discover it by trial and error. The trial and error process must be as efficient as possible and the most appropriate methodologies and tools for the situation must be selected.

3. Analysis and planning in the SNV-context

3.1 Analysis and planning in practice

Analysis versus Planning

Although treated together here, analysis and planning are two different things. In an analysis only the truth is important. The actual situation is described as accurately as possible. In planning, the question is: *who* will do *what*, *where* and *when?* Agreement should be reached on priorities, responsibilities, budgets, etc.

Although analysis and planning are different issues, in practice many find it hard to separate them. One can argue about to what extent people are able to perceive, describe and elaborate problems for which they do not have a solution. For most field staff of local organisations working with SNV in marginal areas, this is difficult. A major question then is to what extent the analysis and the planning should be combined. If they are carried out separately the analysis can be made independently and the results will be more correct, yet the commitment of the relevant organisation to act according to the analysis will be limited. On the other hand, making an analysis and a plan at the same time with the organisations involved can lead to superficial analyses and inappropriate plans.

Analysis and Planning as a negotiation process

In development cooperation, analysis and planning are not mere technical exercises; they are a field of negotiation and as such are political. The question is: *who* makes the analysis and *who* does the planning? The most important actors are the target group, grassroots organisations of the target group, organisations working with the target group at the local level ('intermediate organisations'), and SNV itself. As well as these, national organisations, scientists, social pressure groups, private companies and donors may also play an important role. All have different interests and as even within these groups considerable differences of interest can occur (e.g. village leaders versus poorer families, or SNV field director versus SNV field staff), the task of making a commonly agreed analysis and a related action plan is formidable.

In practice the crucial question in the negotiations is who is in control. This starts with the Terms of References and continues up to the writing of the final report or plan. Who determines the subjects and the approach, who takes part in the exercise, who does the writing, etc.? Local organisations who have to implement the plan? The ultimate target group? Local authorities (e.g. the district council)? The board of the project? The outsider who comes as an expert or who has to facilitate the process? SNV itself? All of these together? Each option has it advantages and disadvantages. Some are highlighted here.

Outsiders are selected for their specific knowledge and skills and in a dialogue with insiders they can contribute valuable experiences from other places. Another advantage is that they have no direct interest in the outcome of the planning process, yet they usually like to come back for a follow up assignment and sometimes

(specially when time is short) they can enforce or allow compromises which later prove unworkable.

The other side of the coin is that outsiders often do not know the local situation and/or language. They are also much more exposed to the continuous flow of 'new ideas' in development literature which makes it more difficult for them to make an unbiased assessment of the local situation. This is enhanced by the fact that the chances for new assignments for external experts depend to a large extent on policy makers' satisfaction with their report.

Making *intermediate organisations* responsible for the analysis and planning increases the support for the implementation of the resulting plan. At the same time the chance increases that the exercise will not lead to new insights and new plans. Most organisations have a fairly fixed idea about reality and how they could contribute to improving things. Unless powerful methodologies are used to confront them with the misconceptions in their views, they will maintain them. The often low educational level of the staff (with little attention paid to independent thinking and creative problem-solving during their education), their low salaries, the fact that they often come from other areas, etc. enhances this problem.

Considering the above it is logical that during the last decades much attention has been paid to participatory approaches, i.e. let the members of the *target group* make their own analysis and plan their own future. Participation has many positive aspects which hardly need to be elaborated here: it can lead to a better analysis, to better and more practical plans and to more commitment to implement the plans. However, participation also has some limitations which are summarised in the following paragraph.

Limitations of participatory approaches

Participatory approaches requires new attitudes and skills
Participation requires a complete re-orientation of service providers. They have to hand over the stick to the poor. Even more than with traditional forms of (top-down) interaction one can say that the most difficult tasks are given to the least trained- and underpaid field workers who should not only be technical competent (thinking and acting multi-disciplinary) but also extremely good communicators. In practice a lack of thorough training in participatory skills often leads to a poor, instrumental, implemenation of participatory methods.

Participation can become the opposite of organisation
At project level participatory techniques risk to bypass two 'levels of organisation' of the target group: the political representatives of the target group and decision makers of GOs or NGOs. Both are supposed to know and understand the problems of the target group. If this is not the case (who decided this?), one can either give the target group more influence in the organisation, or the field staff can work directly with the target group using participatory techniques. A strong emphasis on the latter risks to conceal the need to organise the target group so that they can raise their voice in relevant fora. Sellama (1999) concludes correctly that while in the 1990's the worldwide political debate on democracy was raging, 'progressive' development professionals seemed to be too much engulfed in the nitty-gritty psychology of the interaction between villagers and extension workers to take part in the discussions (leaving the arena to 'conservative' administrative reformers of the Worldbank).

Institutionalising participatory approaches is a major challenge
Institutionalising participatory approaches requires intensive involvement of top managers in the introduction (see Holland and Blackburn, spec. Schoonmaker-Freudenberger, 1998). As they often (rightly) perceive it as limiting their power, they are not keen on it. Consequently they are too busy running their organisation to actively take part in any meaningful participatory process. Secondly, once an organisation wants to adopt participatory approaches, it requires a re-engineering of the internal organisation. Nearly all components of the organisation are affected: financing mechanisms, management culture, HRM, decision making procedures etc.. This is a very complex- and time consuming process.

Participation requires trust that can only be built up over time
Poor people will not tell their true story to just anybody who passes through. Knowledge is not value free; it often has a political meaning in a specific context. Understanding the deeper causes of underdevelopment requires not only time but also sensitivity to these issues. Because people will explain the deeper layer of their problems to outsiders only after some time (1-2 years), projects need a long-term commitment.

Understanding local knowledge requires a lot of time and very good professionals
Local knowledge is site-specific and often intrinsically different from positivistic Western-technology-oriented knowledge. Starting a real dialogue on this requires both a lot of time and sound technical expertise. Simply listening to farmers is not enough; much technical expertise is needed to make the dialogue meaningful to both sides and to gain insight into the detailed and concrete levels of the local knowledge.

Participation can lead to a too narrow focus on present urgent needs
Development has a social, an economic and a political component. It is only possible to stimulate development if one knows how these factors have changed over time. This means that projects should start with a historical analysis: how did the local situation evolve over the years? Failing to understand the history inevitably leads to poor analyses and therefore to poorly directed project activities. Local people are supposed to know very well the complexity of the situation and the historical roots of the present problems; yet this is not always the case. As advocates of the PAR methodology argue, poor people often have to re-discover their own history. Quick, participatory methodologies do not allow for such an in-depth analysis and easily end up focusing on the presently felt urgent needs. Important constraints of higher levels (e.g. legislation, political processes, macro-economic developments) are often overlooked, as are opportunities offered by new developments (e.g. new markets, new legislation).

Good readers will notice that none of the limitations denies the advantages of participation: better plans with a much bigger chance of being implemented succesfully. One can add here that also in the Netherland participatory approaches have a hard time. The call for 'interactive policy development' is more widespread than ever (specially in rural development) but the number of successes is limited. A series of methodologies have been developed (and still more come up), but two major bottlenecks remain: first of all several stakeholder (specially the more powerfull ones) prefer to play the good old political powergame and secondly many government institutions find it hard to accept a more prominent role for process- and

communication aspects in the planning cycle. The resemblance with the situation in developing countries is striking.

3.2 Historical background to the 'new' methodologies

The methodologies used for analysis and project planning have changed considerably over time: initially the economic returns of projects were considered very important. Projects were seen as 'normal' investments and the IRR (Internal Rate of Return) was calculated in order to show the economic effects of a project.

In the 1960s the IRR of projects was typically based on a huge number of economic data collected in Farm Management Surveys (FMS) or other types of economic surveys. The results were used not only to decide on possible project interventions, but also to compare different farming systems all over the world (Ruthenberg, 1980). In the 1970s, Farm Management Surveys were no longer seen as adequate. They required too much time, money and energy and the results were often inaccurate. In many cases it took so much time to produce the final report that the results were never used to plan any activity. FMS were also too confined to economic (or even monetary) parameters at the expense of social factors.

Over time, more and more aspects were taken into consideration when it came to project planning: social effects (gender issues, how extra work or extra income is divided among social groups); ecological effects (erosion, sustainability) and institutional issues (institutional sustainability, human resource management). Usually researchers put these issues on the agenda. Understanding their central concepts makes it easier to understand the background to the methodologies and their specific strong points and related risks; a brief overview therefore follows (largely based on Chambers, 1997).

Action researchers have shown that poor and oppressed farmers are often not able to bring forward their point of view due to a fundamental difference in worldview between them and the outside agents. Only by first 'reconstructing their own reality' (via a critical review of their history etc.) and developing a new, high self-esteem can they communicate effectively with outsiders.

Field researchers have shown that the reality of farmers is very complex, divers and risk prone. They have shown that farmers operate rationally in this context and that they do experiment in order to be able to survive in this context. Outsiders with a Western education can only understand their situation in general terms and lack the indigenous knowledge needed to work successfully on improvements.

Applied anthropologists keep on reminding us that no methodology will ever do; reality is so complex and the interaction between insiders and outsiders so difficult that it simply takes outsiders too long to understand a problem well enough to intervene successfully.

Agro-ecosystem analysts accept the above concepts and prudently use visualisation techniques to help farmers express their points of view.

Feminist researchers have demonstrated that half of the population was actually forgotten in the development process or even worse: although women often do most of the work they are hardly involved in project planning.

Organisation advisors have found that the focus on the target group left the question open of how to strengthen the organisations working with the target group. Only when these are able to interact in a proper way with the target group and with one another, is institutional sustainability guaranteed.

These new insights gained in developing countries were enhanced by new ideas about analysis and planning in the industrialised countries where the attention to environmental, gender and institutional issues had grown in the previous decades. All this together has been 'translated' into new approaches and methodologies for the analysis and planning for sustainable area development.

4. The methodologies

4.1 Main focus of the methodologies

In this CD-Rom eleven methodologies have been arranged according to their main focus. The focus is the 'heart' of the methodology. It is related not only to its objective but also to how it is implemented. On which issues does it concentrate? On which issues does it spend most energy during the application? The answer reveals the focus of the methodology. Five different focuses are identified:

1. *data*: collect and interprete the facts about the area. This provides the basis for analysis and planning.
2. *situation*: analyse cause-effect relations and come to a clear understanding of the problems and/or opportunities for the area.
3. *people*: what do people themselves think; how do they perceive their problems and how do they want to solve them?
4. *organisations*: changes do not take place inside a vacuum but through the interaction between people and organisations (in one form or another); these interactions have to be analysed in order to arrive at appropriate plans.
5. *social relations*: social relations can hamper the access of people to the resources they need to develop themselves. Therefore, these have to be analysed in order to develop appropriate plans or plans have to be made to change the social relations themselves.

The following table gives an overview of the focus of the methodologies and the related general objective(s) of them.

The main objectives and focus of the described methodologies

Main objective	Focus	Methodologies
✓ Provide the framework for planning ✓ Identify opportunities for further investigations	*Data*	✓ Structured surveys ✓ Area Resource Analysis ✓ Spatial Analysis
✓ Clarify problems and opportunities so that clear decisions can be taken ✓ Provide a framework to monitor and evaluate project activities	*Situation*	✓ Strategic Environmental Analysis ✓ Objective Oriented Project Planning ✓ Rapid Rural Appraisal
✓ People analyse their own situation ✓ People themselves undertake action	*People*	✓ Participatory Rapid Appraisal ✓ Participatory Technology Development
✓ Identify what organisations can contribute ✓ Organisations commit themselves to a plan	*Organisations*	✓ Rapid Analysis of Agricultural Knowledge Systems
✓ Empowerment of women ✓ Empowerment of the target group	*Social relations*	✓ Gender Assessment Studies ✓ Participatory Action Research

4.3 Relation between methodologies

In most cases the methodologies selected are an example of a series of methodologies which can not all be treated here.

In the first group focusing on data, *Structured surveys* are an example of a number of different types of surveys: farm management surveys, household surveys, health surveys, social surveys, etc. The two methodologies based on economic data, *Area Resource Analysis* and *Spatial Analysis*, which are described in an earlier SNV publication (Barnhoorn, 1997) are treated as well.

In the second group foucing on the situation, three different methodologies are described which all aim at clarifying and understanding the situation. The main emphasis of the *Strategic Environmental Analysis* is on problems (specially on underlying mechanisms). Yet, it follows through the process of data analysis, problem analysis, analysis of opportunities, comparing possible solutions, proposing action plans and establishing parameters for monitoring and evaluation. Outsiders fulfil the role of facilitators and consulting experts. In its overall approach SEAN is very similar to Farming System Research and Extension (FSR&E) and related methodologies.

Objective Oriented Project Planning is a general method to analyse problems in a systematic way and to generate ideas on how to overcome them. Outsiders play the role of facilitators of the discussion. A methodology with similar characteristics is the SWOT analysis.

Rapid Rural Appraisal is a methodology developed in- and for rural development projects in the Third World. It represents a wide range of tools which forces outside planners to discuss directly with the target group of possible future interventions. Outsiders act as experts and consultants. Other examples are Sondeo, Diagnosis and Design, Diagnostic Survey, and Agro-Ecosystems Analysis.

In the third group, focusing on people, *Participatory Rapid Appraisal* is most widely used. It represents several methodologies, which put the outsiders in the role of facilitator, leaving the actual analysis and planning to the target group. Other examples are Method of Active Participation (MAP), Participatory Learning and Action (PLA), and Participation and Learning Methods (PALM).

In this group also *Participatory Technology Development* is taken up, as it explicitly leaves the analysis of problems and the planning and evaluation of solutions to the people. Outsiders play a role as facilitator. Similar methodologies are Farmer Participatory Research, On-Farm Client Oriented Research, and Farmer Experimenter Networks.

In the fourth group the emphasis is on the analysis and planning of the organisations dealing with the target group. *Rapid Analysis of Agricultural Knowledge Systems* is used as an example; with its emphasis on the AKIS it explicitly involves the farmers, usually the ultimate target group of the interventions. A related methodology is Rapid Organisational Assessment.

The last group focuses on social relations, and the prime objective is empowerment of disadvantaged groups. As such it is explicitly politically oriented. *Gender Assessment Studies* deal with data collection, problem analysis and organisational/institutional issues. The result is a report submitted to an organisation that wants to implement a project. The outsiders have the role of consultant. Related methodologies are Poverty Study, Environmental Impact Assessment and Social Impact Assessment (although these pay less attention to project implementation and more to developing indicators for monitoring).

The general approach of the fifth group is represented by the *Participatory Action Research*. It is not confined to the initial stages of the project cycle; although analysis and planning are important, the implementation of planned activities is part and parcel of the methodology. Outsiders act only as facilitators. Other examples are Theatre for Development, GRAAP, Community Information and Planning System, DELTA, and Training for Transformation.

4.4 Participation: who participates and to which degree?

In some methodologies the ultimate target group of the intervention is directly involved; in others the focus is on intermediate organisations. The degree of involvement of the target group or the intermediary organisations in the methodologies varies much. Six levels of participation are distinguished:

1. *providing data*: people/organisations are asked for facts
2. *passive cooperation*: people/organisations are asked for their ideas, but in a one way communication process,
3. *consultation*: people/organisations are asked about their ideas and opinions and these are discussed in a two way communication process,
4. *collaboration*: the target group/intermediate organisation and outsiders analyse, decide and work together
5. *collective action*: the target group/intermediate organisation analyses its own situation and takes the initiative for action together
6. *empowerment*: an explicitly politically oriented process in which the target group/intermediate organisation tries to get more contol over decision making processes concerning the use of resources.

The next table gives an overview of the level of participation in the different methodologies. In making the table, first the question *Who participates* ? was answered, secondly the *level of participation* was assessed.

Classification of the methodologies according to the focus on either the target group or on intermediate organisations and the level of participation of these

Level of participation	**Methodologies focusing on the direct involvement of the target group**	**Methodologies focusing on the involvement of intermediate organisations (projects)**
providing data	Structured surveys	Area Resource Analysis Spatial Analysis
passive coope-ration	Rapid Rural Appraisal	*institutional analysis* of the Gender Assessment Studies
consultation	*field study* of the Gender Assessment Studies	Objective Oriented Project Planning
collaboration	Participatory Rapid Appraisal	Strategic Environmental Analysis
collective action	Participatory Technology Development	Rapid Analysis of Agricultural Knowledge Systems
empowerment	Participatory Action Research	

5. Structured Surveys

Background to the methodology

Until the 1970s structured surveys were the main source of information on the rural population for planners. Since then they have been severely criticised as being too costly, too time-consuming, inaccurate and extractive. The last means that the target group is only involved as the source of information while outsiders interpret the data and draw conclusions. Leaving the target group out of this process alienates it from its own development process.

As explained in the File on PRA, many researchers lost interest in large structured surveys in the last few decades. In the Farming System Research and Development approach, smaller (diagnostic) surveys were used for a long time. CIMMYT (specially Collinson) took the lead in that process and it is revealing to see that CIMMYT recently published a manual on participatory research (Bellon, 2001, see under PTD) in which the only quantitative data collected are used to check in how far those farmers who participate in the process of technology development, are representative for the total population in terms of age, education, sex, household resources, major crops grown and main sources of off-farm income. These data are to be collected in 5 –10 minutes.

Despite the critics, structured surveys are still being conducted today. First of all for large investments in rural infrastrucure (e.g. irrigation schemes), secondly as an input in the policy making process (at national level). In both cases the Worldbank is often an important actor. Specially their work on Poverty Reduction Strategy Papers (PRSP) receives much attention. In the PRSP they try to combine quantitative data from Surveys with qualitative data from in-depth participatory analyses.

Objectives

The general objective of structured surveys is to obtain quantitative data on rural life. Based on concrete objectives, different types of structured surveys can be distinguished:

a. *socio-economic surveys* (or *household survey*s) aim at establishing the economic and social characteristics of the target population (demographic data, access and use of social services, sources of income, etc.);
b. *farm management surveys* provide data on all aspects of the farming system (soils, fields and grazing areas, inputs, technology, yields, markets, etc.);
c. specific surveys: *labour surveys* aim at determining the amount of labour available in the area (e.g. to see if people can work on rural road projects during the dry season); *health surveys* can establish the number of people affected by certain diseases; etc.

The data generated can be used to plan rural development projects or to monitor and evaluate them. For a proper monitoring and evaluation system a *baseline survey* is needed: this is similar to the socio-economic survey but focuses on data about those aspects of rural life that (supposedly) will be affected by a project. A baseline survey yields the *benchmark data* to be used in the monitoring and evaluation of the project.

Description of the methodology

The most simple characterisation of a structured survey is collection of information via interviews based on a structured questionnaire. The two most important aspects are: it generates quantitative information (data) and a structured questionnaire leaves no room for any changes during the process of interviewing. The latter makes it necessary to invest much in the preparation and testing of the questionnaire.

Although the content of a survey can vary widely, in general the following steps are necessary:

1. Establish clear objectives for the survey;
2. Collect and review secondary information;
3. Carry out an Exploratory Survey;
4. Decide which data are needed;
5. Decide the analytical procedure to be used;
6. Develop the questionnaire
7. Select the target area and target group
8. Test the questionnaire;
9. Train enumerators;
10. (Ad random) sampling of respondents;
11. Conduct the interviews;
12. Analyse the results of the Survey.

ad 3. One cannot ask relevant questions if one does not have a good 'feeling' for the situation in the area. An exploratory survey is crucial; the researchers enter it with an open mind and have to identify the key aspects of rural life, relevant to the objective of the survey. Usually RRA techniques are used.

ad 5. One can do a 'one-time survey' or repeat it every season (a *longitudinal survey*). In the latter case one can keep the same group of respondents (a *panel survey*) or select a new group each time. It is possible to keep half of the respondents.

ad. 6. Developing a questionnaire requires much time and many skills; the wording of the questions should be simple, relevant and unambiguous. It is important to define exactly what is meant by the words used, e.g. what exactly a 'household' or a 'field' is.

ad 9. Training should concern both communication techniques (establishing a good rapport with the respondents) and a thorough discussion of the concepts used.

ad 10. Ad random sampling is often to be preferred, but is not always possible. If no maps or lists of inhabitants are available, or if the available maps or lists are inaccurate or biased (e.g. by excluding improper houses), it is better to use less rigid sampling methods, e.g. to select some roads and visit every third house.

ad 12. Analysing the results is easy if the questionnaire was properly designed. Yet, even in this case it is important to do the analysis as soon as possible, because people lose their interest in the data and the data become outdated.

Relation to project cycle and strategic level

Surveys are used in three stages of the project cycle, i.e. in project design, in implementation (monitoring) and in evaluation. The last mentioned is only possible when proper benchmark data are available. Surveys are usually done at national or regional/project level.

Resources needed

A proper survey requires a lot of resources: time (at least 3 months), money (transport, computers) and manpower (enumerators - often students and junior staff members).

Strong points

Surveys can produce valuable information, e.g. in drought-prone areas, a household survey can show how much grain people have in store at a certain time of the season. Due to its rigorous set-up, surveys can reveal facts which some people would like to ignore; e.g. the actual number of households living under the poverty line or the number of farmers suffering health problems due to the use of pesticides.

Data generated by surveys can be used to characterise regions and to compare them. When the results of many surveys are combined, one can come to a general understanding of certain areas. In his *Farming Systems in the Tropics* Ruthenberg characterised all farming systems in the tropics based on data from Farm Management Surveys. If no information is available on a farming system, data in this book from similar areas can be used for a first approximation.

Risks

For many reasons poor people opt not to tell the truth to enumerators:

- they can be afraid of all kinds of political complications;
- they can be short of time to explain everything;
- they can be afraid of having to pay taxes;
- they can give 'desirable' answers in order to please the enumerators (the poor guys who seem to know nothing should not be given too complex answers);
- they can give those answers which they think will assist them to be among the beneficiaries of expected projects (not only the project doing the survey!);
- they can be afraid to show they do not understand a question or know the answer, and so simply make up an answer.

These feelings can be very strong. Sometimes people do not even tell their real name to enumerators, let alone the correct number of camels they have.

Collecting data from people and analysing them elsewhere alienates the people: it denies the target group a say in its own development. In reaction to this, in the last decade some progress has been made in giving more feedback to the people or communities who provided the data.

Developing good questions requires many skills. Questions which suggest the answer easily creep in. Such a question as 'Do you use fertilisers in your maize?' will be answered positively by many farmers, irrespective of whether they actually do so. One way (to attempt) to prevent this is to ask 'Did you apply fertiliser to your maize this year?' Although this provides a better chance of obtaining a correct answer, it is by no means certain that one will be obtained.

Even when one has correct answers, the issue of interpretation is still wide open. For some farmers a yield of 1 ton of maize per hectare is very good; for others it is very poor. Data have no meaning; interpreting them correctly requires intimate knowledge of the situation, and all too often this is lacking.

The same applies when a survey is done to evaluate the impact of an intervention. As well as the problem that enumerators might have an interest in producing positive data, it is very hard to know what the actual influence of the intervention has been on the parameters measured. Increased maize yields can also be attributed to good rains or other factors outside the control of the project.

Issues concerning implementation in the SNV context

Poor areas have poor databases. Poor people have many reasons not to tell the truth to enumerators. Poor people lead complex lives and have little time to explain this in terms of pre-coded questions.

Poor databases often make it very difficult to achieve a random sampling of the people to be interviewed. The result can be a biased population of respondents and biased data.

A very common problem is the invisibility of women. In the design of surveys issues which are essential for women and their position are often left out. In the actual implementation all to often women are under-represented as enumerators and as respondents.

Literature

Broshenka D.and A.P. Castro (1983). *Methods of fact finding*. Chapter 4 from FAO (1996). FAO, Rome. Can be found on this CD-Rom: CLICK HERE

Byerlee, D. & M. Collinson (1984) *Planning technologies appropriate to farmers. Concepts and procedures*. CIMMYT, Mexico.

Collison, M. (1982). *Farming Systems Research in Eastern Africa: the experience of CIMMYT and some national Agricultural Research Services, 1976-81*. MSU International Development Paper No. 3, Michigan, USA.

Coudoul, A., J. Hentschel and Q. Wodon. (draft, 2001). *Wellbeing measurement and analysis.*Worldbank, Washington, USA. It can be downloaded from: http://www.worldbank.org/poverty/strategies/chapters/data/data.htm .

Deaton, A.S. (1997). *The Analysis of Household Surveys: A Microeconometric Approach to Development Policy*. Johns Hopkins University Press and World Bank.

Dillon, J.L. & J.B. Hardaker (1993). *Farm management research for small farm development*. (FAO Farm Systems Management Series 6). FAO, Rome.

FAO (1983). *Wood fuel surveys.* Forestry for local community development programme. FAO, Rome. Can be downloaded from: http://www.fao.org/docrep/Q1085E/Q1085E00.htm

FAO (1996). *Guidelines for the improvement of statistics on women*. Obtaining statistics from national agricultural surveys in selected countries of the Near East. FAO, Statistics division women and population division. Rome. Can be downloaded from: http://www.fao.org/DOCREP/W0022E/W0022E00.HTM

FAO (1999). *Agricultural Censuses and Gender Considerations - Concept and Methodology.* FAO, Rome. To be downloaded at: http://www.fao.org/DOCREP/003/X2919E/X2919E00.HTM

Munoz, J. (1996). *A Manual for Planning and Implementing the Living Standards Measurement Study Survey.* World Bank Living Standards Measurement Study No. 126. Washinton, USA.

Murphy, J. & L.H. Sprey. (1986). *Introduction to farm surveys*. ILRI, Wageningen, the Netherlands.

Poate, C.D. & P.F. Daplyn (1993). *Data for Agrarian Development*. Cambridge University Press, Cambridge, UK

Ruthenberg, H. (1980). *Farming Systems in the Tropics*. Clarendon Press, Oxford.

Worldbank (1999). *Poverty Reduction Strategy Resource Book.* Can be downloaded from: http://www.worldbank.org/poverty/strategies/sourctoc.htm

For profound criticism on surveys read all the work of Chambers, e.g.:
Chambers. R. (1983) *Rural development: putting the last first*. Longman, London.
Chambers,R. (1993). *Challenging the professions.* London, IT publications.
Chambers, R. (1997). *Whose reality counts?* IT Publications. London, UK

Manuals

FAO (1999). *Agricultural Censuses and Gender Considerations - Concept and Methodology* may be useful in the planning of training courses and workshops for statistics producers and to meet the growing demand for gender-sensitive statistics. Users will gain an understanding of the complexity of the statistical process, and perhaps learn to express their own needs better. Gender-specific statistics represent a new field of research that far outstrips the simple breakdown of data by sex. Involving various stages of production, it is based on concepts and definitions which mirror the full diversity of gender differentiation in society, as well as gender interaction. The

design stage is complemented by the utilization of data collection, processing and dissemination methods that have effectively neutralize the underlying stereotyping and cultural factors that promote gender bias and foster erroneous policies. To be downloaded at: http://www.fao.org/DOCREP/003/X2919E/X2919E00.HTM

The Poverty Reduction Strategy Sourcebook of the Worldbank provides an overall approach on how to collect and analyse data in support of policy development. It can be downloaded from:
http://www.worldbank.org/poverty/strategies/sourctoc.htm

Coudoul et. al. (2001): *Wellbeing measurement and analysis* focus on *what* to measure and how to interprete the result. It can be downloaded from:
http://www.worldbank.org/poverty/strategies/chapters/data/data.htm

Munoz, J. (1996). *A Manual for Planning and Implementing the Living Standards Measurement Study Survey*. WB- Living Standards Measurement Study No. 126.
This manual explains the planning process, technical procedures, and standards used in Living Standard Measurement Study (LSMS) household surveys, including what these procedures entail, why they are used, and how they can be implemented. It offers explicit instructions, along with examples. Topics covered include technical aspects of questionnaire formatting and testing, methods of implementing sample design, and fieldwork and data management procedures that have been successful. It can be ordered online via: http://publications.worldbank.org/howtoorder

Deaton, A.S. (1997). The Analysis of Household Surveys: *A Microeconometric Approach to Development Policy*. Johns Hopkins University Press, World Bank.
This book reviews the analysis of household survey data, including the construction of household surveys, the econometric tools that are the most useful for such analysis, and a range of problems in development policy for which the econometric analysis of household surveys is useful and informative. Survey design and sampling are covered in some detail, as are the effect of survey design on the calculation of statistics and the estimation of parameters. Can be ordered in the same way as above:
http://publications.worldbank.org/howtoorder

Resource Centres

ISS Institute of Social Studies
Kortenaerkade 12
2518 AX The Hague

LEI Agricultural Economics Research Institute
P. O. Box 29703,
2502 LS, the Hague,
Netherlands;
e-mail: informatie@lei.wag-ur.nl;
Website www.lei.wag-ur.nl

ILRI International Institute for Land Reclamation and Improvement
P.O. Box 88
6700 AB Wageningen,
Netherlands;
Website: http://www.ilri.nl

Websites

The website: http://www.iac-agro.nl/infoserv/3b-themlnks.htm#meta can help to access much information collected in structured surveys by a range of international research institutes.

The FAO search website can be usefull in finding publication on surveys as well as in getting a lot of country based results of surveys.
http://www.fao.org/waicent/search/default.asp .

At the WB-website (http://www.worldbank.org/poverty/strategies/sourctoc.htm) one can download the Poverty Reduction Strategy Sourcebook and a wealth of related information. One element close related to surveys is "Poverty Measurement and Analysis", to be found at
http://www.worldbank.org/poverty/strategies/chapters/data/data.htm .

An allround source of information and data is the PovertyNet electronic newsletter from the World Bank. This newsletter provides an update of new resources about understanding and alleviating poverty. The Website
http://www.worldbank.org/poverty provides more details. Back issues of the newsletter can be found at http://poverty.worldbank.org/newsl/index.php .

6. Area Resource Analysis and Spatial Analysis

These both methodologies are very closely related and therefore treated in one File here. The content of both is first discussed separately, after which the literature etc. is combined.

6.1 Area Resource Analysis

Background to the methodology

Area Resource Analysis (ARA) was developed in the 1980s by geographers interested in the geographical distribution of resources and the efficiency of the use of those resources.

Objectives

The primary objectives of an *ARA* are to:

1. determine the relative socio-economic position of an area within the national economy;
2. determine the human resources, economic activities and environmental functions of an area;
3. identify historical changes or trends in the development of the area which can explain the present situation.

Secondary objectives can be to collect baseline data for monitoring, identify local differences in the area, and set up a database on the area.

Description of the methodology

The first step is to collect a lot of data. The Population-Location-Activity format is used for this. Data are needed on:

1. Population (size of population, age structure, households, ethnic composition, level of income and education, employment (all for both men and women), etc.);
2. Location (quality and distribution of natural resources; ecological functions, infrastructure, transport networks, government structure, etc.);
3. Economic activities (productive activities, size and composition of production, technological level, savings /investments, value added, etc.);
4. Population-Location (distribution of population in the area, migration, flow of products, transport system, land-ownership relations, etc.);
5. Population-Activity (employment, income, labour productivity, labour-capital ratios per economic sector, etc.);
6. Location-Activity (location of industries and services, relations within and outside the area in terms of product exchange, service areas of different services, labour market, etc.).

The actual analysis of the data is done via descriptive statistics and mathematical tools in order to compare the economic structure of different areas. For example, the *Shift Share Analysis* shows how the different sectors of the local economy contribute to the total performance of the economy and how this compares to the performance in other areas (or to the national economy). The *Location Quotients* are an indication of how much the area is specialised in certain economic sectors. It assumes that when relatively many people are employed in a certain economic sector in comparison to other areas (or to the national economy) this sector is a potential export sector for that area.

A last analytical tool within the framework of an ARA is the use of multipliers. For example, the income multiplier calculates the extra income generated in the area as a result of new economic activities there. An employment multiplier can be calculated in a similar way. For these multipliers, specific data have to be collected.

Relation to project cycle and strategic level

An ARA can be used at a national level to select a region where a new project can be undertaken. It can also be used in the initial stages of a project to assess the performance of the different sectors in comparison to the national economy.

Resources needed

First of all a lot of data are needed; if these are not available it will be too costly to collect them only for the purpose of an ARA. Modern computers and the (skilled) staff to operate them are needed in order to handle the large amount of data. How much time is needed depends on the availability of data, computers and staff.

Strong points

ARA is based on straightforward statistics and it gives an idea of the economic development of a certain area. It can be used in the initial stages of a project to make an overall economic assessment of an area before choices are made. When, based on this, more detailed studies are initiated these can contribute greatly to the understanding of what is actually going on in the area (especially in economics terms).

Risks

There is no (clear) relation between the analysis of the data and the problems to be solved. When it is found that the productivity in a certain sector of the economy is much less than the national average, there is no mechanism to find out why this is the case, nor an indication of how this can be solved. Other methodologies have to be used for this. The SNV document describing ARA refers to the SEAn methodology and suggests carrying out the 'problem in context analysis' described there.

Issues concerning implementation in the SNV context

In the marginal areas SNV is working in, agriculture is often the most important sector and additional data on climate, vegetation, soils, pests, diseases, etc. are needed.

A lot of data are needed; in the marginal areas where SNV is working these might be inaccurate or unavailable. Statistics as such have a long history as instruments of power wielded by the central states; one of the main driving forces for statistical departments has always been to assess the tax base of the state. The target group understands this very well and has a keen interest to keep statistics as inaccurate as possible.

Local government structures in their turn have their own interest in the data. For example, data of departments of agriculture more often than not reflect political power balances rather than reality; it is not uncommon for district authorities to negotiate with higher administrative levels the level of the yields of the staple foods.

The Location Quotients is built on the assumption that the labour productivity in the area concerned is the same as in other areas. In the marginal areas where SNV is working this is almost never the case; e.g. the productivity in the main economic sector - agriculture - will usually be (much) lower than elsewhere.

6.2 Spatial Analysis

Background to the methodology

Spatial Analysis (SA) was developed in the 1980s by geographers interested in spatial relations within and between regions.

Objectives

The objectives of a Spatial Analysis are to:

1. identify the spatial elements in the area (villages, towns, etc.);
2. identify the hierarchy of places and services in the area (which service is offered in which place);
3. identify the functional relations between the places (in and outside the area).

Description of the methodology

A Spatial Analysis (SA) concentrates on the settlement pattern of the area. Basically, all settlements and the services they offer are inventoried. These services are clustered into three groups:

1. a table giving the economic services (shops, restaurants, garages, etc.) shows the *economic differentiation* of the settlements;
2. a table giving the social-institutional services (hospital, library, community hall) shows the *solidarity* of the settlements; and
3. a table giving the political-economic services (city organisation, local office of a national organisation, regional headquarters of a national organisation, etc.) shows the *centrality* of the settlements.

After identifying the hierarchy of the settlements in this way, the linkages between them and between rural areas and settlements are analysed. Possibilities are: physical linkages, demographic linkages, technological linkages, political linkages, administrative linkages, etc. These include not only linkages inside the area, but also with other areas. Field studies are done to analyse the links (e.g. market or transport study). The studies will identify some problems which will then have to be analysed further via the 'action in context' methodology described in the SEAn methodology.

Relation to project cycle and strategic level

SA can be used in the initial stages of a project at a regional level to see where certain interventions can be supported. It is most useful at a regional/project level.

Resources needed

In comparison to an ARA, not too many data are needed; most data are of a qualitative nature (is there a post office or not?). Not very much (qualified) manpower is needed to collect the most important data. Two weeks should be enough for a first analysis; after that further in-depth studies can be initiated.

Strong points

SA gives a first impression of the economic development of a certain area and how the different centres are linked. When, based on this, more detailed studies are done, these can contribute greatly to the understanding of what is going on in the area.

Risks

There is no (clear) relation between the analysis of the data and the problems to be solved. The problems to be identified are supposed to come out of the studies which need to be done; but how these studies will be done and how they will lead to an identification of problems remains unclear.

Issues concerning implementation in the SNV context

In comparison to the ARA, less data are needed and more of a qualitative nature. Even in marginal areas these will be quite easily available or can be collected.

Literature

Barnhoorn. F. (1997). *Instrumenten voor strategische streekanalyse*. SNV werkdocument.

Blakely, E.J. (1994). *Planning local economic development: theory and practice*. Thousand Oaks, CA. Sage

Rondinelli, D.A. (1985). *Applied methods of regional analysis: the spacial dimension of development policy*. Boulder: Westview Press.

7. Strategic Environmental Analysis

Background to the methodology

SEAN, as developed by SNV and AidEnvironment, is a reaction to the limitations in the Environmental Impact Assessment (EIA) which has been used in the Netherlands and elsewhere for some decades. The idea of an EIA is that before a plan is implemented, its possible impact on the environment is assessed. SEAN is a proactive method which gives policy makers insight into the ecological situation of the area so that they can take this into account before any plan is made. A related tool is the Environmental Profile which gives a description of all data on a certain area, relevant to the environmental issues at stake.

Objectives

The objective of an SEAN is to increase the environmental knowledge and understanding in order to improve the planning of sustainable development processes. This objective stresses that SEAN is human development oriented and not nature conservation oriented.

Description of the methodology

Making an SEAN involves following the following eleven steps:

0. Defining SEAN objectives;
1. Finding the relevant stakeholders and environmental functions;
2. Assessing qualities and trends in relevant environmental functions;
3. Assessing the impact of current trends on stakeholders;
4. Establishing thresholds and norms for relevant environmental functions;
5. Making an Environmental Problem description;
6. Analysing the main environmental problems;
7. Identifying comparative advantages and opportunities;
8. Making an Opportunity Analysis;
9. Elaborating a sustainable development action plan/policy;
10. SEAN as an ongoing strategic planning process.

The steps can be grouped into four clusters:

a. steps 1-4 form the *man-environment context analysis and impact assessment*: the emphasis is on collecting information and assessing which part of the natural system is under stress (that is: where thresholds are bypassed); the main tools are inventories, statistics, RRA to collect information and establishing norms and thresholds.
b. steps 5 and 6 form the *problem analysis*: first the problems are described, and then the *'Problem in context analysis'* method is used to make so-called *actor's fields*. The procedure for this is that after a *problem* is chosen, the *causal activity* is identified (what is the direct cause of the problem?) and from there the *primary actor* (who undertakes the *causal activity?*). The *options* and *motivations* of this primary actor are analysed: does he/she have other options so that there would no longer be a

need to undertake the *causal activity*? What are the motives to choose either of these options? Next the *underlying factors* are identified; these are the factors which directly influence the motivation of the *primary actor*. These are in general of an abstract nature (population pressure etc.). From there the process is repeated, but now focusing on the underlying factors: which actor is causing these? These are called *secondary actors*. And what are their *options* and *motivations*? And what are the underlying factors of these? This process can be repeated three or more times.

c. steps 7 and 8 form the *opportunity analysis*: in step 7 the opportunities are identified and in step 8 they are analysed, again using the *Problem in context analysis* described above. Opportunities can be in the field of making better use of the environment, markets, institutions or local knowledge systems. Possible tools are Land Use Evaluations, Market Surveys, Inventory of Indigenous Knowledge Systems, Inventory of innovative individuals, Historical trends, etc.
d. steps 9 and 10 form the *strategic planning of a sustainable development action plan/ policy*. In step 9 a synthesis is made of the results of the previous steps and in step 10 the institutional setting for the further planning, monitoring and evaluation of environmental action plans is established.

Relation to project cycle and strategic level

It is hard to identify the place of SEAN within the project cycle. First of all it aims at providing an analysis which can be used to make strategic choices; based on these choices projects can be identified. Secondly, it takes several months or even a year or more to complete it. Therefore it is difficult to use it as part of the planning procedure of one particular project since the decision on funding this project would be too delayed. More often it will be financed with funds directly controlled by a donor and the results will be used to start up the identification and formulation of some projects. In these cases, the SEAN as such can be considered a small project, part of the planning cycle of the donor.

The comprehensive approach of an SEAN, including legal issues, national environmental policies, national price policies, etc., makes it most suited for use at the national level (for which it is designed) and the regional level (where it is most used in practice). It is not designed for use at community level and is too complex to be used there.

Resources needed

The reason to develop the SEAN methodology was the shallow analysis on which many choices (for sectors and projects) are based. To improve on this, highly qualified staff is needed, not only with expertise on environmental issues, but also on the facilitation of the process during which different organisations have to work together. A strong organisation is needed as a 'process owner' to initiate, support and facilitate the process (see also later).

The minimum requirement, with a strong organisation acting as process owner, seems to be three man-months of external expertise during a period of 12 to 18 months. The external expert must be well acquainted with the region/country concerned.

Strong points

The methodology is presented in a very well written paper, available in English, French and Spanish. It is comprehensive and seeks to analyse the many complex interrelations between the people, the organisations and institutions and their environment. It deals with environmental issues at all levels (physical, institutional, etc.). It explicitly recognises the need to consider the interests of people not represented in the planning process (e.g. future generations, outside communities), as well as values not directly represented by others (e.g. nature diversity).

In several instances the methodology forces people to make their choices or assumptions explicit. Although this is sometimes admittedly (very) difficult, it is a useful process as it makes clear what we do not know or what we do not want to estimate.

The best part of the methodology is the problem analysis (especially step 6). The tool used (the *problem in context analysis*) enriches the more common problem analysis as described in Paragraph 4.7. The strong point is that problems are not listed as abstract entities but are analysed as aspects of the day-to-day life of people. Problems become more realistic when they acquire a 'human face' and a motive.

The methodology pays explicit attention to monitoring and evaluation from the very beginning. The different types of indicators it distinguishes are very useful. However, the question who has to do the actual monitoring cannot be dealt with as this requires a level of detail in the planning which is not part of an SEAN.

Risks

Huge amounts of data are involved: for the first step only, a checklist of 80 issues is given and one is asked to describe in as much detail as possible the current situation/ historical trends/ future perspective/ norms standards or thresholds. With so much information a lot of expertise and experience is needed to be able to differentiate between irrelevant and important details. When this is not available, people easily get lost in the ocean of data.

Nowhere is the involvement of the local population made explicit. When they are mentioned they are seen as providers of information. For example, group discussions are seen as a good tool for establishing the priorities for the different environmental functions or establishing the norms for environmental functions. However, such a discussion is often sensitive and complex and in practice outsiders can only get reliable information on it when they are able to build up a trusting relationship with the target group. It is hard to see how this could be done within the framework of an SEAN.

At the institutional level, a coordinating body is supposed to be established but no final commitment of actors is sought. The draft report is discussed with the actors but no more than that. One reason given for this is that "the results of the SEAN mainly aim to generate an understanding that allows for maximum transparency of decision-making".

The identification of opportunities does not follow logically from the previous steps. The methodology correctly assumes that opportunities should not only be sought in trying to solve the problems previously analysed. Yet there is no indication of how to get beyond the 'here and now problems'. When it comes to economic opportunities the idea is that "the consulting experts and resource persons could identify promising initiatives" and "marketing surveys are very useful to consult and to carry out". So a series of new inputs is needed of different people and organisations.

SEAN can make optimal use of external experts specialised in environmental issues who have little time. However, to ensure this it has to be well prepared and strictly implemented and supervised. The danger is that too many issues are discussed while few are solved, let alone acted upon.

Issues concerning implementation in the SNV context

Having been developed for this purpose, SEAN provides a very good framework for planning within SNV at national level, e.g. as part of the multi-year planning of the field offices.

The SEAN documents explicitly address the issue of its usefulness in typical SNV areas. It rightly points out that in resource-poor areas, an SEAN might lead to a recommendation to shift the emphasis from conventional interventions in farming or pastoralism to such issues as off-farm income, agro-tourism, etc. Such a shift actually calls for an SEAN: only after a comprehensive analysis can one prove how interventions outside the rural areas can have a positive effect on the poor rural dwellers and reduce environmental problems in rural areas.

On the other hand the many data and studies required are often not available in resource-poor areas. Collecting them for the sake of an SEAN needs a strong process owner who can collect reliable, additional information without raising too many expectations about future projects/activities.

An important preconditions for a successful SEAN is a strong local organisation acting as owner of the process. It should be an organisation committed to environmental issues with some authority in the country/region concerned and some small funds to assist other organisations to overcome any small practical problems which may crop up during the exercise. Considering the required quality and independence of the analysis, cooperation with local universities seems logical. SNV is not a proper process owner, but its partner organisations can be. Without a clear process owner, SEAN risks being reduced to an internal SNV affair or to a series of workshops where participating organisations hope to get some funds to solve their problems.

The methodology is explained at a fairly abstract level; this is necessary in order to keep it applicable in the many different settings all over the world. Yet in marginal areas much attention is needed to translate it into more concrete terms: such a term as 'environmental function' needs more than a short explanation for most staff of SNV partner organisations, let alone farmers or other target group members. Yet it will remain a methodology for which external experts are needed; this, however, is not too bad: SNV wants to be more professional, and for the professionals involved the SEAN can provide an excellent standard.

In general the very strong point of SEAN (i.e. its in-depth and multidisciplinary analysis) makes it vulnerable to 'bad practices'. People might find some elements too complicated or 'not relevant to this situation', etc. The risks is that in the end they pick only those elements they know well and end up doing what they always used to do.

Literature

Barry Dalal-Clayton and Steven P.H.Bass (eds.) (first draft, Oct. 2001). *Taking a systematic and strategic approach to sustainability. A Resource Book for Strategies for Sustainable Development. OECD*. Compiled by the IIED. At http://www.nssd.net/index1.html one can find a draft version of this paper and all are invited to contribute to its completion.

Barton, T., Borrini-Feyerabend, G., de Sherbinin, A. and P. Warren (1997). *Our People, Our Resources. Supporting rural communities in participatory action research on population dynamics and the local environment*. IUCN, Gland, Switzerland and Cambridge, UK. It can be downloaded from: http://www.iucn.org/themes/spg/opor/opor.html

Borrini-Feyerabend, G. (ed.) (1997), *Beyond Fences: Seeking Social Sustainability in Conservation*. IUCN, Gland (Switzerland). Can be dowloaded at: http://www.iucn.org/themes/spg/beyond_fences/beyond_fences.html

Borrini-Feyerabend, G. (1999) *Collaborative management of protected areas: tailoring the approach to the context. Issues in Social Policy.* Social Policy Group, IUCN. To be downloaded via: **http://www.iucn.org/themes/spg**

Emerton, L. (1999*) Economic Tools for Environmental Planning and Management in Eastern Africa*. IUCN Regional Office for Eastern Africa (EARO), Kenya.

Espinosa, D. (2001). *Mainstreaming gender in conservation organisations*. Reflecting on IUCN's experience. IUCN. Can be downloaded via http://www.iucn.org/themes/spg

Hilhorst, T. (2000). Policy and best practice guide on integrated soil fertility management. It can be downloaded from: http://www.iied.org/pdf/Drylands_BestPrac.7.pdf .

OECD-DAC (2001). *Strategies for sustainable development. Practical guidance for development cooperation*. To be downloaded from: http://www1.oecd.org/dac/htm/g-sus.htm

SEAN newsletter. Published by AIDEnvironment and to be downloaded from: http://www.seanplatform.org

SNV (1997a). *Strategic Environmental Analysis (SEAN). A framework for planning of environmental care in development policies and interventions*. The Hague, SNV.

SNV (1997b) *Introduction to Strategic Environmental Analysis*. The Hague, SNV.

SNV (1997c). *District Environmental Strategy*. Insiza district. Zimbabwe.

SNV (1998). *Case study strategic environmental analysis: main results per step*. SEA case study of Atacora department in Benin.

SNV Albania (1998). SEA Reader. Background information.

Manuals

The complete SEAN methodology and a case study can be found on the SEAN CD-Rom distributed by SNV. The essential elements are include on the CD-Rom: CLICK HERE. In its physical form the SEAN Toolbox can be ordered at SNV, the Hague (info@snv.nl) at €50. A Spanish version is available from SNV Honduras (snvhoni@netsys.hn). The price is US $ 30.

SEAN aims to contribute to (the formulation of) National Strategies for Sustainable Development (NSSD). Presently a new resource book is being developed on how to come to a NSSD: it can be found on this CD-Rom under "*Strategies for Sustainable Development. Practical Guidance for Development Co-operation*". It was developed by OECD-DAC and can also be dowloaded from http://www1.oecd.org/dac/htm/g-sus.htm .

IIED and OECD work together on a related Resource book: Barry Dalal-Clayton and Steven P.H.Bass (eds.) (first draft, Oct. 2001). *Taking a systematic and strategic approach to sustainability. A Resource Book for the Development and Implementation of Strategies for Sustainable Development.* It can be found via http://www.nssd.net/index1.html where one can also give comments for a next draft.

As for participatory approaches to conservation, essential parts of Borrini-Feyerabend, G. (ed.) *Beyond Fences: Seeking Social Sustainability in Conservation* are summmarised and can be found on this CD-Rom: CLICK HERE.

Several comprehensive manuals are available for different environmental aspects:

Environmental Impact Assessment Training Resource Manual

The UNEP Manual provides general background on project EIA as part of a more complex system of strategic EIA, offers a format for training needs analysis which can be used regionally, nationally and locally, and draws on a bank of training materials. There is a short, practical introduction to course design and delivery, and examples of generic courses that can use these materials for a number of different audiences. A 'toolbox' of the most commonly used EIA methodologies is included.
http://www.ea.gov.au/assessments/eianet/unepmanual/manual/index.html

Guide for Environmental Appraisal

This guide, designed for DGIS staff, provides a practical, flexible and easy-to-use approach to environmental appraisal accompanied by supporting advice and information.

The core is the structured approach for deciding the extent of any environmental appraisal that may be needed in a specific development context. By using one of the three questionnaires, you will be able to analyse whether an environmental appraisal is needed and if so, which personnel resources and/or which tool you should use.
http://www.minbuza.nl/SubSites/Gea/index.htm

UNDP Environmental Management Guidelines

The guidelines propose a fairly simple methodology of exploring environmental impacts and opportunities. The 1992 version that can be accessed electronically has undergone a number of changes and a much more concise and updated version is currently under preparation. Also, based on experiences that doing separate assessments for environment, gender, etc. carries opportunity costs and that synergy and trade-offs do not easily come into the picture, UNDP has also been working on an Integrated Programming and Assessment Tool. http://www.undp.org/seed/guide/publication/publication.html

Resource centres

The SEAN Co-ordination Platform Secretariat is run by AIDEnvironment:
Donker Curtius str. 7-523,
1051 JL, Amsterdam,
the Netherlands;
e-mail: secr@aidenvironment.org

AIDEnvironment offers SEAN training and consultancy:
http://www.aidenvironment.org

A number of organisations work on the crossroads between Environment and Development. The most prominent ones are:

IUCN The World Conservation Union
Rue Mauverney 28
1196 Gland
Switzerland
Website: http://www.iucn.org

KIT Royal Tropical Institute
Mauritskade 63 (main entrance)
P.O.Box 95001
1090 HA Amsterdam
The Netherlands
Website: http://www.kit.nl

IIED International Institute for Environment and Development.
3 Endsleigh Street, London WC1H 0DD,
mailbox@iied.org.
Website: http://www.iied.org

IDS Institute of Development Studies,
University of Sussex,

Brighton BN1 9RE, UK
Website: http://www.ids.ac.uk/ids

UNEP P.O. Box 30552
Nairobi
Kenya
E-mail: cpiinfo@unep.org
Web site: http://www.unep.org

Websites

The SEAN Platform: http://www.seanplatform.org offers all relevant inforation on the (further development of) the SEAN methodology: the SEAN Newsletter, exchange of experiences, lessons learned, etc.

On conservation strategies: http://www.conservation.org/xp/CIWEB/home .Next to general conservation issues, interesting elements are Ecotourism and Conservation Investments.

The Website http://www.minbuza.nl/SubSites/Gea/index.htm gives a large number of definitions of methods and instruments used in relation to Environment and Development.

The Worldbank has a Website on environmental issues where they link international political agreements and treaties on Environmental isues and development issues in the third world: http://www.worldbank.org/environment .

The site http://www.iapad.org/links.htm provides a very good starting point for both participatory approaches as well as for environmental issues (forestry, biodiversity, etc.)

At http://www.acdi-cida.gc.ca/ea one can find an enormous amount of relevant literature. The excellent site http://www-trees.slu.se is part of the Forests, Trees & People Programme's of the FAO and the Swedish University of Agricultural Sciences. It gives access to a number of publications, acces to a large international Network working on (community) forestry and the online FTP-Newsletter (in English, French and Spanish).

At http://www.fao.org/waicent/search/default.asp one can search for FAO publications on all kind of subjects, including environmental issues. The general Eldis site gives a lot of opportunities to find literature on the link between environmental issues and development: http://nt1.ids.ac.uk/eldis

At http://www.indiana.edu/~iascp/Drafts/leach.pdf one find a recent paper on the institutional aspects of community based natual resource management.

8. Objective Oriented Project Planning

Background to the methodology

The OOPP methodology is widely used in development cooperation. Its roots lie in the American Logical Framework approach (the analytical part) and the Metaplan planning methodology (for the visualisation part).

Objectives

The basic objective of an OOPP is to improve the planning process by an in-depth analysis of the relevant actors, the problems, their causes and their effects. It develops a clear link between this analysis and the proposed project intervention.

Description of the methodology

The OOPP methodology is the most widely used as it is not confined to any specific subject. Its consists of four steps:

- analysis of all relevant actors (people, groups, organisations);
- analysis of all factors and the logical links between them (via a Problem Tree);
- analysis of possible solutions (via an Objective Tree);
- analysis of the alternatives; select the best alternative and develop a 'logical framework' for it, stating the objectives, the expected results, the objectively verifiable indicators, the assumptions, etc. (this is the base for the proposed intervention).

All this is done in workshops with relevant actors. A basic principle is that the discussion is visualised: ideas are written on cards, and these are hung on the wall, discussed and grouped.

The actor analysis (step 1) is done by inventorying all parties involved and clustering them into groups with a similar relation to the central issues to be discussed. Next they are characterised and their interests, motivation and potential are listed. Lastly the implications this has for the project planning is discussed.

The most time-consuming part of the methodology is the construction of a Problem Tree (step 2). First all participants write down on small cards all problems they perceive in relation to the theme of the discussion. The cards are then put on the wall and discussed one by one to see if all agree that it is a problem (double cards are removed). From all the cards a central problem is chosen. By asking 'What is the cause of this problem?' other cards which are direct causes of the central problem are placed under the central problem. By now asking what the causes of these second-order problems are, etc. all cards are hung under the central problem in such a way that they show the cause-effect relations of all known problems.

Thirdly, all problems are turned into objectives. This can be done by reformulating all negative conditions of the Problem Tree into positive conditions and disregarding the obviously impossible statements.

In the last step, the strategy is determined. One or more objectives are selected which are thought to be achievable. For these a Project Planning Matrix is filled in, specifying the overall objective, the project purpose, the expected results and the activities. For each of these it shows *how* we can verify *to what extent* the plans have been realised and what *assumptions* we have made during the planning process. It also shows the preconditions that need to be fulfilled in order to be able to start the project and the direct inputs (and their costs) needed for initiating the activities.

In practice no more than about 16 people can effectively participate in an OOPP session; if the group becomes bigger some participants will lose out in the process.

Relation to project cycle and strategic level

The OOPP is a general planning instrument that can be used at the planning stage of a project: in the identification, in the formulation or even in the initial stages of the implementation. It can be applied to all levels - from international to village level.

Resources needed

An OOPP can be done in a relatively short period. For simple projects or activities, a one-day seminar with all actors can do, although two days is better. For very complex projects, it can take up to a week.

Good facilitators are needed. Although it is useful for them to be aware of the main issues that will be discussed, this is not strictly necessary.

Strong points

The procedure is good for eliciting ideas from *all* the people participating. Since all can write their ideas (in the form of problems) on the cards and these cards are hung on the wall, it gives all present an equal opportunity to contribute to the final analysis.

By stressing the cause-effect relations of all problems, making a Problem Tree forces people to think of an integrated approach when it comes to solutions. It makes people realise that it does not make sense to solve one small problem on the huge Problem Tree without working on others as well.

Risks

Only the ideas of the people present are taken into account. If they have biased ideas on the actual situation in the field, the methodology turns their subjective ideas into 'objective' truths which can exert considerable influence throughout a project period. Therefore much attention has to be paid to the first step (analysis of the participants) and all efforts should be made to ensure that the right people take part. In some situations one can keep a record of who contributed what to the analysis by writing the contributions of different actors on cards with different colours (e.g. problems mentioned by farmers are written on white cards and those identified by researchers on blue cards).

Another difficulty is in the conceptual field: what is a problem? Special attention should be paid to the question whether a problem is a real problem rather than the absence of a possible solution. 'Farmers use little fertiliser', for example, is not a problem as such. The problem is low soil fertility, and one of the solutions can be fertilisers. If the statement 'farmers use little fertiliser' is allowed to be placed on the Problem Tree, it can prevent the identification of other solutions (e.g. crop rotation, organic manure, green manure) to the soil fertility problem. Therefore the problem of 'low soil fertility' should be entered first, after which 'farmers use little fertiliser' can be added as *one* of the causes of this problem. This issue can lead to many semantic discussions. One could postulate that humans only perceive a problem when they are aware of a possible solution. In any case the facilitator must always be keen to keep the discussions open and practically oriented.

A too close focus on problems can also lead to the neglect of possible opportunities that exist alongside the problems. This can be partly solved by allowing people to mention opportunities during the making of the Problem Tree, which are then written on cards of another colour. Also the issue of 'farmers use little fertiliser' mentioned above can be solved by turning it into an opportunity; however, other possibilities for solving the problem of low soil fertility will then have less chance of being identified.

Issues concerning implementation in the SNV context

The OOPP methodology is applicable in every situation as long as all participants are literate. However, it only reveals and structures the ideas the participants have when they come to the meeting. Just starting a project with an OOPP is dangerous as it transforms the perception of the participants into a kind of 'absolute' or 'objective' truth which can, once written down in the project document, deeply influence the design of projects and activities. Since in marginal areas the perception of outsiders (including GO and NGO staff) of rural life is often biased, it is advisable to either have many participants of the target group involved or make sure that the participants of the OOPP sessions have been confronted with the real-life situation (e.g. in an RRA) before a Problem Tree is made and Log Frames are constructed in cooperation with them.

In general one should not underestimate the difficulties most people have with the formal logic of the method. People in resource-poor areas can have other ideas of what is logical and how things in the real world are related. Most members of the target group and the staff of intermediate organisations will need to be trained in the methodology before they can participate effectively in it.

Literature and Manuals

The TEMPUS Handbook on Objective Oriented Project Design and Management provides a very practical gude on how to use the OOPP methodology. It can be found on this CD-Rom (CLICK HERE) as well as via http://www.etf.eu.int/etfweb.nsf/pages/tacishan .

The EU Manual on Project Cycle Management sghows how the OOPP can be integrated in a general PCM. It is available in PDF format on this CD-Rom (CLICK

HERE) and can also be downloaded from:
http://www.europa.eu.int/comm/europeaid/evaluation/methods/pcm.htm

GTZ has published several relevant articles and manuals, inter alia: *Project Cycle Management* (PCM) *and Objective Oriented Project Planning Guidelines* (1996). GTZ. Eschborn, Germany. At http://www.gtz.de/pcm/download/english/pcmleitfaden-e.pdf the english version can be dowloaded. French, German and Spanish manuals can also be downloaded from the GTZ website: http://www.gtz.de . The French version can be found on this CD-Rom: CLICK HERE.

South research made a video: 'It is not us', on Objective Oriented Intervention Planning in Zimbabwe.

Resource centres

MDF Management for Development Foundation
P.O. Box 430,
6710 BK,
Ede,
the Netherlands;
E-mail: MDF@MDF.nl;
Website: http://www.mdf.nl

Case study

MDF provided a very clear training hand out on how to work with the Logical framework and a case study.

The Logical Framework

1 Introduction

The logical framework is a set of related concepts that describe in an operational way the most important aspects of an intervention. The description is presented in the form of a matrix. It enables to verify whether the intervention has been well designed. It also facilitates improved monitoring and evaluation.

Figure 1

The format of a logical framework

	Intervention logic	Objectively verifiable indicators	Sources of verification	Assumptions
Overall objective				
Project purpose				
Intermediate results				
Activities		Means	Costs	
				Preconditions

The logical framework is a way of presenting the contents of an intervention. The objectives, results, activities and their causal relationships are presented systematically in the first column of the matrix (**vertical logic**). Establishing a logical framework is only possible after thorough analysis of available information (problems and opportunities).

In addition to the logic between objectives, results and activities, external factors (assumptions) that influence the results and objectives of the intervention are also included in the fourth column.

The objectives, results and activities are more precisely described by means of indicators (second column). To be able to obtain the necessary information for measuring the indicators, 'sources of verification' are described as well (third column). Means and costs to realise the activities are presented in the activity row (fourth row).

The matrix is concise, easy to apply in documents and lessens the workload of several people at the different phases of the project cycle.

2 Description of the Logical Framework

The logical framework is a matrix of four vertical columns and four horizontal rows.

2.1 First column: logic of the intervention

Overall objective: a high level objective to which the intervention will contribute (e.g. overall sub-sector objectives). Other interventions and activities will also contribute to the realisation of this objective.
Project purpose: the objective to be reached by the intervention. There should be a fair chance that this objective will be realised on a long-term basis (after the project). Sustainable benefits for the target groups are always the underlying purpose of the project.
Intermediate results: products of activities undertaken. The results together will lead to the realisation of the project purpose.
Activities: the activities that have to be executed in the intervention in order to reach the intermediate results.

2.2 Second column: objectively verifiable indicators

The second column contains the **objectively verifiable indicators**. The indicators present an operational description of the elements of the intervention logic, in terms of target groups, quality, quantity, place and time. The indicators are in fact a precise definition of objective, purpose and results. The physical and non-physical **means** (inputs) necessary to carry out the activities are placed in the 'activities' row (fourth row).

2.3 Third column: sources of verification

The third column contains the **sources of verification**. The sources of verification state how/where the realisation of the objective, purpose, results and activities (made operational through the indicators) can be verified. The **costs** of the intervention and the sources of funds (government, etc.) are placed in the 'activities' row (fourth row).

2.4 Fourth column: assumptions and preconditions

The fourth column contains the **assumptions** that are outside direct intervention control, but very important for the realisation of the intermediate results, the project purpose and the overall objective. For example: 'no sabotage of irrigation system' is an external factor which decisively determines whether one of the intermediate results will sustainably contribute to the project purpose. If - without additional measures - it is unlikely that rivalling tribes refrain from sabotage, the assumption is considered a 'killer' assumption. It will then be necessary to review this part of the project conception and - for example - to require from the government that a 'programme for tribal reconciliation is launched'. The actual launching of such a programme may be put as a **precondition**. Preconditions have to be complied with before the start of the project and are placed in the lowest cell of the 4th column.

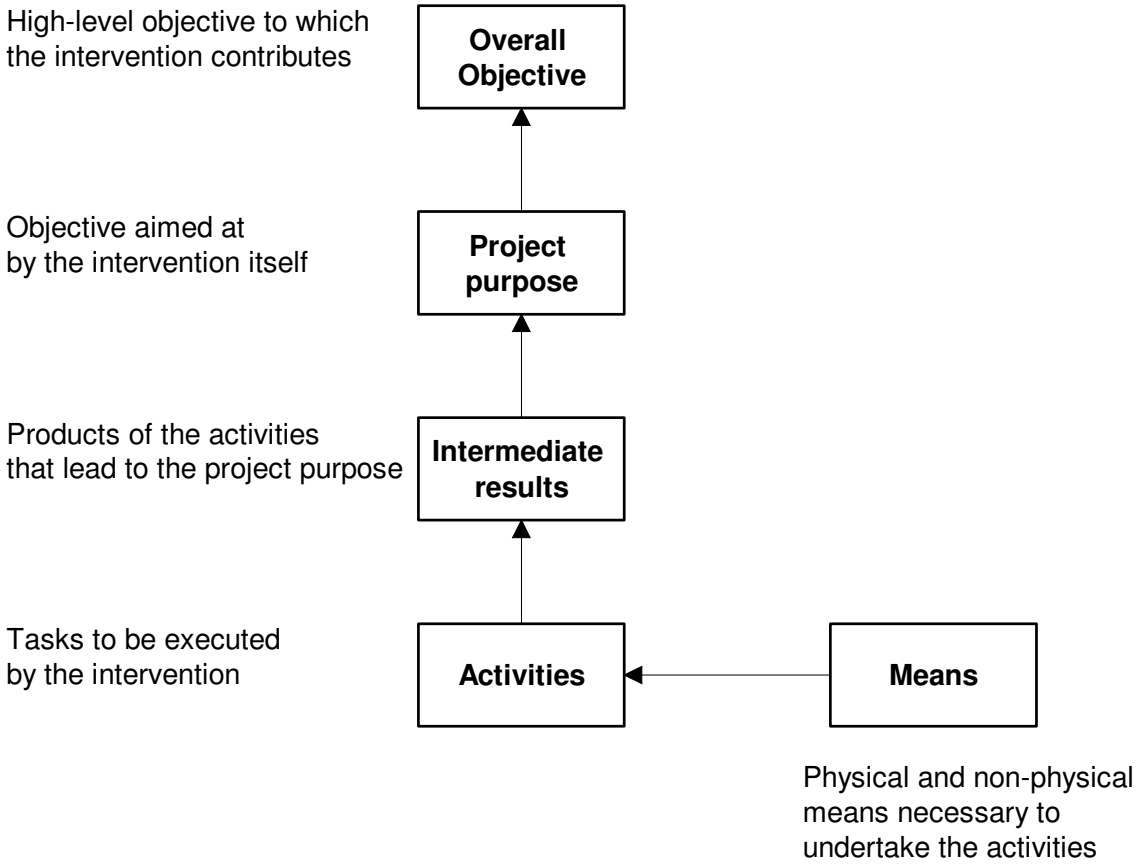
3 The intervention logic

3.1 Definition

The first column contains the intervention logic, which is the basic strategy underlying the intervention. It contains the positive states to be realised by the intervention as well as the overall objective to which the intervention is to contribute.

- Through the availability of the means, activities can be undertaken.
- Through the activities, intermediate results are achieved.
- The intermediate results will lead to the project purpose.
- Through the project purpose, the intervention contributes to the overall objective.

Figure 2



4 Assumptions

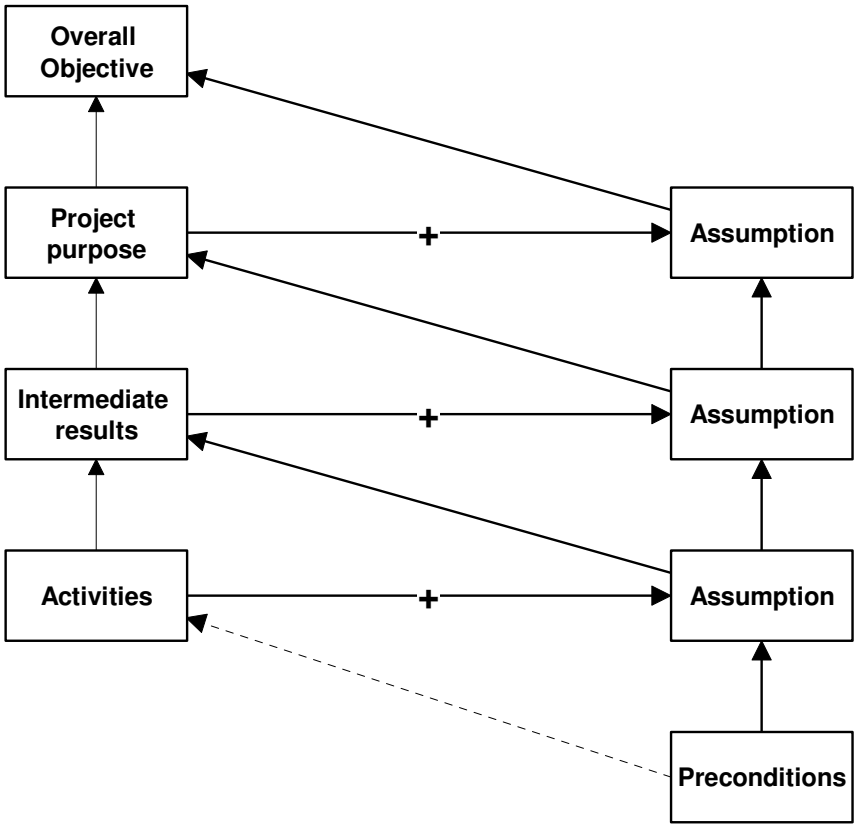
4.1 Definition

Assumptions are those external factors for which the intervention is not responsible, but that need to be complied with in order to realise the overall objective, the project purpose and the intermediate results respectively.

Assumptions are the answer to the question: "Which are the external factors that are not influenced by the intervention but affect the realisation of the intervention significantly?"

In the logical framework, they are presented as follows:

Figure 3



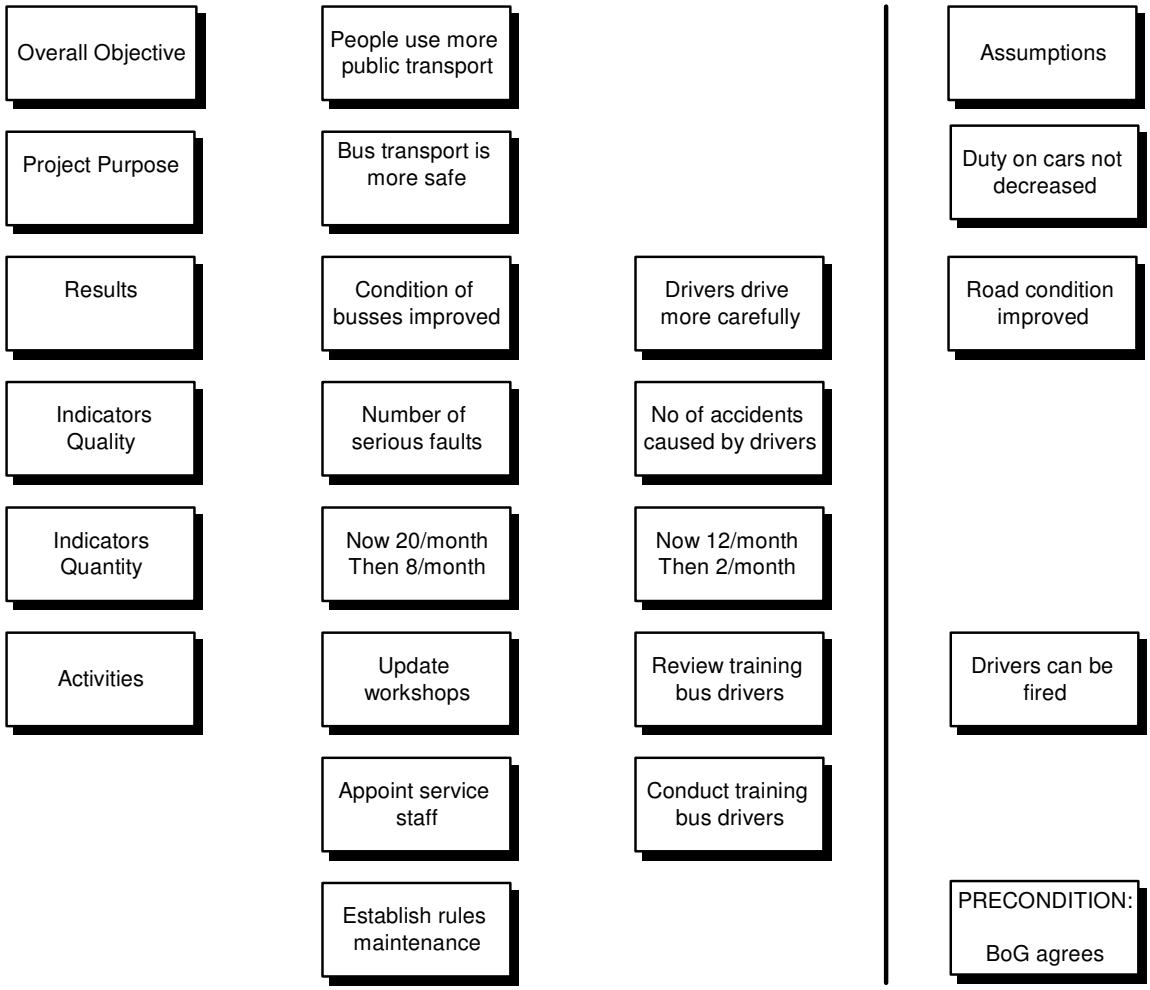
This scheme reads as follows:

- if the preconditions are complied with, then the activities will be started;
- if the activities are realised, and if the assumptions at the activity level are complied with, then the intermediate results will be realised;
- if the intermediate results are realised, and if the assumptions at the result level are complied with, then the project purpose will be realised;
- if the project purpose is realised, and if the assumptions at the project purpose level are complied with, then the overall objective will be realised.

Figure 4 shows a (simple) logframe for an imaginary bus company. The presentation of the intervention logic is different from that one in figure 1: the results for example are not placed vertically but horizontally, with the activities vertically under each result. The indicators for the result (according to the official format of figure 1 they should be the second column) are placed horizontally.

Figure 4

Logframe bus company



Trainer notes Demo case Bus Company

Background situation
The bus company we are talking about is a owned by a municipality. The municipality, comprising a city and surrounding villages/suburbs. has about 500,000 inhabitants. The distances between North and South and between West and East are 30 and 40 km respectively.

At present, the company is not run as a commercial firm and is highly dependent on the annual subsidy it receives from the city council. The subsidy is approximately 35% of the total turnover. However, the city council wants to get rid of this subsidy and is of the opinion that the bus company should be able to cover its own costs completely. The bus company's management is given the assignement to transform the company into a commercial firm with the perspective to make a profit within 5 years from now.

If the bus company comes up with a sound plan, the city council will assist in finding external technical and financial assistance for this transformation process.

The General Manager of the bus company decides to organise a workshop to develop a plan that will make the company profit-making.

Entity
Entity: Starting point of the workshop is an analysis of the problems causing the present poor financial performance of the bus company.

Parties in the workshop
Parties in the workshop:
- 2 representatives of the bus company's management
- 2 representatives of the bus company's employers organisation (drivers, mechanics)
- 2 representatives of the city council
- 2 representatives from the Public Transport Consumers Association.

Scoping
The main criterion in the demo case is: capacity/expertise of the bus company. This means that the only cluster that will not be taken up in the project is Roads.

Intervention logic

Project Purpose:	The first card covering the chosen clusters is: Buses arrive in time. However, this objective does not have an element of use or benefit by the beneficiaries. So, this objective is not suitable (white eliphant: wat is the use of buses arriving in time if they are empty?). Therefore, the objective one position higher is chosen: Number of bus passengers increased.
Overall Objectives:	The one most in relation to the entity is: Earnings of bus company have increased. Still, reaching the PP also has an

other beneficial side effects: Traffic jams decreased (as more people take the bus instead of their own cars)

Activities: A few can be taken from the OT. The rest needs to be brainstormed.

Assumptions & Preconditions
The only assumption that becomes clear from the OT is: Roads are maintained.

Pre-condition: Agreement with minicipality about licences and price increase: two issues on which the bus company cannot decide on its own, but needs the approval of the city council. These issues are considered crucial for successful project implementation. Therefore, the bus company is of the opinion that it needs city council's consent before the start of the project.

Indicators
See also detailed example for formulation of indicator for result 3: Drivers behave client friendly.

9. PRA, PLA and Participatory Learning &Action

Although RRA and PRA/PLA are fundamentally different methods (see below), they are included in one File because much of the literature and resource centres overlap.

9.1 Rapid Rural Appraisal

Background to the methodology

In reaction to the shortcomings of structured surveys, at the end of the 1970s and in the beginning of the 1980s a series of methodologies were developed to help outsiders understand rural life better in a short time: 'sondeo', rapid reconnaissance, exploratory surveys, informal methods, informal agricultural survey, etc. Their basic feature is 'organised common sense'. Finally, Rapid Rural Appraisal emerged as the most widely used methodology for outsiders to learn about rural life.

Objectives

The objective of an *exploratory RRA* is that outsiders gain qualitative insight into the daily life of different groups in rural areas. The understanding is not sought in the first place by collecting data, although that is part of the process.

Topical RRAs are used to answer a specific research question; for example, what is the position of women in the community, or how do people cooperate in the community?

Description of the methodology

Rapid Rural Appraisals are based on the following principles:

1. quick and cost-effective;
2. multidisciplinary teams (at least social and technical sciences being present);
3. optimal ignorance: don't collect more information than strictly needed; as far as possible the information should come from the people themselves;
4. triangulation: in order to ensure that the crucial information is valid, information from one person is checked by seeking it from another person as well;
5. observations in the village, the houses and the fields are seen as a valuable source of information.

The central idea is that a group of outsiders spends some time in a village and has informal and open dialogues with the people on (all) aspects of their daily life. The group works with (interdisciplinary) teams of 2-3 people who exchange their experience every evening and identify gaps in their understanding. Profiles are made of the respondents (e.g. old/ young/ male/ female /rich /poor /etc.) in order to be better able to understand their ideas. The following day, the composition of the teams is changed and the dialogue with the target groups is continued. A series of

tools have been developed to facilitate the interaction between the team and the people. Most commonly used are:

- *semi-structured interviews:* an informal dialogue with farmers, loosely structured by a check list of issues the team wants to address;
- dialogues with *key persons* or *local experts*: the importance of the first is based on their (formal) position and of the latter on their expertise/skills;
- transect walks: walking with a (small) group of villagers along a transect, e.g. from the top of the hills to the centre of the village in the valley;
- group interviews.

A complementary standard tool is the analysis of secondary data.

Relation to project cycle and strategic level

Exploratory RRAs are mostly done during the identification stage of a project when the broad lines of a project have to be defined. *Topical RRAs* can be used during the initial stages of the implementation of a project. It is possible to use RRAs for monitoring purposes or in the evaluation phase of a project, but this is not common.

Resources needed

When outsiders are involved, a period of two weeks is the minimum; three weeks is better, especially if the area is heterogeneous and access difficult. Since the used communication techniques are often new to many of the team members, it is important to take at least two days to train them before going into the field. When external experts are involved, they need to come at least one week before the RRA starts, in order to get a feeling for the situation.

When an RRA is done by regular, experienced staff it is possible to do it in one week, specially when the research topic is well specified and the area is not too heterogeneous.

Strong points

RRA delivers what it set out to do: it assists outsiders to gain insight into the daily life of the members of the target group and their problems and opportunities. Using a series of tools it is able to deliver fairly reliable information in a cost-effective way.

In RRAs the target group is given a voice: they become the experts who explain their ideas and their knowledge to outsiders. The 'dead' and impersonal information of surveys is replaced by personal stories from the people concerned.

Risks

The tools used during RRAs assume that local people are willing to provide the information requested, but in practice people can have several reasons not to do so:

- they can be afraid of all kinds of political complications;
- they can be short of time to explain everything;
- they can be afraid of having to pay taxes;

- they can give desirable answers in order to please the enumerators ('those poor guys who seem to know nothing should not be given too complex answers');
- they can give those answers which they think will assist them to be among the beneficiaries of expected projects (not only the project doing the RRA!);
- they can be afraid to show they do not understand a question or do not know the answer, and so they just make up an answer.

Indeed, these are the same as listed in for structured surveys. There is no reason to assume that with RRAs these problems are less serious than with surveys. In comparison with surveys, RRA teams have a better chance of overcoming these problems. They have more time and possibilities to:

(a) put the farmer at ease (especially by using non-verbal communication);
(b) show interest in what (s)he does, e.g. by taking some soil or anything else with a low social value and examining it together;
(c) discuss things that they observe;
(d) adjust the dialogue to the specific interest of the farmer;
(e) cross-check crucial answers of one respondent with that of another.

Although the much used semi-structured interview offers many more possibilities to enter into a normal dialogue than pre-coded questionnaires, the initiative is still with the visitor. Many semi-structured interviews start with such questions as 'How many children do you have and how much land?'. With these questions the respondent will start to wonder what the expert is going to do with this information. The information as such is meaningless. If there are 8 children and 3 hectares of land, does this mean the family has a shortage of land? In some situations, yes, in others, not at all. So let the farmer talk freely and she will elaborate herself on this issue when she thinks it is relevant.

Often there is only a weak link or no link at all between the results of an RRA and the follow-up activities of projects. Experts can always find reasons to continue doing what they have always done. Since there is no feedback to the people who have been interviewed during the exercise, nobody will ever notice.

The simple fact that an RRA took place raises expectations in the community that they will profit from future project activities, which might not be the case.

The results of RRAs can be misleading when the people whom the teams have met are not representative of the total target population. The following biases are often found:

- more men than women are seen;
- villages close to central towns or good roads are selected;
- better-off farmers are visited more often (they have the time, they do not migrate, they live near the road, etc.);
- farmers involved in projects or applying new technologies are visited more often.

All in all, the weak points in the way RRAs are too often implemented lead critics to the conclusion that RRAs are indeed much quicker and cheaper than the lengthy surveys they have replaced, but that the quality of the results is all too often not much better. In practice many RRAs are still 'extractive'; information is gathered in the

villages and the analysis is done elsewhere by experts. Critics conclude that the quality of an RRA highly depends upon the expertise of the individuals carrying it out.

Issues concerning implementation in the SNV context

Variability in poor areas is very high. In a survey in Africa, the main source of off-farm income in 10 villages surrounding a major town was different for each village! However carefully one may select some of these villages for an RRA, the results might not be applicable even in the next village. The same goes for the variation between years.

On the other hand, RRAs can be useful in poor areas where few (if any) reliable data are available. The main problem is not the methodology as such, but the way it is too often implemented. People should be trained in communication techniques before starting an RRA. Ideally, outsiders should restrict themselves to structuring the dialogue according to three direct key-questions only:

1. what has changed over the last few years and what will change in the coming years?
2. what problems are the family facing?
3. how do they think they can solve or circumvent these problems in the future?

More detailed issues should be explored during the dialogue by further probing into the answers given to these key questions. Good probing is a skill which can be mastered only through training and practical experience. It is important to ask people how they think they will solve their problems as this makes it clear that they themselves are primarily responsible for taking action.

Another important issue in the implementation is that one should ensure beforehand that the results of an RRA will actually be translated into an action plan, otherwise the idea will develop that whatever people say, the experts know better.

9.2 Participatory Rural Appraisal

Background to the methodology

At the end of the 1980s, Participatory Rural Appraisal was developed in response to the too mechanistic and extractive implementation of RRAs. In PRAs the target group is encouraged to learn and the role of outsiders is reduced to a facilitator of the learning process.

Objectives

PRA aims to empower local people by encouraging them to share, enhance and analyse their knowledge of life and conditions and to plan, act, monitor and evaluate.

Description of the methodology

As with RRA it is hard to define what exactly a PRA is (some even prefer not to define it and just refer to "a family of approaches"). PRA shares the basic principles of RRA (quick, multidisciplinary, observations, etc.), yet now it is the local people who are encouraged to analyse their own situation and plan activities to improve it.

The three basic pillars of PRA (and the basic differences from RRA) are:

1. the behaviour and attitude of outsiders, who facilitate rather than dominate;
2. the methods, which are open, group-oriented, visual and comparative;
3. sharing of information, food, experiences, etc. between in- and outsiders.

For the tools used, two issues stand out:

1. *'Handing over the stick':* instead of outsiders trying to understand the *knowledge* of the local people, PRA tries to facilitate local people to develop their *capabilities*. They collect and analyse the data and propose actions to be undertaken.
2. *Visualisation and sharing:* local people convey their ideas and knowledge in a visual way. In verbal communication, outsiders dominate the dialogue more easily (via eye contact, cross-checking, etc.) than in communication via visual aids. When a map is drawn by a stick in the soil all can contribute, and local people feel more confident than when outsiders try to draw a map on a piece of paper with a pen - a typical tool of powerful outsiders. Sharing also explicitly involves the food and shelter during the PRA.

The most commonly used tools are:

- *participatory mapping*: a group of villagers makes a map of the community. The way they do this and what they find important provide good entry points for discussions about crucial aspects of village life;
- *village transects*: together with a (small) group of villagers the team walks through the village (or another relevant area) and discusses the things observed;

- *ranking*: people are asked to compare units (e.g. families /trees /crops) and to group them according to their own criteria. For example, via pair-wise comparing the importance of certain trees, people find out which criteria they use to assess the usefulness of these. Ranking is also used to stratify the local population, e.g. via wealth ranking. Both the results of the ranking and the criteria used provide entry points for further discussions.
- *historical recalls*: the lifestory of families are recalled and the main events are used as reference points in the analysis of the present situation;
- *calendars*: people indicate how things change over time, e.g. in which months they have to borrow money, when their children get malaria, when the rains are normally expected, etc.

Combining information obtained from all the tools provides the villagers with an explicit picture of their daily life. This not only helps them to start a discussion on their main problems and how to tackle them, it also boosts their self-esteem because they are able to make this analysis themselves.

Relation to project cycle and strategic level

Since PRA seeks to assist local people to plan, implement, monitor and evaluate their own action plans, in theory PRA should be used only during the implementation of a project. Since PRA aims at people taking action themselves it is most suited for the community level.

Resources needed

The time used per community is usually 3 to 7 days. For follow-up, much more time is needed. If one is serious that a community should take action based on the PRA, one should be available for at least one or more years in order to facilitate the desired changes, if the community asks you to do so.

Experienced manpower is needed for a PRA; the facilitators should be very thoroughly trained. Since a PRA requires a change of attitude on the part of most extension agents or similar field staff, a short training period of one week or so will not be sufficient.

Not much money or many materials are needed.

Strong points

PRA presents a major step forward from RRA. Local people do the analysis and plan for the future. Their own values, needs and priorities are the point of departure. They themselves develop criteria to classify aspects of their life. This not only leads to a better understanding of the situation (for both the in- and the outsiders) and therefore increases the chance for realistic plans, it also generates a much higher commitment of the people to the planned activities.

The many different perspectives on daily reality and the visualisation offer good opportunities to go beyond the most obvious and dominant points of view in the com-

munity. The only warning here should be that too much attention to group discussions/activities might enable some groups to dominate the discussion.

The methodology is open to modification; everybody can develop new tools and new ways of organising things. This makes PRA applicable in a very wide range of situations. Indeed, it has been used in both rural and urban areas, both in developing countries and industrial countries, in agriculture, in health care and in social programmes.

PRA can also be used to collect data; local people are able to generate and/or collect reliable data which they themselves analyse and use for planning.

Risks

As with RRA there is still a major problem with defining what a proper PRA is and how it should be implemented. The debate on this is lively and as yet unresolved. The social scientists who developed it are invariably disappointed when they see how PRAs are implemented by others. There is quite a lot of literature on what is called 'bad practice'. The social scientists call for a reversal in the thinking of professionals (read 'technical experts'), but apparently have not yet managed to reach their target group.

The following 'bad practices' should be mentioned:

- PRAs are implemented mechanically; the tools are used, but the attitude of the staff and the organisations involved has not been changed;
- the technicalities of problems are taken as crucial, leaving out socio-political issues;
- local diversity is ignored, both in technical issues (e.g. soil units) as well as in social issues (e.g. the different interests of the different social groups in the village tend to be played down in the process);
- a specific aspect of the previous point is that gender issues are often insufficiently taken into account (this issue is addressed in a number of recent publications: Akerkar (2001), Bell and Brambila (2000), Cornwall (2000), Groverman (1992), Guijt and Shah (1998), IUCN (2001));
- local knowledge is often inventoried but not actually used;
- there is hardly any relation between the PRA and the follow-up;
- the team is dominated by outside experts in PRA, leaving the (local) project staff with a report full of good intention but little practical meaning.

These issues are interlinked: too often PRAs are isolated activities. They are not part of a personal and institutional change in attitude towards development and empowerment of the people. The potential of PRAs can only be used within the context of a wider participatory strategy. It is one thing to conclude in a PRA with the villagers that the village leadership is poor, but quite another to facilitate the people in improving it. In PRA literature few tools are found which could be used in translating the analysis into an action plan. Unfortunately the same applies to the newly coined term Participatory Learning and Action (PLA) which is used more and more as a synonym for PRA.

Some critics stress that PRAs are still culturally dominated by the outsider's wish to learn; Mosse (in Okali et al.) sums up:

- notions of informality are culturally defined and situation specific;
- paraphernalia of PRA (charts, maps) may mystify rather than entice participation;
- visual tools are very attractive for outsiders who do not understand the language;
- the collective events emphasise the general rather than the specific, which might be more interesting;
- most PRAs are too technique-led (despite the opposite rhetoric).

In terms of content, PRAs tend to have an 'inward focus'. Much attention is paid to local problems, while issues of a larger scale can easily be forgotten even if these are very important (see a.o. Sellemna, 1999).

Issues concerning implementation in the SNV context

PRA requires people who are well trained in communication skills and in technical issues. Although one can wonder to what extent expatriates fulfil this requirement, for the field staff of counterpart organisations in resource-poor areas this is even more doubtful. In the educational system of most developing countries, communication and analytical skills are hardly taught. This means that whenever one embarks on a PRA a thorough training of the staff is needed. This should be 'on the job training' as the very nature of a PRA does not allow for 'extractive' training; everything must be done to ensure that no PRA is carried out without a proper follow-up.

Literature, manuals and websites

Literature

Agricultural Administration Vol. 8 (1981). The total Volume of this magazine was dedicated to the then new methods of RRA, Sondeo and the like. Contributors were a.o. Chambers, Hildebrand, Carruthers, Swift, Stocking and Collinson.

Akerkar, S. *Gender and participation. Overview Report*. IDS. Available on http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Bauer, E. & V. Hoffman (1995). *Participatory Rural Appraisal - a tool for extension? Potentials and Limitations*. Twelfth European Seminar on Extension Education, Thessaloniki, 1995.

Bell, E. and P. Brambilla (2001). *Gender and Participation - Supporting Resources Collection*. Can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Blackburn, J. and J. Holland (eds). (1998) *Who changes? Institutionalizing participation in development*.London, UK. IT Publications.

Blackburn, J., R. Chambers and J. Gaventa. (2000). *Mainstraiming Participation in Development.* OED Working paper no.10. Worldbank. Washington, USA. Can be downloaded from:

Burkey, S. (1993). *People First. A guide to self-reliant, participatory rural development*. London, Zen Books.

Carmen, R. (1996). *Autonomous development. Humanizing the landscape. An excursion into radical thinking and practice*. Zed Books, London, UK.

Chambers. R. (1983) *Rural development: putting the last first*. Longman, London.

Chambers, R. (1992). *Rural Appraisal: Rapid, Relaxed, and Participatory*. Institute of Development Studies Discussion Paper 311. Sussex: HELP.

Chambers,R. (1993). *Challenging the professions. Frontiers for rural development*. London, IT publications.

Chambers, R. (1997). *Whose reality counts?* IT Publications. London, UK

Clayton, A., P. Oakley and B. Pratt (1997). *Empowering People - A Guide to Participation*. UNDP. To be downlaoded from http://www.undp.org/csopp/paguide.htm

Cornwall, A. (2000). *Making a difference? Gender and participatory development. IDS discussion paper 378.* Can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Egerton University (1995). *PRA Field handbook for participatory rural appraisal practitioners.* Njoro Kenya.

Groverman, V. (1992). *Rapid Rural Appraisal / Participatory Rural Appraisal. A tool for a gender impact study*. Amfersfoort DHV consultants.

Gueye, B and K. Schoonmaker-Freudenberger (1991). *Introduction a la methode acceleree de recherche participative (MARP), Quelque Notes Pour Appuyer Une Formation Pratique.*

Guijt, I. and A. Cornwall (1995). *Critical Reflections on the Practice of PRAs*, Participatory Learning and Action notes 24, London: IIED

Guijt, I. and M.K. Shah (eds) (1998) *The Myth of Community: Gender issues in participatory development.* London: Intermediate Technology publications

Harkes, I. (1995). *How participatory is a PRA. Paper on PRA and Gender*. Leiden. Leiden University, Institute of Cultural Antropology.

Holland, J. and J. Blackburn. (eds). (1998). *Whose voice? Participatory research and policy change.* London, UK. IT Publications.

Holtland, G. (1997). *Basic skills in participatory extension planning. Training manual and Trainer's guide*. Stoas. Wageningen, the Netherlands. Can be ordered via geh@stoas.nl

IIED. Sustainable Agriculture Program. 1991-present. *RRA Notes* (now titled *PLA Notes*). United Kingdom.

IUCN (2001). *Seek... and Ye Shall Find: Participatory Appraisals with a Gender Equity Perspective*. Module 2 of the ORMA modules towards Equity. Can be downloaded from http://www.iucn.org/themes/spg

Jones, E. (2001) '*Of other spaces: situating participatory practices: a case study from South India*', IDS Working Paper 137. At: *http://www.ids.ac.uk/ids/bookshop/wp/wp137.pdf*

McCracken, Jennifer A., Jules N. Pretty, and Gordon R. Conway. 1988. *An Introduction to Rapid Rural Appraisal for Agricultural Development*. London: IIED.

Mikkelsen, B. 1995. *Methods for Development Work and Research: A Guide for Practitioners.* Delhi: Sage Publications.

Molnar, A. (1989). *Community Forestry, Rapid Appraisal.* Community Forestry Note 3, FAO 1989 (FAO/SIDA Forest, Trees and people Programme).

PLA Notes 34 (1999) *Learning from analysis*. IIED. All *PLA notes* can be ordered via http://www.poptel.org.uk/iied/bookshop/sd_spla.html . For partners in the South it can be free of charge.

Pretty, J.N, I. Gruijt, J. Thompson & I. Scoones. (1995). *Participatory Learning and Action. A Trainer's Guide*. IIED, London, UK

Rhoades, R.E. (1980). *Some notes on the art of informal interviewing*. CIP. Memeo.

Schmidt, P., C. Etienne and M. Hurlimann. (1998). *Participatory Extension. Insights from three agricultural development projects in Africa.* LBL, Lindau, Switzerland.

Scoones, I. & J. Thompson (eds.) (1994*). Beyond the farmers first. Rural people's knowledge, agricultural research and extension practice*. Intermediate Technology Publications. London, UK.

Sellamna, N-E. (1999). *Relativism in agricultural research and development: is participation a post modern concept?* ODI- Chameleon Press, London, UK

Schoonmaker-Freudenberger, K. (1998). *The use of RRA to inform policy: tenure issues in Madagascar and Guinea.* In: Holland and Blackburn, 1998.

Slocum, R., L. Wichhart, D. Rocheleau & B. Thomas-Slayter. (1995). *Power, Process and Participation. Tools for change*. IT publication, London, UK.

Srinivasan, L. *Tools for community participation. A manual for training trainers in participatory techniques*, PROWESS/UNDP, World Bank Water and Sanitation Programme, Washington, USA.

Theis, J. and H. Grady (1991). *Participatory Rapid Appraisal for Community Development. A training manual based on experiences in the middle East and North Africa*. IIED, London

Video's:

- Poverty Experts, World Bank 1998 Tanzania; applying PRA tools
- Participatory Research with women farmers, ICRISAT, India
- Questions of difference: PRA, gender and environment. A training video. IIED, 1995
- PRA People and Process, IDS, Brighton, UK

Manuals

The most practical and comprehensive manual for PRAs is: Pretty, J.N, I. Gruijt, J. Thompson & I. Scoones. (1995). *Participatory Learning and Action. A Trainer's Guide*. IIED, London, UK

The World Bank Participation Sourcebook (including case studies from 22 countries) is available from: http://www.worldbank.org/wbi/sourcebook/sbhome.htm

Another comprehensive manual is: Clayton, A., P. Oakley and B. Pratt (1997). *Empowering People - A Guide to Participation*. UNDP. It can be downlaoded from http://www.undp.org/csopp/paguide.htm

Resource centres

The RRA methodology was developed by the Institute of Development Studies at the University of Sussex:

IDS Institute of Development Studies,
University of Sussex,
Brighton BN1 9RE, UK
Telephone: +44 (0) 1273 606261
Fax: +44 (0) 1273 621202/691647
Website: http://www.ids.ac.uk/ids
IDS offers a range of short and long term courses on participatory development.

Later the International Institute for Environment and Development (IIED) took the lead and published *RRA Notes (now PLA notes)*, in which many new ideas about PLA are published.

IED International Institute for Environment and Development.
3 Endsleigh Street, London WC1H 0DD
e-mail: mailbox@iied.org
website: http://www.iied.org

Many other institutions offer training and consultancies in PRA related methodologies, for example:

KIT Royal Tropical Institute
Mauritskade 63 (main entrance)
1090 HA Amsterdam
The Netherlands
website: http://www.kit.nl

Websites

The websites of IDS (http://www.ids.ac.uk) and IIED (http://www.iied.org) are good starting points on the web. On the IDS website on participation several recent studies can be found and downloaded: http://www.ids.ac.uk/ids/particip/information/recentpubkn.html . This site can be approached from different other Websites and in this way different recent publication turn up. The IDS Working Paper series is extremely usefull, specially when one is interested in the development of new concepts.

The *PLA notes* can be ordered via http://www.poptel.org.uk/iied/bookshop/sd_spla.html . For partners in the South it can be free of charge. At http://www.iied.org/pdf/list.html one finds a list of all IIED publications which can be downloaded free of charge from IIED. The general site for the IIED bookshop is: http://www.iied.org/bookshop/index.html

A very good site is: http://nt1.ids.ac.uk/eldis/pra/pra.htm where several relevant manuals (among others those mentioned above) can be downloaded.

At UNDP http://www.undp.org/csopp/paguide.htm one can download: Clayton, A., P. Oakley and B. Pratt (1997). *Empowering People - A Guide to Participation*. At one sub-site (http://www.undp.org/csopp/CSO/NewFiles/docemppeople6.html) a lot of pre-1997 literature on PRA and other resources can be found.

At http://www.rcpla.org of "The Resource Centres for Participatory Learning and Action Network" recent news and events can be found as well as links to other sites and guides to participatory approaches on the internet.

For gender and participation the BRIDGE website is most usefull: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

The Website of the Integrated Approaches to Participatory Development (IAPAD) offers a very good sites with relevant links: http://www.iapad.org/links.htm . A specific site of the same organisation is http://www.iapad.org/toolbox.htm which is dedicated to the PRA tools for Community Mapping with special attention for IT supported exercises like 3D-mapping.

The World Bank has some sites where issues like PRA and particpation in general are important. Yet, they are quite often changed (when new jargon come sup). Now it is: http://www.worldbank.org/participation

The meta-website of the FAO on participation (http://www.fao.org/participation) is extremely usefull. One can find a large number of interesting links to well selected websites. The same can be said about a site of the Institute of Social Studies in the Hague: http://www.iss.nl

The website http://www.fao.org/waicent/faoinfo/sustdev/PPdirect/PPhomepg.htm of the Sustainable Development Department of FAO's website features a broad selection of articles and the Report on FAO People's Participation Programme (PPP). More information and full-text material is available in the "Participation in Practice" section. The site provides French and Spanish versions of most documents.

The Sustainable Livelihood Approach is widely used which incorporates many of the ideas and tools of the PRA school. At http://www.livelihoods.org one can find the latest news on this approach. One can find a large number of documents related to this approach at http://www.undp.org/sl/Documents/documents.htm

10. Participatory Technology Development

Background of the methodology

In the 1970s, Farming System Research emerged as an alternative to commodity-oriented research. Its main characteristic is that it takes a holistic (or multidisciplinary) approach to farming. Research questions are not generated on the basis of constraints in the production of certain commodities, but on the constraints of a farming family. To identify these, in the first step of a FSR programme, multidisciplinary teams identify relevant research question in a 'diagnostic survey'.

In the second half of the 1980s critics saw that FSR was not delivering the expected results; it was still too oriented towards disciplinary and commodity research and technological issues in general. Not enough attention was given to policy issues and to the social differentiation in the farming community (including gender). A series of new methodologies arose - Farmers Participatory Research (FPR) - with two main characteristics. First of all, farmers are seen as active experimenters. Secondly, local (indigenous) knowledge is considered crucial. The idea of the 'green revolution' - i.e. that with the use of external inputs local differences in natural resources will be overcome - is denounced; local differences are actively identified and used as an entry point for discussions. Coping with ecological uncertainty is a major theme.

Although FPR is an approach to research which seems irrelevant to rural development projects, in practice more Farmers Participatory Research is done via development projects than via research institutes (Okali et al., 1994). Here Participatory Technology Development (PTD) is taken as an example.

Objectives

The objectives of a PTD are to strengthen the existing experimental capacity of farmers and to sustain the local management in the process of innovation.

Description of the methodology

PTD is defined as a process of bringing together the knowledge and research capacities of the local farming community with that of the commercial and scientific institutions in an interactive way. It distinguishes the following six stages:

1. getting started: get to know one another; selection of areas to work
2. understanding problems and opportunities: identify cause effect relationships
3. looking for things to try: select priorities; start up schedule
4. experimentation: review farmer's experimental practice; do trials; evaluate
5. sharing results: disseminate results; farmer-to-farmer training
6. sustaining the PTD process: create favourable conditions for ongoing experimentation in farmer's experimenter groups.

PTD stresses the need to work with NGOs and farmers groups. Although experiments are done in the fields of individual farmers, all decisions regarding what to try out, the evaluation of the technologies, etc. are to be taken by a group of farmers.

In the PTD process tools of several other methodologies are used. In most stages PRA tools are used (village walks, community led surveys; focused group discussions, diagramming; ranking etc.). In the second stage a 'problem tree' (see OOPP) can be made. Also a RAAKS can be done to identify possible links between farmer's experimenting groups and other (informal) organisations. In the later stages (4-6) farmers to farmers visits, group meetings and networking are essential tools. The formation of farmers groups and sustaining them is the central theme in the last stage.

Relation to project cycle and strategic level

PTD requires years and can only be done in the implementation phase of a project. Since PTD requires many human resources it is relatively expensive. This is justified only if the issues at stake are important for a large area. On the other hand the approach only works when a close relation is built between outsiders and farmers, which means that the actual work of developing new technologies will usually be concentrated in a few villages.

Resources needed

Researchers and extension workers have to spend much time with the farmers. How much time is difficult to specify, as it depends very much on the specific situation. Three to four years seems to be the minimum, because time is needed not only to develop and test new technologies but also to establish good relations between researchers and farmers.

Strong points

The emphasis on the use of local knowledge and the exchange of experiences between all actors (farmers, researchers, NGOs, etc.) is positive. Compared to other research methods PTD is empowering; farmers are taken seriously and are held responsible for solving their own problems.

Risks

Despite the rhetoric of working as partners, PTD projects often first try to strengthen the research capacity of the farmers by training before they can become real colleagues. In general, PTD is done more by projects than by institutes. In the literature on PTD one finds remarkably little on the role of research institutes and other possible actors such as input suppliers or processors (who can have a large interest in better yields and could supply new techniques or inputs to be tried out).

In practice it is often difficult to identify 'experimenting farmers'. Some attribute this to the poor use of (PRA) techniques to identify them, while others say that it is logical as the experimenting cannot be distinguished from the normal production

process. It is more the *experience* that one should look for than the *experiment*. Even when experienced farmers are identified it is not always easy for them to adapt their knowledge quickly enough to the changing circumstances. The selection of the innovative, open-minded farmers can open the debate as to how far they are representatives of the target group.

To what extent local knowledge is accessible to outsiders is also debatable: several authors claim that local knowledge is incompatible with Western scientific knowledge and cannot be standardised, which is needed for formal testing according to formal science. Some say that new local knowledge is not open to discussion with outsiders as long as it is still being developed.

PTD practitioners need to have a combination of social and technical skills. Since these are not often found in one person, teams are needed with a very intensive, open and structured exchange of information and experience.

Issues concerning implementation in the SNV context

Research institutes do not pay much attention to marginal areas. From a national point of view on the efficient use of limited resources this is justified, but for PTD practitioners in SNV areas it means that it will be difficult to establish sustainable cooperation between farmers and (national) research institutes.

PTD runs the risk of cultivating a too optimistic view of the potential of local knowledge and traditional farming systems. However adapted these systems might be (and often are), the technical possibilities to improve farming systems in marginal areas are limited. External inputs require financial investments that many people cannot afford; low external input technologies often require too much labour which, contrary to general belief, can have very high opportunity costs (e.g. through seasonal migration).

Literature

At http://www.etcint.org/newslett_fr.html one finds the PTD-circular published by ETC-International.

Alders, C., B. Haverkort & L. van Veldhuizen. (1993) *Linking with Farmers*. Intermediate Technology Publishers. London, UK.

Ashby, J.A., A, R. Braun, T. Gracia, M.del Pilar Guerrero, L. A. Hernández, C.A. Quirós, and José Ignacio Roa. (2000) *Investing in Farmers as Researchers: Experience with Local Agricultural Research Committees in Latin America.* DANIDA/IRDC/CIAT

Bellon, M.R. (2001). *Participatory Research Methods for Technology Evaluation: A Manual for Scientists Working with Farmers*. CIMMYT, Mexico.

Defoer, T and A. Budelman (2000). *Managing Soil Fertility in the Tropics; A Resource Guide for participatory learning and action research*. KIT, Amsterdam.

Hernandez L.A. (2001) *Logistic preference ranking analysis for evaluating technology options: A user manual An application for Microsoft Excel 7.0*. CIAT.

Hiemstra, W. C. Reintjes & E. v.d. Werf (eds.) (1992). *Let farmers judge. Experiences in assessing the sustainability of agriculture*. Intermediate Technology Publications. London, UK.

Hilhorst, T. (2000). Policy and best practice guide on integrated soil fertility management. It can be downloaded from: http://www.iied.org/pdf/Drylands_BestPrac.7.pdf .

IIRR Kenya. (1998). *Sustainable Agriculture extension manual for Eastern and Southern Africa*. IRRI, Nairobi, Kenya.

Okali, C., J. Sumberg & J. Farrington (1994). *Farmer Participatory Research. Rhetoric and reality*. Intermediate Technology Publishers. London, UK.

Ravnborg,H.M., M. del Pilar Guerrero and O. Westermann (2001). *Collective Action for Managing Natural Resources: A manual for identifying stakeholders.* CIAT

Reintjes, C., B. Haverkort & A. Waters-Bayer. (1992). *Farming for the future. An introduction to Low External Input and Sustainable Agriculture*. McMillan/ILEIA, Leusden, the Netherlands.

Scoones, I. & J. Thompson (eds.) (1994). *Beyond the farmers first. Rural people's knowledge, agricultural research and extension practice.*

Sellamna, N-E. (1999). *Relativism in agricultural research and development: is participation a post modern concept?* ODI- Chameleon Press, London, UK

Oxfam (2000). *Looking after our land*. Book and video are available from the bookstore of Oxfam: http://www.oxfam.org.uk/publish/resourcat.htm

Pretty, J. (1995) *Regenerating Agriculture. Policies and practice for sustainability and self-reliance*. Earthscan, London, UK.

Veldhuizen, L. van, A. Waters-Bayer, H. de Zeeuw. (1997). *Developing technology with farmers. A trainer's guide for participatory learning.* Zed Books, London, UK / ETC, Leusden, the Netherlands.

Manuals

Veldhuizen, L. van, A. Waters-Bayer, H. de Zeeuw. (1997). *Developing technology with farmers. A trainer's guide for participatory learning.* Zed Books, London, UK / ETC, Leusden, the Netherlands.

The principle manual with the outline of the PTD approach as designed by ETC. It explains how to set up a course on PTD and elaborates the 6 steps of the PTD process in detail.

Bellon, M.R. (2001). *Participatory Research Methods for Technology Evaluation: A Manual for Scientists Working with Farmers*. CIMMYT, Mexico.

The manual reviews conceptual issues in participatory research and presents information on selecting research sites and fieldwork participants. It describes the methods for each step in farmer participatory research: diagnosing farmers' conditions, evaluating current and new technologies/practices, and assessing their impact. CLICK HERE for the Introduction. Although this manual can be used for non-commercial purposes, the copyrights remains with CIMMYT. Other chapters on this CD-Rom can be opened via Adobe Acrobat or Windows Explorer. It can also be found at:
http://www.cimmyt.org/Research/Economics/map/research_tools/manual/PRM_Bellon.htm.

Defoer, T and A. Budelman (2000). *Managing Soil Fertility in the Tropics; A Resource Guide for participatory learning and action research*. KIT, Amsterdam.

This Resource Guide is a extensive tool kit to Participatory Learning and Action Research (PLAR) in the field of soil fertility management. It includes a textbook, a collection of cases that explore field experiences with PLAR in several African countries, a set of "all-weather" Field Tools on laminated cards, a CD-ROM including a software package to assist in analysing data, and a manual to the field tools and software. Order from:
http://www.kit.nl/books/html/soil_fertility_.htm

Video's:

- Participatory Research with women farmers, ICRISAT, India
- Looking after our land. Oxfam, UK.

Resource centres

The PTD methodology was developed by the ETC Foundation, in cooperation with the Information Centre for Low External Input and Sustainable Agriculture (ILEIA) which publishes the *ILEIA Newsletter* (on PTD and sustainable agriculture) and acts as secretariat for the ILEIA network.

ETC/ILEA
PO Box 64
3830 AB Leusden
the Netherlands.
e-mail: office@etcnl.nl
website for ETC: www.etcint.org
website for ILEA: http://www.ileia.org

Other providers of training and consultancy are

KIT Royal Tropical Institute
Mauritskade 63 (main entrance)
P.O.Box 95001
1090 HA Amsterdam

The Netherlands
website: http://www.kit.nl

ICRA International Centre for RA
P.O. Box 88
6700 AB Wageningen
the Netherlands
e-mail: icra@iac.agro.nl;

Agromisa,
PO Box 41,
6700 AA Wageningen,
the Netherlands
PTD is part of the training Agromisa organises (in the so called A-week).

On indigenous knowledge the following organisations are a good entry point:

CIKARD
Centre for Indigenous Knowledge for Agricultural Development
318 Curtiss Hall,
Iowa State University,
Ames, Iowa 50011,
USA.

LEAD Leiden Ethnosystems and Development Programme (LEAD)
Institute of Cultural and Social Studies
University of Leiden
PO Box 9555
2300 RB Leiden
the Netherlands.

Websites

At ETC's website (www.etcint.org) much information van be found, including the 6-monthly PTD circular (direct site: http://www.etcint.org/publicat_fr.html) and the 'Methoden klapper (an overview of participatory methodologies in Dutch)'.

Ileia: www.Ileia.org, includes a discussion forum a on PTD topics; weblinks, info on courses worldwide, back issues of ILEISA magazine. Via http://www.ileia.org/3/magazine.html one has online access to the ILEISA newsletter with a wealth of information on PTD and related issues.

CIAT has a site (http://www.ciat.cgiar.org/frames/fra_comm.htm) were a number of relevant books can be ordered, both in English and Spanish (a.o. Ashby et.al., Ravenborg et. al).

Via the Website of Indigenous Knowledge and Development Network: www.nuffic.nl/ciran one has access to a number of sites on Indigenous knowledge. One of them is the data base of the UNESCO on best practices in Indigenous Knowledge; the so called MOST programme: www.unesco.org/most/bpikreg.htm

At www.agromisa.org one finds the Agromisa Newsletter, Question and Answer Service, training opportunities and news on Agrodocs.

IIED Drylands Programme (http://www.iied.org/drylands/index.html) was involved in work on soil and water conservation. For DGIS a best practice paper was written: Policy and best practice guide on integrated soil fertility management. (T.Hilhorst, 2000). Download: http://www.iied.org/pdf/Drylands_BestPrac.7.pdf . A joint project with Oxfam's Arid Lands Information Network lead to the development of a training video on participatory approaches to soil and water conservation in Africa. *Looking after our land*. The video (and book) are available from the bookstore of Oxfam: http://www.oxfam.org.uk/publish/resourcat.htm

11. Rapid Appraisal of Agricultural Knowledge Systems

Background to the methodology

RAAKS was developed in the 1990s by a group of researchers, led by Paul Engel, at the Agricultural University in Wageningen. It came at a very appropriate time since the traditional role of extension services of disseminating technical knowledge generated at research stations was proving more and more problematic. RAAKS draws on organisation advice theories and on networking as practised in the Dutch agricultural sector, i.e. a pattern of formal and informal cooperation between different organisations. In developing countries it is mostly used in planning for agricultural extension, although it can be applied in all situations where organisations want to increase their innovative capacity.

Objectives

The following three objectives are pursued in a RAAKS:

1. to identify opportunities to improve a knowledge and information system with the aim of improving the potential for learning and innovation;
2. to create awareness among relevant actors with respect to opportunities and constraints that affect their performance;
3. to identify (potential) actors who can improve the innovative performance of the AKIS and to encourage their commitment to actually do so.

Description of the methodology

The central concept of RAAKS is that innovation is a social skill; the adoption of new practices by farmers is not a result of a straightforward technical innovation process but the outcome of social interactions between many different stakeholders. In the case of agricultural extension, the stakeholders are the 'actors' in the Agricultural Knowledge and Information System (AKIS). The AKIS is formed by all people and organisations involved in agricultural development and the linkages between them. The emphasis is on the last mentioned: the way actors interact is crucial to the effectiveness of the system.

In a RAAKS the interactions between the actors are analysed and proposals are formulated on how to improve them. A key element in this is that different actors (can) have a different perspective on the same issue. These differences should not be ignored but analysed explicitly in order to come to a better understanding of the situation and ultimately to make optimal use of the strong points of each stakeholder. RAAKS is participatory: for a successful RAAKS the stakeholders have to take part themselves and commit themselves to the concrete proposals for improvement.

A RAAKS is done with a team of people from within and outside the AKIS concerned. Outsiders are the facilitators; the insiders have to do the analysis, draw conclusions and ultimately commit themselves. In practice a RAAKS is initiated by one organisation or sometimes several organisations. They are the initial 'problem

owners': they have a problem they want to solve and it is their responsibility to make sure this is done.

The actual process of a RAAKS is split into three phases:

A. defining the problem
B. analysis of constraints and opportunities
C. strategy/action plan

In each phase windows are used to look at the actors from a certain perspective, e.g. a window can focus on the objectives actors have, or on their official mandate, their impact, their organisational culture, etc. Sixteen windows are described in the RAAKS training manual, but it is not necessary to use all of them. It is also possible to design new ones. In each window one or more tools can be used to gather and analyse information. In the RAAKS manual 23 tools are described.

In the fist phase the problem as defined by the initiator of the RAAKS is reviewed to see what other actors in the AKIS think about it. When necessary the problem can be redefined. Ideally this phase should be concluded with a meeting where all relevant actors agree on the definition of the problem and the way the RAAKS is going to further explore it. In this phase, five windows can be used:

A1: defining or redefining the objective of the diagnosis
A2: identifying relevant actors
A3: tracing diversity in mission statements
A4: environmental diagnosis
A5: clarifying the problem situation

In the second phase the team tries to unravel the social organisation of innovation: who does what in the AKIS, whose view is dominant, what resources and mandates do different actors have, etc. Again a final meeting with the relevant actors of the AKIS is needed to ensure that all share the analysis the team made. Eight windows can be used to make this analysis:

B1: impact analysis
B2: actor analysis
B3: knowledge network analysis
B4: integration analysis
B5: task analysis
B6: coordination analysis
B7: communication analysis
B8: understanding the social organisation of innovation.

In the third phase, proposals are formulated to improve the functioning of the AKIS; this can be in the form of policies and strategies or more concretely in action plans. The following three windows can be used:

C1: knowledge management analysis
C2: actor potential analysis
C3: strategic commitment to an action plan.

Relation to project cycle and strategic level

The RAAKS methodology is not necessarily tied to any part of the project cycle; however, it seems most logical to do a RAAKS at the initial stage of the

implementation of a project. Doing a RAAKS before the necessary funds have been secured for implementing the proposals which are generated reduces its potential since the commitment of other actors will be much harder to get.

In theory RAAKS can be applied to all levels. Since it calls for the cooperation of many actors, it is less efficient if it is too limited in its geographical scope. For example, research institutes working at the national level will be less interested in taking part in a RAAKS and follow-up activities if the work is confined to one village.

Resources needed

For a full RAAKS some months are needed. Technically it is possible to do it quicker, but in order to get the necessary commitment of the participating organisations it is important to give them some time to really reflect on their position in the AKIS and on their contribution to proposed improvements.

An outside facilitator trained in the RAAKS methodology is needed. If (s)he is not familiar with the area, (s)he will need some time to become familiar with the main aspects of the AKIS. It is not necessary for the facilitator to be continually present during the period covered by the RAAKS.

Strong points

The focus on innovation as a social skill is unique. The analysis of all relevant actors in an AKIS greatly helps one to understand the complex situation in agricultural development. The emphasis on networking is refreshing and very much needed in these times when the traditional role of extension services of transferring technologies from research stations to farmers seems to be outdated and inappropriate.

RAAKS is action oriented; it is the only methodology which from the very beginning actively seeks the commitment of the participating actors to the final plans.

RAAKS is flexible: teams can select which windows they want to use and which they do not. They can also add their own tools or windows.

Risks

RAAKS is complex; as well as the mentioned 'windows' and 'tools' there are some other concepts: for each tool there are relevant questions, expected results and a working procedure. These often overlap between two or more tools and/or windows.

With 16 windows and 23 tools, most windows have only one tool and most tools are used in only one window. It would be better simply to unite them and only speak of windows; this would reduce the confusion often sparked in people when they come into contact with RAAKS for the first time.

Most tools consist only of a brainstorming session during which a series of questions have to be answered; in several other cases tables (Inventory Sheets) have to be filled in. Very few tools challenge the participants to test the internal consistence of their reasoning or force them to come to a deeper understanding of the problems or come up with new insights. There are also few mechanisms to guarantee that the brainstorming sessions in the team are not dominated by a few people.

A strong organisation (the 'problem owner') is needed to continuously stimulate and facilitate others to continue the RAAKS process. Without this, no RAAKS can lead to sustainable results.

Issues concerning implementation in the SNV context

Working in marginal areas means working with poorly functioning organisations. One result could be that this calls for better collaboration between organisations so as to achieve at least something. Another result could be that expecting poorly functioning organisations to cooperate effectively is wishful thinking. The latter seems most correct. In marginal areas, cooperation between organisations is often very poor and projects focus their attention on one organisation so as to ensure that at least that one is functioning. In the RAAKS manual no examples are given from marginal areas; most practical experience is from the Netherlands and (large projects in) Latin America.

A project working in marginal areas with poor organisations has to think hard before it initiates a RAAKS. Does it have the resources to support any form of collaboration? This suggests that RAAKS could be used at the start of a project to better understand the AKIS and to select the most suitable partner organisation. If this partner is functioning well, another RAAKS can be done to see how the different stakeholders can collaborate better. Doing so implies that in the first RAAKS the methodology lost one of its strong points: that it seeks the commitment of the actors involved. Such a RAAKS becomes analysis oriented instead of action oriented.

Literature

Engel, P. (1997). *The social organisation of innovation. A focus on stakeholder interaction*. In: Engel. P.G.H. & M.L. Salomon. (1997). *Facilitating innovation for development*. A RAAKS resource book. KIT/CTA/Stoas, Amsterdam, the Netherlands.

Engel, P. & M. Salomon. (1997*). Networking for Innovation. Windows and Tools*. In: Engel. P.G.H. & M.L. Salomon. (1997). *Facilitating innovation for development*. A RAAKS resource book. KIT/CTA/Stoas, Amsterdam, the Netherlands.

Grimble, R. and Wellard, K. (1997). Stakeholder Methodologies in Natural Resource Management: A Review of Principles, Contexts, Experiences and Opportunities. In Agricultural Systems, Vol. 55, No. 2.

Holtland, G. (2001). *Stakeholder Involvement in Wetland Management*. A training manual for the Kenian Wildlife Service Training Institute. Wageningen, Stoas/RIZA. Available through geh@stoas.nl

Marilee, K. (2000). *Monitoring and evaluating stakeholder participation in agriculture and rural development projects: a literature review*. FAO. This can be dowloaded in English, French or Spanish at: http://www.fao.org/sd/PPdirect/PPre0074.htm

Overseas Development Administration (1995). *Guidance Note on How To Do Stakeholder Analysis of Aid Projects and Programmes*. Social Development Department. London: ODA.

Ramirez, R. (1997). *Participatory Learning and Communication Approaches for managing pluralisms*. In: Pluralism and sustainable forestry and rural development: proceedings of an international workshop. FAO, Rome.

Vogelzang, L. (1999). RAAKS: Rapid Appraisal of Agriculutral Knowledge Systems. A Training Manual. Stoas/RMNO. Available through lav@stoas.nl

Video:

- RAAKS exercise kit with 2 video's:
  - **a.** A day in the country (in the Netherlands);
  - **b.** The system and the soil (about agriculture in Benin).

Both are produced by Peter Linde Productions, PO Box 485, 6700 AL Wageningen, the Netherlands.

Manuals

The basic manual is Engel (1997). It provides all windows and tools on laminated cards.

Resource centres

RAAKS was developed at Communication and Innovation Studies Department of the Agricultural University of Wageningen and further promoted and developed by Stoas.

IAC International Agricultural Centre
P.O. Box 88
6700 AB Wageningen
The Netherlands
website: http://www.iac.wageningen-ur.nl

MAKS MSc course Management of Agricultural Knowledge Systems (MAKS),
Communication and Innovation Studies
'de Leeuwenborch',
Hollandseweg 1, 6706 CN Wageningen,
the Netherlands;
Websites: www.sls.wau.nl/maks; www.sls.wau.nl/cis .

FSG Farmer Support Group,
Private bag X01,
Scottsville,
Pietermaritzburg 3209,
South Africa;
e-mail: lax@fsg.unp.ac.za;
FSG provides consultancy and training in RAAKS

Larenstein International College
P. O. Box 9001
6880 GB Velp
The Netherlands;
e-mail: info@larenstein.nl;
website: http://www.larenstein.nl
Larenstein offers courses of several months covering (elements) of RAAKS

ETC ETC-International
PO Box 64
3830 AB Leusden
the Netherlands.
e-mail: office@etcnl.nl
website for ETC: www.etcint.org

Agromisa,
PO Box 41,
6700 AA Wageningen,
the Netherlands
RAAKS is part of the training offered by Agromisa (in the so called A-week).

12. Gender Assessment Studies

Background to the methodology

In the 1970s the position of women became an explicit concern for development organisations. Initially the emphasis was on the fact that often women did not profit from development projects, or were even worse off as a results of the interventions. The Women in Development (WID) approach tried to assist women to get a fair share of the profits from development activities. The activities undertaken often addressed the *practical gender needs* of women, more especially in their role as mothers.

In the 1980s the socially constructed difference between men and women ('gender') became the focus of analysis, in contrast to sex differences based on biological differences. The Gender and Development approach (GAD) identified power relations, attitudes and social and cultural systems which put women in a disadvantaged position as structural obstacles to improving their position. Even projects beneficial to women in the short term could be very inefficient in the long run if they underscore the low social status of women. In the 1980s, some project were found to worsen the position of women because they were based on Western social and cultural concepts which damaged the traditional position of women. In order overcome such problems, in the GAD approach projects focus on *strategic gender needs*.

In the GAD approach the general gender roles of men and women are divided as follows: women have three basic roles: reproduction, production, and community management while men's roles are production and community politics.

The debate on the differences between the WID and the GAD approach led to a distinction between five different approaches found in development projects:

- the *welfare approach*: women are mothers and daughters, and project activities focus on home economics and childcare;
- the *anti-poverty approach*: women are poor, and projects focus on income generating activities, better services, etc.;
- the *equity approach*: women are a disadvantaged group, and projects try to improve their situation: better laws, education, women centres, etc.,
- the *efficiency approach*: women are half the population and have crucial management tasks in their households and communities; projects concentrate on the participation of women in order to make their activities more effective and efficient;
- the *empowerment approach*; women are subordinated to men, and projects aim at structural reforms in the gender relations within a broader social context. Women organisations are a key element.

In terms of analysis and planning, WID advocates opted to use general planning methodologies, with special attention for gender-specific data and women issues. The most used planning methodology for WID practitioners has been the Harvard Analytical Framework as described in Overholt et al. (1985). Since traditional planning methodologies have proven to be male biased, the GAD approach calls for specific gender-planning. Moser (1993) defines its objective as: achievement of gender

equity, equality and empowerment through practical and strategic gender needs. She continues to define it as: 1) both political and technical in nature, 2) it assumes conflicts in the planning process, 3) it involves transformative processes, and 4) planning as debate. Here Gender Assessment Studies, developed by NEDA, is taken as an example.

Objectives

The objective of a Gender Assessment Study is to determine how a development project can be (re)designed to encourage the participation and empowerment of women.

Description of the methodology

Gender Assessment Studies is based on three basic principles:

a. equal rights and equal opportunities as the objectives;
b. participation and empowerment as the strategy;
c. integration of the findings in the project cycle as the process.

As its analytical framework it uses three phases:

1. Gender Analysis of the target group, including the wider context;
2. Gender Analysis of the project organisation, including external factors;
3. Gender Assessment of the project planning.

The last phase is a synthesis of the first two. In each phase a series of tools are used, mostly such well-known RRA/PRA tools as semi-structured interviews, transects, mapping ranking, etc. In each of the phases some key questions have to be answered.

In the *Gender Analysis of the target group, including the wider context*, these are:

1. What are the characteristics of the gender relations in the target group in:
   a. the gender division of labour?
   b. women's and men's access to and control over resources?
   c. women's participation in decision-making at household and community level and their organisational capacity?
   d. images of women and men?
   e. women's physical integrity?
2. What ideas and views do women have about the project? And the men?
3. Which legal, social, economic or other aspects of the context are important for the understanding of gender relations in the project?

As well as studying secondary data, fieldwork is necessary, using RRA/PRA techniques.

For the *Gender Analysis of organisations, including external factors*, the key questions are:

1. Which organisations are responsible for the implementation of the proposed project?

2. Do these organisations have the willingness and capacity to plan and implement development activities in which women will have equal rights and opportunities?
3. What are the opinions of the implementing organisations about gender equality in the proposed project?
4. Do the external relations and the context in which the organisations work favour or hamper their capability to provide equal rights and opportunities to women?
5. Do other organisations exist that can better handle the gender dimension of the project or which can perform supportive tasks in this respect?

For this analysis discussions with the staff of the relevant organisations and some key persons are most important. OOPP techniques (such as making a Problem Tree), SWOT analysis and making Project Actors Matrices can be used to facilitate these discussions and to come to clear conclusions.

For the *Gender Assessment of the project planning* the key questions are:

1. In view of the findings of the target group and institutional analyses, do(es) the project proposal(s) pay adequate attention to gender equality?
2. What can be expected regarding women's participation in the future project? And regarding men's participation?
3. What are the expected effects of the project on the economic, socio-cultural, political and physical position of women, differentiated by socio-economic groups?
4. What recommendations can be made to ensure that the project will promote the optimal participation and empowerment of women and prevent negative side effects on them?

For this assessment the results of the first two analyses are the main input. As an extra tool a Gender Impact Assessment Matrix can be made in which the expected effects of the proposed project on the gender related position of the different categories of the target group (men, women, households, community) are presented.

Relation to project cycle and strategic level

Gender Assessment Studies is designed for the project formulation phase. It is a defensive methodology; it reacts to an existing project proposal. It is designed for use at project level (mostly district and regional level).

Resources needed

A proper Gender Assessment Study takes at least 3-4 months. The first two phases call for extensive field work with at least 2-4 gender experts and 2-6 research assistants. If possible someone from the organisation that is supposed to implement the project proposal can also take part. At least one external expert is needed, but does not need to be there during the whole period. The field work should be well prepared, which requires at least one week.

Strong points

GAS is rather comprehensive: many aspects are taken into account and it is open to influences from the field. It strikes a good balance between observations in the field and analysis in the offices.

GAS is well focused; it concentrates on the issues identified as essential and organises everything around it. It leaves enough room for individuals and organisations applying it to adjust it to the local situation without running the risk of losing essential elements.

Risks

Although the ambitions are high and quite a lot of resources are used, the result is only a report with recommendations about a project. However, the organisation that is supposed to implement the project is not stimulated to take responsibility for the exercise. It is even not compulsory for one of their staff members to participate. This makes it a donor-oriented methodology which can considerably reduce the chances that the results of the study will really make a difference in the field.

There is always a paradox in planning for empowerment. Empowerment is not achieved through an analytical methodology but through the activities following from the analysis. The level of participation during the planning phase is only consultative.

Using RRA/PRA tools in the field, it runs the risks mentioned there.

Issues concerning implementation in the SNV context

Not many specific points can be raised here, only the general remark that empowering people in general is more difficult in marginal areas where a range of problems limits the possibility for change and development (see Chapter 2).

Literature

Akerkar, S (2001). *Gender and participation. Overview Report*. IDS. Available on http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Bell, E. and P. Brambilla (2001). *Gender and Participation - Supporting Resources Collection*. Can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Cornwall, A. (2000). *Making a difference? Gender and participatory development. IDS discussion paper 378.* Can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

Cummings, S.J.R., H. van Dam and M. Valk (eds.) (1998*) Gender training. The source book.* KIT, Amsterdam and Oxfam, UK.

Cummings, S., H. van Dam, A. Khadar and M. Valk. (2000). *Gender perspectives on property and inheritance.* A Global Source Book. Amsterdam, KIT.

Espinosa, D. (2001). *Mainstreaming gender in conservation organisations*. Reflecting on IUCN's experience. IUCN. It can be downloaded via http://www.iucn.org/themes/spg

FAO (1997). *Gender and participation in agricultural development planning. Lessons from Costa Rica.* FAO, Rome. At: http://www.fao.org/Gender/Static/CaseSt/Cos/costoc-e.htm

Gianotten, V. et al.. (1994) *Assessing the gender impact of development projects. Case studies from Bolivia, Burkina Faso and India***.** KIT/ETC/ IT Publications.

Kabeer, N. 1994. *Reversed Realities: Gender Hierarchies in Development Thought*. London and New York. Verso.

Khadar, A., van Dam, H. and Valk, M. (2001). *Institutionalizing gender equality: commitment, policy and practice. A global source book.* Amsterdam, KIT,

Lingen, A. (1997) *Gender Assessment Studies, A manual for gender consultants*. Ministry of Foreign Affairs, The Hague, the Netherlands.

Macdonald, M., Sprenger, E. and Dubel, I. (1997). *Gender and organizational change. Bridging the gap between policy and practice.*Amsterdam, KIT.

Moser, C. (1993). *Gender planning and development. Theory, practice and training*. Routledge, London, UK.

Oliveira, R. and S. Anderson (1999). *Gender, Conservation and Community Participation: The Case of Jaú National Park, Brazil*. MERGE, University of Florida, USA At: http://www.tcd.ufl.edu/merge/Case1Eng.html

Overholt, C., M.B. Anderson, K. Cloud & J.E. Austin (1985). *Gender roles in Development Projects. A case book*. Kumarian Press, Hartford, USA.

Overholt, C., et al. (1991). *Gender and development: a framework for project analysis*. Harvard Institute for International Development Case study and training. FAO, Rome.

Oxfam (2001) *Men's Involvement in Gender and Development Policy and Practice: Beyond Rhetoric,* Oxfam Working Papers, edited papers from a seminar hosted by Oxfam GB with the Centre for Cross-Cultural Research on Women at the University of Oxford.

Parpart, J.L., M. P.Connelly, and V. E. Barriteau.(2000*) Theoretical Perspectives on Gender and Development*. IRDC, Ottawa, Canada. It can be downloaded from: http://www.idrc.ca/acb/showdetl.cfm?&DID=6&Product_ID=567&CATID=15

Schalkwyk, J. and B. Woroniuk (1997). *DAC source book on concepts and approaches linked to gender equality. DAC Expert Group on Women in Development.* To be found on: http://www1.oecd.org/dac/htm/sourcebk.htm

Schalkwyk, J. (2000). *Exercises in gender mainstreaming*. Gender in development Monograph # 8. UNDP. Can be downloaded from the gender publications Website of the UNDP: http://www.undp.org/dpa/publications/gender.html

Schmink, M. (1999). Conceptual Framework for Gender and Community-Based Conservation. MERGE, Florida, USA. At: http://www.tcd.ufl.edu/merge/Case1Eng.html

Slocum, R., L. Wichhart, D. Rocheleau & B. Thomas-Slayter (1995). *Power, Process and Participation. Tools for change*. IT publication, London, UK.

Swainson, N., S Bendera, R Gordon, E Kadzamira (1998) *Promoting girls' education in Africa - The design and implementation of policy interventions.* Education Research Paper No. 25, Can be downloaded at: http://www.dfid.gov.uk

UNDP (2001). *The Learning & Information Pack. Manuals on Gender Mainstreaming.* It is included in trhis D-Rom and it can be downloaded from: http://www.undp.org/gender/capacity/gm_info_module.html

Verma, R. (2001) *Gender, Land, and Livelihoods in East Africa: Through Farmers' Eyes*. IDRC, Ottowa, Canada. It can be downloaded at: http://www.idrc.ca/acb/showdetl.cfm?&DID=6&Product_ID=2651&CATID=15

Wijk, v. C. (2001) *The Best of Two Worlds? Methodology for Participatory Assessment of Community Water Services*. Technical Paper Delft. IRC International Water and Sanitation Centre. Delft, the Netherlands. Can be ordered at: http://www.irc.nl/products/publications/descr/tp38e.html

Williams, S. (with J. Seed & A. Mwau) (1994). *The Oxfam gender training manual*. Oxfam, Oxford, UK.

Oxfam publishes a series of books with articles on Gender: Focus on Gender Books. These can be accessed through **http://www.oxfam.org.uk/publish/genfoc.htm** . Some of the most recent ones are:

Gender in the 21st Century (2000)

Women, Land, and Agriculture (1999).

Gender, Education, and Training (1998)

Gender and Technology (1999).

Violence Against Women (1998)

Gender, Religion, and Spirituality (1998)

Magazine:

Oxfam has an online gender managazine: http://www.oxfam.org.uk/policy/gender/links.htm

BRIDGE also has an online Newsletter: http://www.ids.ac.uk/bridge/dgb9.html

Video's:

- Participatory Research with women farmers, ICRISAT, India
- Questions of difference: PRA, gender and environment. A training video. IIED, 1995 UK.

Manuals

UNDP (2001). *The Learning & Information Pack. Manuals on Gender Mainstreaming.* Since Bejing 1995, Gender Mainstreaming has become the focus. The UNDP-definition of Gender Mainstreaming is: Gender mainstreaming is taking account of gender equality concerns in all policy, programme, administrative, cultural and financial procedures of an institution and/or organisation. More specifically, gender mainstreaming is a strategy to ensure that (i) the question of equality between men and women is included in all major and minor decision-making processes of an organisation, and (ii) that the outcome of the decisions taken are systematically monitored for their impact on gender equality. Effective gender mainstreaming requires the complex interaction of many skills and competencies, usually on the basis of coordinated teamwork. The UNDP developed a *very comprehensive series of manuals* on Gender Mainstreaming, the Learning & Information Pack. It is included in this CD-Rom (CLICK HERE) and can also be found at: http://www.undp.org/gender/capacity/gm_info_module.html

Another comprehensive package of Training materials is: Espinosa, D. (2001). M*ainstreaming gender in conservation organisations*. Reflecting on IUCN's experience. IUCN. It can be downloaded via http://www.iucn.org/themes/spg On the same site one can find the 9 modules of the ORMA training modules towards Equity.

SNV developed a Gender Audit, in cooperation with the Gender & Development Training Centre (in the Netherlands): CLICK HERE to access it.

BRIDGE has published a few very good state of the art reports on Gender and Participation. These are not manuals explaining tools or methods in a detailed way, but they give a lot of relevant concepts and resources. These can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

The comprehensive SEAGA package of manuals and guides is presently not accessible via the Internet, but when it will be in the (near) future it will be an important source of information in several languages: http://www.fao.org/sd/seaga .

Resource Centres

The GAS methodology was developed by NEDA in cooperation with ISSAS (Institute of Social Studies Advisory Service). Copies of Lingen (1997, see below) in which the GAS is described can be obtained from the Information Desk, Ministry of Foreign Affairs, PO Box 20061, 2500 EB The Hague, the Netherlands.

GDTC Gender & Development Training Centre,
Wilhelminastr. 18
2011 VM Haarlem
the Netherlands
tel: + 31 23 5342149
e-mail: gen.dtc@inter.nl.net
GDTC are the leading consultants and trainers on gender issues in the Netherlands.

FEMCONSULT,
Koninginnegracht 53,
2514 AE The Hague,
the Netherlands;
E-mail: gender@femconsult.nl
FEMCONSULT offers consultancies on gender issues on demand.

ISS Institute of Social Studies,
ORPAS,
P.O. Box 29776,
2502 LT the Hague
The Netherlands
E-mail: orpas@iss.nl
Website: http://www.iss.nl

ODG The Overseas Development Group,
University of East Anglia
Norwich NR4 7TJ,
Norwich, UK
ODG offers a 2 months course: Gender Training for Development.

KIT Royal Tropical Institute
Mauritskade 63 (main entrance)
P.O.Box 95001
1090 HA Amsterdam
The Netherlands
website: http://www.kit.nl

IRC Training coordinator IRC International Water and Sanitation Centre
P.O.Box 2869
NL 2601 CW Delft
tel ++31 (0)15 2192964 Training Brochure 2002 available on
http://www.irc.nl/products/training/index.html

IDS Institute of Development Studies,
University of Sussex,
Brighton BN1 9RE, UK
Website: http://www.ids.ac.uk
IDS offers a range of short and long term courses on gender and (participatory) development.

IAC International Agricultural Centre

P.O. Box 88
6700 AB Wageningen
The Netherlands
website: http://www.iac.wageningen-ur.nl
The IAC offers a 3 weeks course on Gender , Organisational Change, Agriculture and Leadership (GOAL)

Websites

Several meta Websites on gender and develoment are operated at the moment. Unfortunately they are not always able to keep all hyperlinks correct and operating. Yet, one can find almost all one can image somewhere on the Internet (provided one has a 'fast connection' as many files tend to be quite big).

At http://www1.oecd.org/dac/Gender/htm/links.htm one can find an enormous amount of links to gender related Websites, a.o. under the following titles: Agriculture; Business/ Enterprise Development; Communication; Conflict, Peace and Freedom; Development; Economics; Education; Environment; Food Security; General Women's Resources; Governance, Leadership and Politics; Health, Population, Sexual and Reproductive Rights and Health; Human Rights - Law; Land Tenure/Property Rights; Poverty Reduction; Research and Studies on Gender Equality; Research from the South; Science and Technology; Trade Liberalisation and Women; Violence against Women; Water and Sanitation. It also offers the opportunity to search Websites on the base of regions.

Another meta-site is:
http://www.qweb.kvinnoforum.se/empowerment/index.html The headings there are a.o. Empowerment of Women**;** Society & Women's Health**;** Sexuality & Reproduction and Violence & Abuse**.**

The above two are part of the 'Gender on Internet' site of IC-consult which contains an overview of interesting websites on gender in development cooperation. It can be downloaded at: **http://www.icconsult.nl/documents/document.phtml?id=1** .

Probably the best site is the one from BRIDGE:
http://www.ids.ac.uk/bridge/index.html They have large number fo on-line reports often available free of charge, both in PDF as awell as in Word files.

The GDTC Website also offers an excellent entrance to gender isssues on the internet www.gender-training.nl . The IRDC site is usefull as well http://www.idrc.ca . In the Horn of Africa, the Center for the Strategic Initiatives of Women (CSIW) is working with women to create solutions. It has a nice Website with special attention for the gender aspects in the Islam. http://www.csiw.org/main.htm .

Interesting case studies can be found at
http://www.tcd.ufl.edu/merge/Case1Eng.html a site of MERGE (Managing Ecosystems and Resources with Gender Emphasis) of the ropical Conservation and Development Program of the University of Florida.

WEDO (Women's Environment and Development Organization) is an international advocacy network that seeks to increase the power of women worldwide as

policymakers in governance and in policy making institutions, forums and processes, at all levels, to achieve economic and social justice, a peaceful and healthy planet and human rights for all. At http://www.wedo.org one can find information on the WEDO's program areas: Gender and Governance, Sustainable Development, and Economic Justice.

The FAO site on gender http://www.fao.org/Gender offers access to a wide range of gender related subjects, a.o. to many lessions learned based on country level case studies. The site http://www.fao.org/sd/seaga gives access to the Socio-economic and Gender Analysis (SEAGA) Programme established in 1993 by FAO, ILO, World Bank and UNDP to promote gender awareness. It development of the extensive SEAGA materials which will be available on the subsites in the (near) future.

IRC has sites on gender mainstreaming: http://www.irc.nl/projects/gemsa/ and Gender Water Alliance: http://www.irc.nl/projects/genall/index.html .

Two websites to order interesting publications are:
Royal Tropical Institute: www.kit.nl/publications.htm
Oxfam: www.oxfam.org.uk/policy/gender .

Local level case study

Effects of gender-sensitive assessment on gender relations in a Javanese community

Source: van Wijk, Christine. *The Best of Two Worlds?* Methodology for Participatory Assessment of Community Water Services. Technical Paper Delft: IRC International Water and Sanitation Centre.

Women in Sewukan community in Magelan district, Java, Indonesia had never met to discuss other than in social or religious events. Their participation in the evaluation of 11 water systems in their community affected gender relations in several ways:

Recognition of 'power on'. Initially, the kepaladusun (sub-village head) had considered the consultation of women on technical design and workmanship of the systems a waste of time. He said women knew nothing about such aspects. However, his views and those of the other men changed when the group of women came with very concrete design errors such as too low a ratio of cement to sand in concrete mixing and a too low entrypoint for the water pipes in the reservoirs. . The men's group brought out only very general remarks such as a lack of training. The experience led the kepaladusun to make the, in that culture, unusual remark in public that the women had brought out more useful technical observations than the men. When the men presented the outcomes in the plenary meeting (women and men alternated in presentations and the men started), they presented only the women's findings, until a man in the audience asked: "But what about our findings?" and everyone began to laugh.

Introduction of 'power over'. The women's own evaluation of the design and quality of the existing services also served to put two women's needs on the agenda for the new water supply: a better distribution of domestic water and the addition of sanitation to the project. Because the community already had eleven small domestic water supplies, the male leaders had assumed that there was no need for a twelfth system. They had therefore decided that the new water supply would be built for irrigation. The women's evaluation of the water quantity then showed that, while all households had access, the distribution of water throughout the community was skewed. Therefore, the meeting decided to use its social map to plan the new water system for better coverage of domestic water. A hot debate developed on the addition of toilet facilities. The women disliked the lack of privacy for defecation and the inconvenience of going to the local streams at night. The men were satisfied with using the streams and thought that private latrines were too expensive. However, during the discussion it became clear that they had taken the costly and unused public latrine at the mosque as the model for domestic facilities. The team then provided the groups with line drawings of the different models and materials for household latrines. Using the drawings to calculate what the various models would cost, the men and women soon realized that they could build all types of latrines according to their own preferences and capacity to pay. The women furthermore came with the suggestion that when a household could not afford a latrine of its own, up to five households could build and use one together. In two meetings (the design review event and the community review meeting), this issue could not be resolved. However, the women had become conscious of their common demand and had united around the issue. Pressure to solve the problem will therefore quite likely continue until a satisfactory solution has been found.

Emergence of 'power within' and 'power with'. Through the process, the women had become aware that they had the same water and sanitation problems. They said that, although they were organized and held women's meetings, they had not previously discussed anything else than social and religious issues. In the assembly where they presented their findings along with the men, they stated that they wanted to set up committees in each of the six community neighborhoods to participate in the design of the new water supply and monitor the contractors on their quality of construction. The male leaders supported this idea stating that, when the work was not done well, they would use the legal means open to them to ensure good quality design and construction.

First experience of 'power to'. In the group sessions, women and men had agreed to alternate in presenting the outcomes in the plenary meeting. Presenters acted in pairs of two men or women for mutual support. The meeting started formally with everyone sitting in a large circle. The leaders opened the meeting using a hand microphone and passed it on to the presenting teams. The men used the microphone with skill and confidence. The first woman did not know how to use it and was helped by a man. The second woman closely observed this and handled the microphone with more confidence. Soon thereafter, discussions became so lively that the circle broke up, participants gathered around the tools and the microphone was forgotten. Asked later about whether they could continue to use the PRA tools, the older women were doubtful. Suddenly, a young woman spoke up and said that maybe it was not possible for everyone but that she thought she could do them. When the older women were asked for their view, they said that perhaps they, too,

could learn how to use them, but "meanwhile, let the younger women take the lead".. To what extent actions will follow remains to be seen.

National level case study

Participatory policy-making: the Collaborative Centre for Gender and Development, Kenya

Source: Bell, E. and P. Brambilla (2001). *Gender and Participation - Supporting Resources Collection*. Can be downloaded from: http://www.ids.ac.uk/bridge/reports_gend_CEP.html

The Collaborative Centre for Gender and Development, a non-profit voluntary organisation in Kenya works on mainstreaming gender equity in national economic policies and budgets, through for example, the Poverty Reduction Strategy Paper (PRSP). The PRSP provided the policy framework for the Medium Term Expenditure Framework (MTEF) budgetary process for three consecutive financial years, beginning the financial year 2000/2001. The broad objectives for the programme were: i) to mainstream gender equity in government policies that have budgetary implications; ii) to translate the policies into women's specific programs, activities and budget items and lobby for their funding from the exchequer; iii) to build skills for gender responsive planning programming and budgeting in all sector programs; iv) to demystify and democratise the government economic, planning and budgeting processes to allow the involvement of women; v) to create awareness for individual women and women's organisations to engage with the national policy formulation and budgeting process at all levels. The centre adopted participatory approaches to work towards attainment of the objectives outlined above.

The centre has over the years adopted various strategies to promote gender sensitivity in the national budget and economic policies:

- Gender awareness training and capacity building for government officials, individuals and organisations.
- A one day working session with these same actors, during which a common agenda aimed at influencing the PRSP and MTEF processed was mapped out.
- A nation-wide consultative process with women's leaders NGOs and CBOs. Based on the views collected, the centre co-ordinated the development of a paper on 'Gender and Poverty Reduction in Kenya', which gave an overview of gender analysis for each of the sectors identified in the PRSP, and made recommendations on the way forward.
- The final paper was used as a lobbying instrument for mainstreaming gender equity in the PRSP, particularly at the national stakeholders' workshop on the Interim PRSP and MTEF held in March 2000.
- The centre successfully negotiated for twelve women participants to attend the workshop instead of only the one who had originally been invited. Furthermore, appropriate strategies were developed to ensure maximum impact by women and gender experts during the discussion at the workshops.

As a result of intense lobbying and strategic planing, much has been achieved in terms of mainstreaming gender equity and women's advancement:

- Budgetary allocation to women's specific activities and programmes has increased.
- Women's Organisations and leaders are now able to articulate gender and economic planning issues as a result of participating in the PRSP and MTEF exercise.
- The National Gender Policy has now been finally approved (The first draft was developed in 1985). The policy lays down the framework for mainstreaming gender equity in national development.
- Unity of purpose by women's organisations has led to collective ownership of the draft concept paper on gender and poverty reduction. This was developed by the centre and enriched in various fora organised by other women's organisations.
- The sharing and the dissemination of the concept paper on gender and poverty reduction has helped to increase support within governmental and non-governmental organisations and institutions, for gender responsive planning and programming. The critical mass of gender responsive individual trainers, planners and implementers in organisations and government institutions also played a crucial role in eliciting support for gender-aware planning and budgeting.
- As a result of the PRSP activities, a regional workshop was set up by the Council on Economic Empowerment for Women in Africa (CEEWA) working closely with the Centre and the Kenya Institute of Public Policy and Research Analysis (KIPPRA). This workshop aimed to develop a regional programme on engendering national economic policies including national budgets. The programme will be piloted in five countries in the African region for two years before being implemented in the other 15 CEEWA member countries in Africa.

During the implementation period, the centre as the implementing agency learnt various lessons:

- If there is not a distinct focus on gender issues then they risk getting lost among other issues or marginalised into the periphery in the development process.
- Capacity building to enable women's organisations to participate effectively in budgets and macro economic policies is critical, since the area has in the past remained a male domain.
- The diversity in areas of specialisation for women's organisations is very effective in influencing policy. This diversity should be viewed positively and ensuing divergent views of women leaders and organisations respected and taken into account appropriately.
- There is a need to be specific, focused but also flexible, and adopt a multiple approach in order to impact on government policies.
- When working on public policy matters, capacity building exercises in Government Ministries are very useful as an investment for the future. The linkages built during such training are effective during individual and collective lobbying from lower to higher levels of the government systems. These linkages are particularly important as it is the government that has the final authority on matters of budgets and macro-economic policies.

- It is important to monitor and follow-up implementation of recommendations once presented to relevant authorities for consideration.
- Participatory and consultative policy influencing and formulation process is a costly but viable venture, which calls upon various actors to clearly define the points of intervention and distinct responsibility for each stakeholder.

Source: Shiverenje, H. (2000) 'Engendering the Interim Poverty Reduction Strategy Paper and MTEF processes: participatory policy making approach – the case of the Collaborative Centre for Gender and Development', draft paper: unpublished.
Email: shiverenje@yahoo.com or ccgd@todays.co.ke Tel: 254-2-537100 / 537101

13. Participatory Action Research

Background to the methodology

Action Research stems from the work of Kurt Lewin with disadvantaged groups in the USA in the 1940s. In the Third World this was transformed into Participatory Action Research. Here the focus is on the ideas developed in the 1970s in Latin America by Paolo Freire, who put (adult) education at the centre of development.

Objectives

PAR is explicitly political as it aims at breaking through the existing power relations. It wants to boost the self-esteem of people. It facilitates the poor to recover their history and their capacity for autonomous development. One definition of the synonymous 'popular participation' is "the organised efforts to increase the control over resources and regulative institutions in given social situations, on the part of groups and movements of those hitherto excluded from such control" (Barraclough in Huizer, 1989). In the mainstream literature participation is mostly defined much less politically. In this paper the term 'empowerment' is used to indicate the politically-oriented forms of participation.

Description of the methodology

The poor and oppressed are mostly illiterate and they are not heard. They, and their views, are excluded from history. Development can only start when the poor are able to voice their own views and for this they need to be educated - however, not in the traditional way of 'depositing' the ideas of the elite in the head of the poor but by 'problem-posing education' which involves a dialogue between equals. To become equal one has to live with the poor and 'learn' their language. From this, key words ('codes') are identified which are then used as key principles to initiate a (critical and political) discussion on their situation and to teach them to read and write.

This should be an organic process, one in which the people themselves set the pace. A strict procedure cannot be applied, but several tools can be used in the process:

- participatory research;
- collective research;
- critical recovery of history;
- valuing and applying folk culture;
- production and dissemination of new knowledge.

These tools are applied by a facilitator (also called a moderator, change agent or promoter) working at village level. The tools enable the facilitator and the people themselves to analyse their situation; special emphasis is on the stratification of the community (internal relations) and the external relations of the community. Although the procedure and analysis can differ from place to place, in practice a key activity of a PAR approach is the formation of groups whose members have a common interest and who are willing to undertake a common action which will

improve their economic situation. These groups are mostly called 'self-help organisations'.

In practice, the ideas of Participatory Action Research are often applied under different names: Self-Help Promotion, People Participation, Theatre for Development, Development Education Leader Teams in Action (DELTA), Groupe de Recherche et d'Appui pour lÁutopromotion Paysanne (GRAAP), REFLECT (Regenerated Freirean Literacy through Empowering Community Techniques) and Village Participation in rural Development.

Relation to project cycle and strategic level

PAR is not confined to certain parts of the project cycle. As such it can hardly been seen in the context of a project. It requires the total control of the local population over the organisation involved. A project could only be involved in supporting an organisation in applying PAR, but not in implementing a PAR.

Resources needed

First of all much time is needed; secondly, a very dedicated staff is needed, one which is willing and capable of handing over the stick to the people and which has the endurance and patience needed to overcome the many problems and crises which mark the road to more political power for oppressed people. This makes the approach very expensive.

Strong points

PAR works with the people and pursues its objective from the very beginning by empowering the people within the daily context of the work. It identifies underlying causes for the poverty people find themselves in, and looks for fundamental solutions for these.

PAR puts the poor at the centre of everything; giving them control over the process means that the results will be sustainable from the onset.

Risks

The role of the facilitator (or moderator, change agent or promoter) is as crucial as it is difficult. One needs people who are good listeners, are patient, are good organisers and capable of finally focusing on concrete solutions to concrete problems. Unfortunately this role has to be played by often poorly trained field staff members with a low salary and few means to work. As a result of this, bigger projects or organisations try to standardise the procedures, but this hits the methodology in its heart: the people-oriented, situation-specific approach.

Few organisations or people are able complete the entire, long and arduous process. Also for the poor themselves it is not easy to stand up for their rights, which will benefit them in the long term, while they cannot meet their short-term needs. A particular problem is that within the community of the oppressed, fractions develop that actually start to cause problems for each other rather than for the elite.

Progress is very difficult to monitor and even if one were able to develop reliable indicators of progress, they can easily change for the worse over time. As in a war, things can move forwards as well as backwards.

A last problem often encountered is when PAR is actually practised and the groups start to undertake all kinds of activities. These are usually not well thought out, and especially the economic aspects are not given due attention, resulting in a negative income of the participants or in an extra workload which is not compensated for by extra revenues.

Due to these factors, most methodologies based on the ideas of PAR shy away from the more political aspects of it. Four examples are given here. The DELTA method (and its offspring Training for Transformation) is rooted in the Christian Liberation Theology movement, and is mostly used in East Africa. Facilitators organise 'listening surveys' in the village from which they identify 'codes' which reflect critical values and principles in poor people's lives. The 'codes' are discussed in group meetings. After this the group decides on the action to be undertaken. In general, DELTA is more focused on preserving the harmony in the community, while PAR does not shy away from (political) conflicts (or even actively identifies them).

The GRAAP methodology often used in West Africa has similar roots and is based on three phases: Look (people critically observe their own environment), Think (people analyse their own situation) and Act (solutions are identified and actions are planned). All this is based on oral communication, and proverbs and riddles play an important role; however, in order to speed up the process and standardise it, a series of supportive visual aids has been developed based on a general analysis of the problems in the area. In practice this enables the promoters and the participating people to avoid the real (political) issues. Indeed, in practice GRAAP focuses less on empowering and more on technical problem solving.

The African Network on Participatory Appraoches (supported by the Wordbank and KIT) developed a manual and 18 tools for the 'Village Participation in Rural Development'. It distinguishes the stages of Preparation, Diagnosis, Planning, Implementation and Evaluation. The last four can be used in an iterative way. Like most similar methodologies it focus more on efficient service delivery to the villages than on empowerment of the villagers.

The fact that these methodologies are less politically oriented in the African context can be partly explained by the fact that the political polarisation in rural Africa is much less pronounced than in the Latin America situation. A second reason might be that finding capable promoters willing to work at village level is near to impossible in Africa.

Yet, worldwide the development discourse has become much less politically oriented and motivated in the last decade. This is translated in less attention for PAR-like approaches. Presently the most explicit PAR-oriented methodology might be the REFLECT approach (Regenerated Freirean Literacy through Empowering Community Techniques) used by the UK based ActionAid and CIRAC-members (the International Reflect Circle, a network of Reflect practitioners from around the

world). On the website http://www.reflect-action.org many interesting publications can be found. They focus on literacy programs but the link with development is often discussed. In the literature list one can see some of their most essential documents, all available on the Website. The discussion on the evaluation of 13 projects shows well the issues at stake when one tries to work from a political point of view.

The approach of Farmer Field Schools (FFS) of the FAO (with local governments and NGOs) claims that Integrated Pest Managment can be used as a concientization training as meant by Friere. The focus is on the (mis)use of pesticides. The analysis of the causes for this would lead to a more general critical review of the social processes in rural communities. Solving the probems of (mis)using pesticides gives the farmers the confidence to attact other misuses as well. The concepts is elaborated at http://www.communityipm.org/concepts.html

Issues concerning implementation in the SNV context

PAR requires the long-term commitment not only of the projects, but also - and more particularly - of the staff involved. Since it addresses the mechanisms creating poverty, it threatens the established interest of powerful people and organisations. They will try to obstruct the empowerment of the poor in many different ways; this makes the road to autonomous development long and arduous.

Taken literally this methodology most directly aims at the central objective of SNV: to assist the poor in taking their own development into their own hands. In practice it is hard for SNV to commit itself to the long and difficult political process. It is also hard to find partner organisations willing and able to make such a commitment. In Latin America, elements of PAR can be useful. In Africa, DELTA and GRAAP can be useful.

Literature

ActionPoint (1998). *REFLECT methodology*. Actionpoint, UK.

African Network on Participatory Approaches (2000*). Village Participation in rural Development. Manual and Tools*. KIT/Worldbank. Also available in French. To be ordered from: http://www.kit.nl/aed/html/publications.htm

Archer, D. and Cottingham, S. (1996). *REFLECT Mother Manual*. London: ACTIONAID.
Can be downloaded form: http://www.reflect-action.org Available in English, Portuguese, Bangla, Spanish and French. The chapter on "The Reflect Approach" can be found on this CD-Rom: CLICK HERE

Bartle, P. (2001). *Three community workers handbooks. (Handbook for Mobilizers, Handbook for Generating Wealth, Handbook of Monitoring)*. SCN, Seattle, USA. Can be downloaded from http://www.scn.org/ip/cds/cmp/hand.htm

Carmen, R. (1996). *Autonomous development. Humanizing the landscape. An excursion into radical thinking and practice*. Zed Books, London, UK.

Comment mener un atelier d'initiation en diagnostic participatif: manuel de l'animateur. Can be obtained via Ileia Documentation Centre, Leusden, the Netherlands

Deshler, David. 1995 *Participatory Action Research: Traditions and Major Assumptions*. Cornell Participatory Action Research Network. Cornell University.

EIRENE. *Bauern lernen von Bauern (English: Farmers learn from farmers).* A 40 pag. brochure ont he work of EIRENE in Nicaragua.

EIRENE. *KOOKARI IRI BON SE - Packen wir's an! (English: Let's get started)* A 40 pag. brochure on the work on Self Help Promotion of EIRENE in Niger.

FAO (1997). *People - Participation Participation in practice: Lessons from the FAO People's Participation Programme*. The English version can be downlaoded from: http://www.fao.org/sd/PPdirect/PPre0044.htm

Freire, P. (1970). *Pedagogy of the oppressed*. Penguin, Harmondsworth, UK.

Freire, Paulo (1972) *Cultural Action for Freedom,* Penguin, Harmondsworth, Middlesex.

Hatten, R., Knapp, D. & Salonga, R. (2000). *Action Research: Comparison with the Concepts of 'The Reflective Practitioner' and 'Quality Assurance'*. Action Research E-Reports, 8. Available at: http://www.cchs.usyd.edu.au/arow/arer/008.htm

Huizer, G. (1989). *Action research and people's participation: an introduction and some case studies*. Occasional paper 19. Third World Centre, University of Nijmegen, the Netherlands.

REFLECT (1996). *ODA-report: Theoretical Roots and Reflect.* Via: http://www.reflect-action.org

REFLECT. *Review of 13 Reflect Evaluations* Via: http://www.reflect-action.org The main part can be found on this CD-Rom: CLICK HERE

REFLECT (1996). *Action Research Report. The Experiences of Three Reflect Pilot Projects in Uganda, Bangladesh and El Salvador.* Via: http://www.reflect-action.org

Slocum, R., L. Wichhart, D. Rocheleau & B. Thomas-Slayter (1995). *Power, Process and Participation. Tools for change*. IT publication, London, UK.

Training for Transformation. A Handbook for community workers. Books 1-3. Mambo Press, Gweru, Zimbabwe, 1991 (Delta method adapted in Zimbabwe).

Verhagen, K. (1987). *Self-Help Promotion, a challenge to the NGO community*. Cebemo/Royal Tropical Institute. Oegstgeest/Amsterdam, the Netherlands.

Wadsworth, Y. (1998) *What is Participatory Action Research?* Action Research International, Paper 2. Available on-line: http://www.scu.edu.au/schools/sawd/ari/ari-wadsworth.html

Video

- **Lines in the dust, CIRAC, 2001** This video shows Reflect in action through the eyes of people in Ghana & India. Can be ordered via ReflectAction@yahoo.co.uk

Manual

On this CD-Rom one will find the Mother Mnaual of the Reflect methodology: CLICK HERE. Altough its main focus is on literacy programs, the issues it addresses are very relevant for all rural develoment practitioners.

Resource centres

Information on the GRAAP methodology can be obtained from:
GRAAP GRAAP,
BP 785,
Bobo Dioulasso,
Burkina Faso

In Germany, Eirene, is a useful resource centre (for the GRAAP methodology):
Eirene Eugersestrasse 74B,
56564 Neuwied,
Germany
E-mail: Eirene-int@eirene.org
Website: http://www.eirene.org

ActionAid is the most prominent promotor of PAR like approaches.
ActionAid
Hamlyn House
Macdonald Road
Archway
London N19 5PG
UK
mail@actionaid.org.uk

ActionAid Africa
PO Box 2451
Causeway
6 Natal Road
Belgraviae
Harare
Zimbabwe
admin@aafrica.org.zw

ActionAid Asia
13th Floor
Regent House Building

183 Rajdamri Road
Pathumwan
Bangkok 10220
Thailand
mail@actionaidasia.org

KIT Royal Tropical Institute
Mauritskade 63 (main entrance)
P.O.Box 95001
1090 HA Amsterdam
The Netherlands
E-mail: a.blokland@kit.nl
website: http://www.kit.nl
KIT provides consultancies and training on the Village Participation in rural Development.

Websites

The Website of ActionAid is: http://www.actionaid.org It does not give much information on their approach in the field. This can be found under on http://www.reflect-action.org where several interesting publications can be found.

A general website on PAR is: http://www.parnet.org/otherWebSites.cfm Here one can see that the Action Research is very much linked to education. The work of Dewey and Lewin are the keys to understanding Freire. The link to devrelopment work is more and more weak, while the link with modern organisation development theories is increasing, specially through the work of Chris Argyris and Donald Schon (and later on Peter Senge) on Learning Organisations (see also Hatten et. al., 2000 and Wadsworth, 2000).

The PPP, the People - Participation Programme of the FAO also claimed to work on empowerment. In 1997 they published their experience in: *People - Participation Participation in practice: Lessons from the FAO People's Participation Programme* The main conclusion is that Rural development efforts have failed to deliver on their promises. One evaluation found that half of rural development projects funded by the World Bank in Africa were outright failures. A review of assistance to agricultural cooperatives reported similar results. A study by the International Labour Organisation of "poverty-oriented" projects worldwide showed that the poorest were excluded from activities and benefits. What has gone wrong? A '13-part Special' describes in depth the approach of an FAO programme for organizing grass roots rural people in small, informal, self-reliant groups. The English version can be downloaded from: http://www.fao.org/sd/PPdirect/PPre0044.htm In similar sister-sites the French and Spansih veriosn are available.

On the website of the Seattle Community Network (SCN) much training materials can be found on Community Development. For example: Bartle, P. (2001). Three hand books for community field workers involved in reducing poverty and strengthening low income communities. (Handbook for Mobilizers, Handbook for Generating Wealth, Handbook of Monitoring). Can be downloaded from http://www.scn.org/ip/cds/cmp/hand.htm