

II-1 METHODS FOR EACH PHASE OF THE PROCESS

Introduction

Having established a framework for organising our work and considered the skills that we need, the next question is, 'How?' PA is not rigid or prescriptive, but when planning participatory processes, facilitators will need to devise a set of procedures in which to organise their activities and guide their choice of tools

This raises the following issues about appropriate choices:

Q. Which tools work well together?

Q. What sequences of tools lend themselves to particular tasks or phases of the process?

Q. Which tools help encourage the appropriate level of participation?

For the purpose of this guide, the term 'methods' is used to describe the procedure in which collections of tools are put together to achieve a certain purpose or goal. This section presents some suggestions for methods that may assist each phase of the development process. These are presented in two broad areas: methods for **analysis and planning**, and methods for **reviewing**.

In line with the model used in Part I, Section 2, each method includes a summary of its level of participation (1-5) and the phase(s) of the development process where it is most commonly used (analysis, planning, doing or reviewing). Signposts to possible sequences of tools are included.

Most methods build on what has gone before and may represent the application of new principles to very similar tools. There is therefore considerable overlap between methods and very few methods can lay claim to an exclusive set of tools. The differences

lie in the purpose of the method, the level of participation it aims to work at, its guiding principles and the attitude of the facilitator.

II-1.1 Methods for analysis and planning

RAPID RURAL APPRAISAL

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



Rapid Rural Appraisal (RRA) was one of the first PA methods. As such it represents the first step away from the simple questionnaire approach of top-down, non-participatory appraisal, analysis and research. As the name suggests, this method is essentially for collecting data with rural communities about their livelihoods and territory, and generally is intended to not take more than one or two days.

In its day, RRA represented a radical departure from traditional practice. By today's standards it is a relatively 'quick and dirty' method that corresponds to levels 1 and 2 of our framework: informing and consulting. RRA does not guarantee subsequent action or response to community needs unless specified. It is more extractive

than empowering, and retains control in the hands of the development worker.

Nevertheless, it is an important method which has done much to establish observation, **Semi-Structured Interviewing**, **Transects** and rapid **Diagrams** firmly in the development worker's toolkit. RRA has potential uses if time is short and can be made more empowering when carried out by a skilled facilitator/team. A good discussion of RRA can be found at:

www.unu.edu/unupress/food2/UIN08E/uin08e0u.htm



PARTICIPATORY RURAL APPRAISAL

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



Although it is still used for some specific applications, the 'rapid' approach of RRA has largely evolved into **Participatory Rural Appraisal (PRA)**. PRA is essentially a planning approach focusing on shared learning between local people and outsiders to enable development practitioners, government officials and local people to plan appropriate interventions together in small groups. Local people take a more active role and the analysis may take a week or so.

Although RRA and PRA have different aims and goals, a critical point here is that no tool is exclusively a RRA tool or a PRA tool. All of these tools and exercises can be used for different purposes and in different methods simply by modifying their structure and the attitude of the facilitator.

Visual techniques of **Mapping**, **Ranking**, trend analysis and **Drawing**, often directly onto the ground, have become strongly associated with PRA. As a result, it is common to hear PRA being used as shorthand for any participatory tool used at any stage of a development process. However, PRA is interpreted here in its original sense – as an appraisal method to help stakeholders to define jointly their development needs.

Frequently, development workers will enter a situation where this needs analysis is already completed (often with only level 1 or 2 participation). However, if opportunities still exist to increase the level of participation, PRA is useful to help clarify issues or share ideas. The benefits of making initial appraisal and assessment as participatory as possible include the following:

1. The ethos of participation is established from the start.
2. Stakeholders become empowered to shape projects from the outset, dramatically increasing their commitment to the project, its appropriateness and sustainability.
3. Discussion of objectives reveals potential conflicts before they hinder success.
4. Opportunities arise for mutual learning and understanding.
5. PRA data can complement baseline and evaluation information.

The time required will vary. It may take a large group meeting to go through the first analysis, another smaller team to gather information, and then another meeting of the large group to conduct a final analysis using the new information.

The first step is for all stakeholders to share their objectives, and for development workers to clarify what they can and cannot do. It may take some time for stakeholders to discuss and determine their problems and to establish joint objectives.

Tools that may help include **Drawing and Discussion**, visuals, **Open-Ended Stories**, **Picture Stories**, **Flow Diagrams**, **Problem Trees**.

In some situations, this may be going too far, too fast. It is essential to build rapport and develop an understanding of the local context before moving too quickly into problem identification. Tools that may assist this process include **Timelines** to establish stakeholders' identity and history,

Seasonal Calendars and **Mapping** to show when and where livelihood and cultural activities take place.

All parties should clearly understand their own responsibilities and have identified overlapping areas of interest to clarify their stake in the process. Constraints need to be identified, including social, cultural and institutional factors. Tools that may assist this process include **SWOT** or **Forcefield Analysis**. Successful community organisations can be used to model new community structures.

The community may be divided in such a way (gender, caste, politics) that groups will not cooperate unless they see equal benefits. Discussions of constraints may bring up very sensitive issues, but these do not have to be challenged or resolved. They must only be recognised so that planning and negotiations take them into account.

The next step is to identify suitable activities or development interventions that will improve the situation, and to rank these in order of importance. Each activity can be analysed for its feasibility given local conditions. The information needed for this analysis may exist within the group. Stakeholders can revisit the outputs of previous tools, or carry out new activities to explore the information, such as **Drawing and Discussion**, discussion starters, **Picture Stories**, **Semi-Structured Interviews**, **Ranking**, **Rating**, **Sorting** and **Mapping**.

The information may need to be shared with other interests before selection of appropriate development interventions can take place. The information needs to be recorded and stored to assist later phases of the process.

There are many PRA resources on the web, notably the manuals and toolkits of FAO (United Nations Food and Agriculture Organisation). One useful search engine is at: www.fao.org/documents/

PARTICIPATORY LEARNING AND ACTION

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



The name 'PRA' has become a little misleading, since the tools associated with this method are no longer limited to rural settings or appraisal functions. PRA sometimes promotes a clichéd image of 'working on the floor with illiterate farmers', even though the tools have been extensively used in urban, organisational and corporate settings. Tools are used for increasingly diverse applications throughout all the phases of the development process.

This means that 'Participatory Learning and Action' (PLA) more accurately represents what many practitioners believe in and are doing, and this name has gained widespread acceptance in VSO and beyond. A key principle of PLA is that the method has unlimited scope, and that tools should be adapted to their purpose or designed from scratch. There is a stronger emphasis on commitment to action, rather than analysis simply for the sake of learning. In this sense, all participatory tools are PLA tools. Table 3 presents some illustrative examples of how PLA tools can be adapted to community and organisational settings.

Table 3: Some common PLA tools

Community context	Organisational context
	Semi-Structured Interviews
Community Mapping	Concept Mapping
Transects	Cross Visits
	Ranking, Matrices
	Stakeholder Analysis
SLOC Analysis	SWOT Analysis
Seasonal Calendar	Organisational Calendar
	Historical Calendar
	Flow Diagram/Webbing
	Problem Tree

The International Institute for Environment and Development is a key source of information on PLA: www.iied.org



PARTICIPATORY ACTION RESEARCH

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



Participatory Action Research (PAR) is a continuous cycle in which local and external people jointly decide on information that would be useful to shed light on their own social and economic conditions, on constraints affecting them and their organisations, and on their community as a whole. This mixed group decides the topic of research, designs the research (what will be measured and how) and collects the necessary information. This information is then put into practical applications or used to identify new research ideas. Development workers therefore act as 'participant observers', learn first hand about local problems and help to find solutions.

The scope of PAR is similar to PRA/PLA, and may use the same tools. However, organisations like the International Institute for Sustainable Development (www.iisd.org) argue that the distinctive role of PAR is to empower communities to change higher level power relations. In their interpretation, PAR can "empower a community ...or totally mess things up"¹ – success is dependent on good knowledge of the local power structure, and an awareness of the potential impacts of the method on the community.

Initially, the main research objectives are to select the project area, identify disadvantaged groups and to determine whether they are involved in local development efforts. Research is used to select suitable groups, plan and implement group activities and to develop appropriate training programmes.

Although the profile above presents PAR principally as a method for planning and analysis, ongoing PAR may help to solve problems and provide data for field workshops, develop and sustain participatory monitoring and evaluation, carry out case studies of disadvantaged people and develop appropriate technologies.

Tools for participatory action research are simple household and village surveys. These surveys will help to establish economic and social benchmarks, which highlight the status of the beneficiaries in the initial phase of the project and allow progress to be evaluated. Group discussions are useful for learning and building rapport. Part of action research is to record systematically each step of the process.



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¹ www.iisd.org/casl/caslguide/par.htm/

PARTICIPATORY BASELINES

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



A Participatory Baseline provides information needed to start development activities. It establishes common understanding, from the beginning, of how change relating to a specific situation will be measured. This information should relate directly to the objectives of the planned development intervention. Without a baseline, it is difficult to monitor and evaluate the impact of development.

Participatory Baselines offer the following benefits:

- ✓ Stakeholders decide how to measure change, helping them observe change easily.
- ✓ Specific information can be organised and obtained when needed.
- ✓ It complements other baselines created by external development workers.
- ✓ Joint planning and analysis enables mutual learning and skill-sharing.
- ✓ It can be used to plan project activities and identify potential problems.
- ✓ If information is scarce, baselines help to guide Participatory Action Research.

The first step is to discuss the purpose of a baseline – whether stakeholders want to measure progress or obtain information about a specific issue. If the baseline is to enable change to be measured at a future date, then objectives and activities can be reviewed. If a baseline is being carried out to obtain specific information for a new activity or because of a problem, reviewing of the central questions can be useful.

Once the purpose has been determined, stakeholders must decide:

Q. What do we want to know?

Q. What are the many pieces of information that could tell us this?

Q. What are the key pieces of information (indicators) that will tell us this?

Q. Where and how is this information best gathered, and by whom?

Q. How is information best analysed, shared and stored?

Establishing good indicators is time well spent, since they will reduce the amount of information needed. Stakeholders may wish at this point to delegate responsibility to a baseline team. Some information may be available from a secondary source, while other information will have to be collected. Suitable information gathering tools may include physical measurements, community records, **Drawing and Discussion, Open-Ended Stories, Semi-Structured Interviews, Ranking, Rating, Sorting, Maps, Community Financial Accounts**. This may require people with specific skills, and will also require labour and time. The team will need to decide whether external skills and labour are required, although it is more empowering to use or build the skills of the group.

II-1.2 Methods for reviewing

Reviewing relates to two key operations, often referred to collectively as Participatory Monitoring and Evaluation (PM&E). PM&E involves stakeholders at different levels working together to assess the development intervention and take any corrective action required. This joint problem-solving includes men and women at the community level; intermediary organisations, including NGOs; private sector businesses involved in the project; and government staff at all levels.

Conducting user surveys or asking community members to respond to questionnaires does not support a participatory approach. All stakeholders should have the opportunity to define the monitoring and evaluation criteria, identify problems, collect and analyse information, generate recommendations and implement change.

PARTICIPATORY MONITORING

LEVEL OF PARTICIPATION

- 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- Analysis
- Planning
- ✓ Doing
- ✓ Reviewing



Participatory Monitoring is the systematic recording, sharing and periodic analysis of information that has been chosen and recorded by insiders with the help of outsiders. The main purpose is to provide stakeholders with information during the life of a development process. This allows adjustments to be made if necessary and provides information for future Participatory Evaluation. Implementing agencies and donors also require data on progress toward overall objectives.

So a workable participatory monitoring system needs to accommodate the different – and often competing – information needs of those involved in the project, and incorporate regular meetings at each level to make use of the data generated.

The benefits of Participatory Monitoring include the following:

- ✓ Locally defined indicators are more relevant.
- ✓ It provides an ongoing picture.
- ✓ Problems are identified and solutions sought early.
- ✓ Good standards are maintained.

- ✓ Resources are used effectively.
- ✓ It creates an information base for future evaluations.
- ✓ A complete picture of the process is produced – stakeholder participation means that results are examined relative to past experience, increasing all other benefits.

As with any participatory process, the purpose and benefits need to be discussed so that stakeholders can decide for themselves whether monitoring will help them. If they have already been involved in the analysis phase then shared objectives will already have been reached. If the project has been defined externally, some discussion and agreement is necessary in order to align objectives and secure commitment.

Stakeholders suggest monitoring questions, which can be ranked and sorted, and indicators developed for useful criteria. For each indicator or monitoring question, the most appropriate information-gathering tool must be chosen. Often one tool can gather information that answers many monitoring questions.

Some of the information-gathering tools useful in Participatory Monitoring include group log-books, records, meetings, ledgers and accounts, and meetings to monitor group progress. At project level, tools include project records and accounts, sample surveys, field visits, preparation of periodic progress reports and meetings or workshops to review progress. At donor level, tools include external monitoring and workshops.

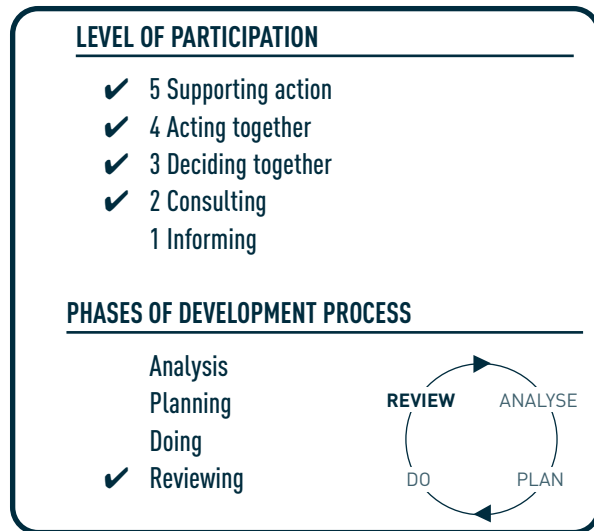
Responsibility for monitoring needs to be agreed with appropriate stakeholders. The information gathered should indicate shortfalls in project performance and discrepancies between objectives planned and those achieved. The results need to be shared for mutual learning, and to reveal any necessary modification of activities, objectives and processes.

Participatory Monitoring should be conceived from the beginning as part of the group learning and action process. This means that baseline and benchmark data, as well as data on inputs, outputs, work plans and progress made in group development, should be recorded, discussed and kept for later use.



DELIVERI/DGLS

PARTICIPATORY EVALUATION



Evaluation is an opportunity for all stakeholders to reflect on the past in order to make decisions about the future. As such, it is not just an 'end of project review'. Ongoing analysis of monitored information enables adjustment of project objectives, policies, institutional arrangements, resources, activities and level of participation where necessary.

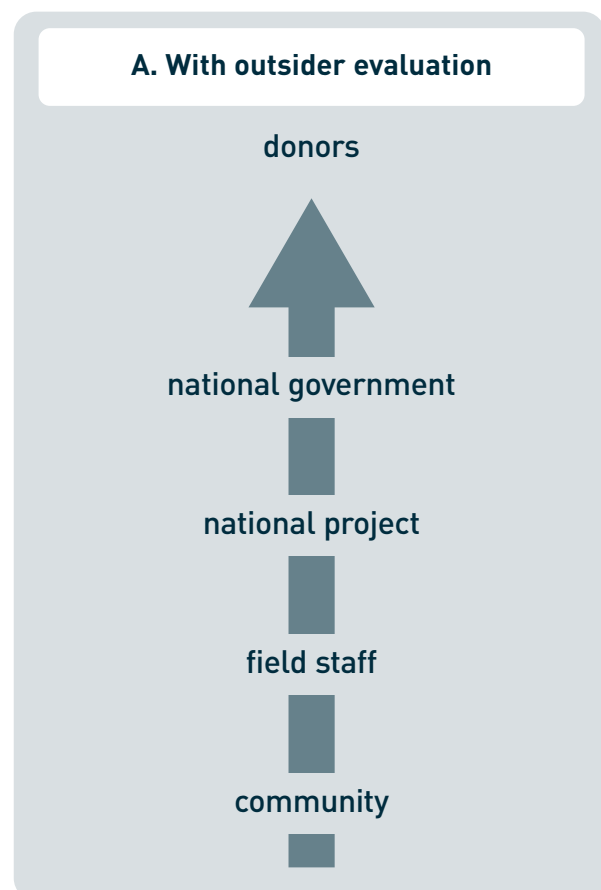
Participatory Evaluation activities can be done because PA has been planned at every stage of the development process to deal with a potential crisis, to respond to problems (including low participation/disinterest), or to introduce PA into a project defined by outsiders.

Local beneficiaries already evaluate intuitively and informally. This is because they ultimately reap the benefits and bear many of the costs of development, and choose whether to continue or discontinue activities when the outsiders leave. Local stakeholders may therefore use the results of evaluation to choose to continue activities, modify all or some, change the strategy, change the objectives, or discontinue activities.

Benefits of Participatory Evaluation include the following:

- ✓ Decision-making by beneficiaries improves – particularly relating observations to objectives.
- ✓ Local evaluation capabilities are stronger, enabling local people to organise and express their concerns and interests in ways outsiders can understand.
- ✓ Information flow changes (Figure 9) so that development workers and donors increase their understanding of the local context.
- ✓ Stakeholders learn from each other and may pass on good practice to other groups.
- ✓ An entry point for PA if participation has not been a feature so far.
- ✓ Information improves chances of self-supported management of activities in the future.

Figure 9: Examples of information flow





The first step is to discuss whether an evaluation is necessary and to explore the benefits. It is useful at this stage to review overall objectives. If PA has been used throughout the process, this means revisiting the outcomes of tools used earlier. Stakeholders can then explore what they want to know.

Development of evaluation questions may focus on achievements, areas for improvement, and overall development impact or significant change. A representative group will be assigned responsibility and a timeframe for gathering information on direct and indirect indicators. This will need some clarification of where the information will come from, and which tools to use. External skills and resources may be needed, although if PA has been used throughout there will have been opportunities for sharing and building information-gathering skills. This could be one of the objectives of the project.

The choice of tools will depend on the kind of information needed. If an information-gathering tool has been used before, it may be used again to update the information and show change. Outputs from Participatory Baselines and Participatory Monitoring can be used in Participatory Evaluation. Frequently used tools therefore focus on some kind of document analysis and discussion, eg log-books summarising group records, and diaries containing personal observations on the process and results of beneficiary participation. Regular group and inter-group evaluation discussions, studies and surveys can be used to derive key lessons, which may be communicated via newsletters in the local language. Field workshops and demonstrations are an additional way to bring together participants, project staff and external stakeholders to demonstrate measurable benefits and new practice, and to assess the project fully.

Nevertheless, other tools should not be overlooked if they suit the local culture, both for gathering information and sharing the results. These include oral histories and storytelling; **Timelines**, pictures and diagrams for showing change over time, milestones or key achievements. Drama and role plays can reveal a variety of evaluative data on social relationships, benefits of skill-sharing, and historical events that have affected the solutions to problems.

Maps or a series of map overlays are another key way to demonstrate change and share results: where contacts were made; where good practice occurred; comparisons with social **Ranking** to judge the impact on disadvantaged groups; and explanations regarding success and failure of specific activities. Maps can reveal contradictions in underlying assumptions and expectations, which in turn can lead to new experiments.

These tools should all be used to sustain a two-way flow of information between groups

and the project staff. Evaluation should include not only measurable results of group activities but also encourage reflection on other benefits of the process such as increased skills and knowledge or changing attitudes.

II-1.3 Sharing results

Sharing results is a key part of PA. The results of early analysis and planning phases are for immediate use and may not need to be presented until later in the process. However, it is good to have visible reminders such as objectives and maps.

Results of Participatory Monitoring may be presented monthly, seasonally and/or annually to the community. These may also be incorporated with evaluation results. Results of Participatory Evaluation are generally presented in complete and integrated form.

Results should be:

- **interesting**
- **appropriate** – designed with the audience in mind (Table 4)
- **clear** – use the language of the intended audience
- **convincing** and represent all stakeholders. Those who were not involved in the process of collection or analysis should have an opportunity to verify the information
- **timely** – in order to help stakeholders and donors make informed decisions
- **participatory** – stakeholders should decide what and how to communicate to others. It is their story and it will be all the more powerful if they tell it in their own way.

Table 4: Three main ways to present results, with examples of possible tools

WRITTEN	ORAL	VISUAL
Reports	Drama and puppetry	Photographs
Case studies	Tape recordings	Drawings
Community newsletters	Video	Video
Diagrams	Slides	Slides
	Storytelling	Cartoons
	Graphics/Charts	Diagrams



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SECTION SUMMARY – KEY LEARNING POINTS

- PA can be used at any stage of a project or development process.
- Different methods may use similar tools, but have different priorities and starting points.
- Clarify your purpose, and consider appropriate methods in your strategy.
- Regularly revisit your aims, what level of participation is desired, and your own behaviour and level of control.

NEXT STEPS

Following these generic methods, Section 2 presents examples adapted for specific uses.

II-2 METHODS FOR SPECIFIC PURPOSES

Introduction

The following methods are drawn from the experience of VSO and other development organisations. Some are large scale and multisectoral; others are more focused in scope. This is simply an illustrative rather than a comprehensive selection, to show the potential diversity of possible methods.

STAKEHOLDER ANALYSIS

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



Stakeholder analysis is the starting point of many organisational or social projects. It is used to acquire an understanding of the power relationships, influence and interests of stakeholders involved in the development of a project or policy. Its findings can provide early information about:

- who will be affected by the project (positively or negatively)
- who could influence the project (again, positively or negatively)
- which individuals, groups, or agencies need to be involved in the project, and how
- whose capacity needs to be built to enable them to participate.

Based on this analysis, a plan for how to involve each stakeholder group in subsequent stages of the project or policy work is developed.

Although there is a single **Stakeholder Analysis** tool described in this toolkit, other tools like organisational **Mapping**, **Seasonal Calendars**, **Focus Group Discussions**, **Matrices**, **Ranking**, **Problem Trees** or **SWOT Analysis** may help to enrich the analysis.

PARTICIPATORY ORGANISATIONAL APPRAISAL

LEVEL OF PARTICIPATION

- 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- Analysis
- Planning
- Doing
- ✓ Reviewing



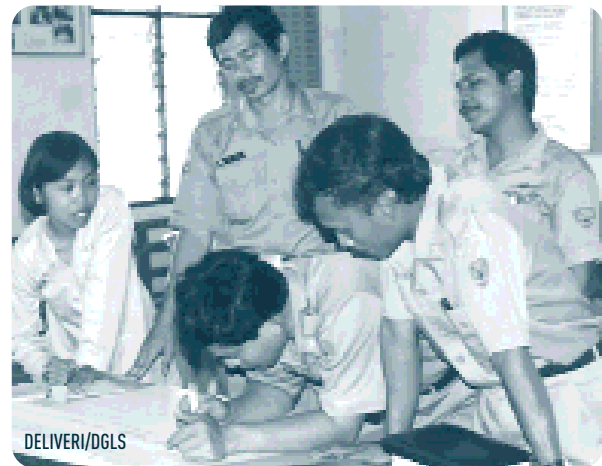
Every organisation will periodically need a strategic reorientation to increase its effectiveness, respond to change, or raise awareness of those within and outside the organisation of its main purpose or strategy.

Participatory Organisational Appraisal (POA) enables managers to use the experiences, knowledge and skills of their staff to assist them in refocusing their organisational development strategy. The recommended length for this method is three days, involving up to 20 staff, although this could be adapted. Any number of creative tools can be used – visual diagramming tools originally designed for overcoming language and literacy barriers have transferable value since they stimulate creativity and engage people in active learning.

Participants complete an in-depth analysis of their own organisation and determine the actual position they have in their institutional setting. After this analysis, participants will diagnose the causes for successes and failures at present and subsequently formulate strategies for organisational improvements over the next two years.

This will generally involve **Problem Tree**, **Flow Diagram** or **Webbing** tools.

Although the method is in essence a review, this action plan should include a division of tasks and timeframe. It can therefore engage with all stages of a development process. Depending on the management attitude and organisational culture, the level of participation may vary from consulting to more empowering levels.



DELIVERI/DGLS

THEATRE FOR DEVELOPMENT

LEVEL OF PARTICIPATION

- 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- ✓ Reviewing



Although role play can be easily used to communicate issues to people, the value of Theatre for Development is to engage people more actively in analysing their own situation, playing out alternatives and planning action. There are many different sub-methods within Theatre For Development (eg University of Manchester's ARTPAD¹ method) that use creative tools of mime, role play, improvisation or puppetry to engage people physically in active, experiential learning and action planning.

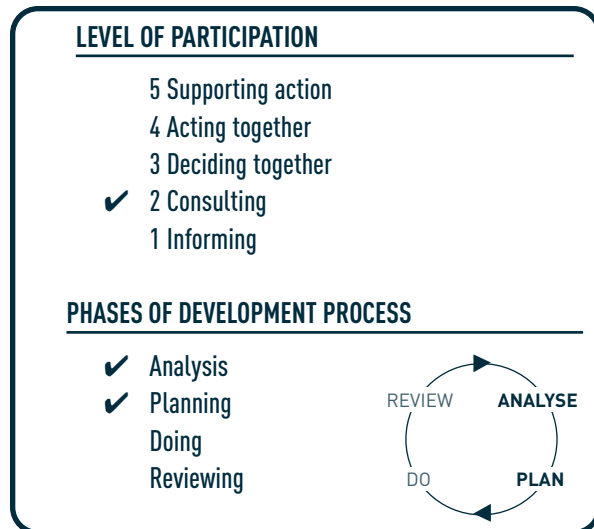
The keystone of Theatre for Development² is the work of Brazilian theatre practitioner and politician Augusto Boal, who created a whole system called the Theatre of the Oppressed. This is based on the assumption that all people desire and are capable of dialogue, and when a dialogue becomes a monologue, oppression ensues. He used theatre as an extraordinary tool for transforming the traditional 'monologue' of the stage into a dynamic 'dialogue' between the actors and the audience, enabling issues to be explored and experienced together. Key tools include **Image Theatre**, **Forum Theatre** and legislative theatre.

Theatre for Development opens up very powerful, experiential methodologies that engage with local culture and art forms. It can be used as a method in itself, or as a toolkit of activities that can be inserted into other methods. Participation operates at a high level, and the tools translate the energy of performance into a mobilising force for change and action. Theatre is particularly effective for analysis and exploring possible action, but can also be used for reviewing and celebrating.



DELIVERI/DGLS

BENEFICIARY ASSESSMENT



Beneficiary Assessment (BA) is a consultative methodology, and hence principally for feedback. It is used in both project and economic sector work to gain insights into the perceptions of beneficiaries regarding a project or policy.

The overall objective of a BA is to enable beneficiaries and other local-level stakeholders to identify and design development initiatives, signal constraints to their participation, and give feedback on these activities to those designing and managing a project or formulating policy. A large sample of **Semi-Structured Interviews** provides the bulk of the findings, with **Focus Group Discussions** to provide context. Various diagramming tools may be used to increase creativity.

The most common application of BA techniques has been in service projects where it is especially important to gauge user demand and satisfaction. During implementation, BAs can provide feedback for monitoring purposes and for reorientation of the project. Towards the end of the project, BAs can also complement technical and financial evaluations, as well as survey-based

impact evaluations with the views of the beneficiaries themselves.

More details can be found at:

www.worldbank.org/poverty/impact/methods/ba.htm

PARTICIPATORY CONFLICT MANAGEMENT

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



When participatory processes bring stakeholders of different power and interests together, both apparent and latent conflicts are often at issue. Conflict management techniques seek to involve these stakeholders in a process, based on improved communication, to address differences in a constructive way.

PCM (Participatory Conflict Management) as an end in itself relies on expert facilitation by conflict management specialists. However, similar approaches and tools may be used for managing conflict if it is revealed as an issue during projects or activities tackling different goals:

- to describe key concerns and identify common interests that will motivate joint work
- to undertake joint problem-solving and suggest meaningful decision-making processes
- to work together to design creative solutions and commit to agreements reached.

The **Relationship Strings** tool directly addresses conflict. Other tools that help include **Mapping** or participatory land

delimitation to identify conflicts over space and resources; **Seasonal Calendars** to identify conflicting seasonal activities; **Timelines** to map out key historical events and to identify unifying values and origins; and **Theatre** activities to explore perceptions and examine different behaviours that might reduce conflict. **Ranking** and **Matrices** help to examine choices and preferences.

Guided Visualisation may consider a future free of the constraints of the present. Any tool that helps to structure debate (eg **Yes, But...**) may help to facilitate constructive group discussion.

This process is best carried out in the early analysis and planning phases, otherwise projects are doomed to failure. However, they may also be used for review purposes in response to emerging conflict situations, to manage tensions and make plans for action.

Conflict management demands a high level of participation – conflict cannot be sustainably ‘resolved’ by an external party, but must commit to joint analysis, decisions and actions.



DELIVERI/DGLS

GENDER/ DIVERSITY ANALYSIS

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- ✓ Reviewing



Gender Analysis is a well-developed field, even though the goal of gender equity remains a challenge. These tools and methods are equally suited to exploring other socially constructed differences between people, on the grounds of age, disability, race, caste, ethnicity, HIV and AIDS status etc. Gender is used here as an illustrative example. Despite the name, this method can be used to plan and review action as well as carry out initial analysis.

Gender Analysis focuses on understanding and documenting the differences in gender roles, activities, needs and opportunities in a given context. This analysis examines the roles of men and women in production, reproduction and management in the community and attempts to understand how changes in one role may produce beneficial or detrimental effects in others.

Gender Analysis may address practical gender needs such as clean water; strategic gender needs such as laws to facilitate property ownership; the likely effects of development changes on the interdependent relationships of family members; and

development impacts on community labour exchanges, the flow of goods and other survival coping mechanisms.

Tools used for Gender Analysis include social **Mapping** of infrastructure and settlement to show gender differences in mobility, wealth, and well-being; **Diversity Analysis Matrix** to examine division of labour and resources; **Bomb Shelter** to explore prejudices; **24-Hour Analysis** to compare the average day of men and women; **Equality Tree** to identify personal, institutional and political change needed; role play or **Forum Theatre** to explore issues and strategies. **Puppets** may help to explore sensitive themes. Various kinds of **Matrix** can be used to monitor and evaluate action and change.

For information and resources on gender analysis, go to: www.ids.ac.uk/bridge



INTEGRATED ENVIRONMENTAL MANAGEMENT AND SOCIAL DEVELOPMENT

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



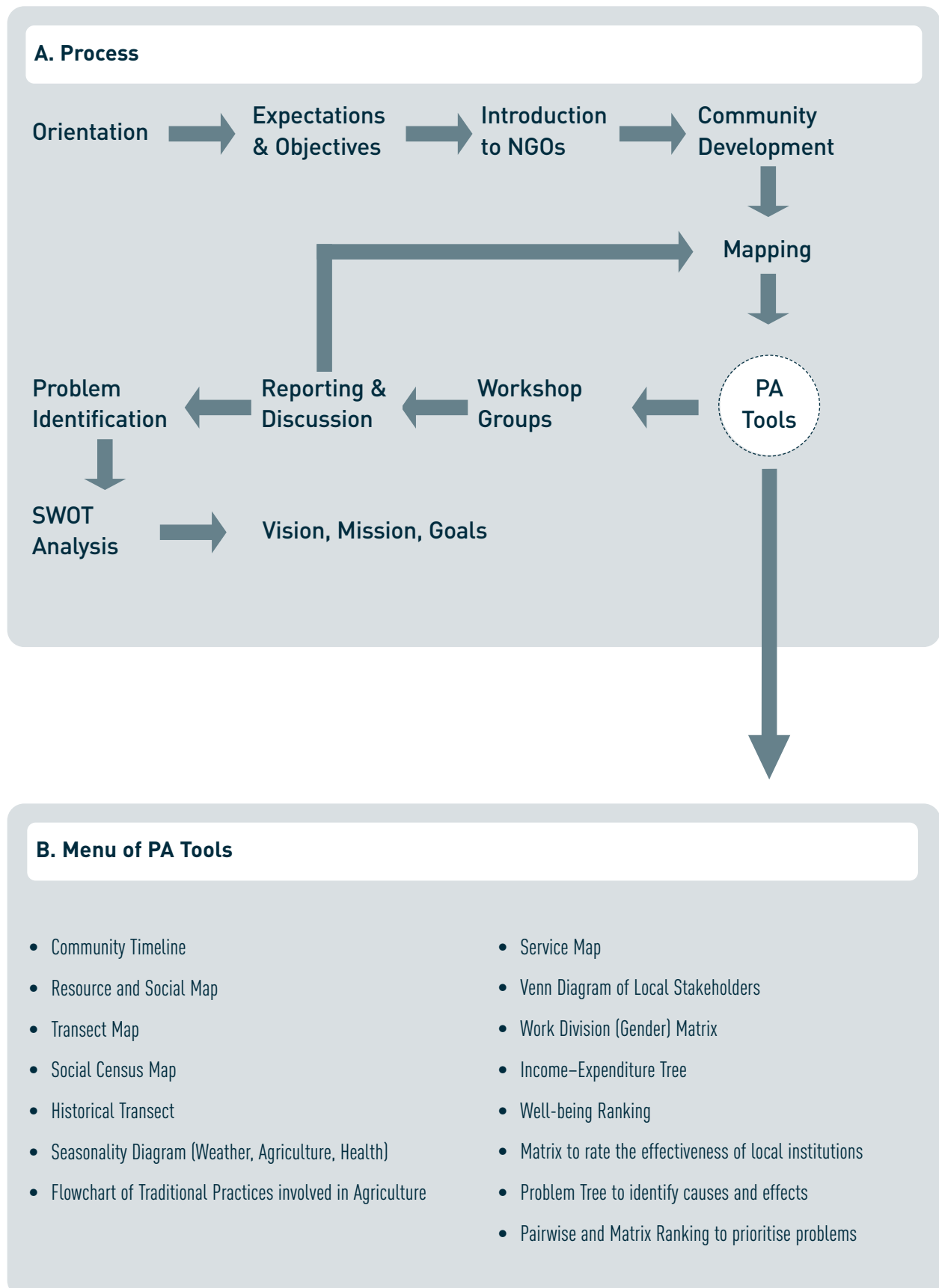
This method makes direct links between environmental systems, the communities that inhabit them and their livelihood activities in order to integrate conservation or sustainable environmental management with social development interventions. Community-based approaches are central to this process, with support from other stakeholders (local government, NGOs, private sector, etc).

As with all multisectoral approaches, a range of PA tools can be used. Figure 10 shows a process and menu of PA tools used by VSO volunteer Johann Van Djuin in the Philippines to help communities evaluate their own natural resources and livelihood strategies, set goals and plan development interventions. The outputs of these PA tools are transferred onto community map overlays showing how people interact with their environment.



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Figure 10: A community planning process used by VSO in South Cotobato, Mindanao, Philippines.



PARTICIPATORY AND INTEGRATED WATERSHED MANAGEMENT

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



The multisectoral approach of Participatory and Integrated Watershed Management has been specifically recommended by Agenda 21 for sustainable watershed management. In essence, this means using natural hydrological units as geopolitical territories for integrated development activities described above. This method is based on principles of watershed governance; participation of local communities, civil society and institutions; women's empowerment; integration of conservation and development goals and livelihood improvement; and micro-meso-macro links. This integration of environment, livelihoods and gender equity is consistent with VSO's strategy.

SUSTAINABLE LIVELIHOODS ANALYSIS

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing

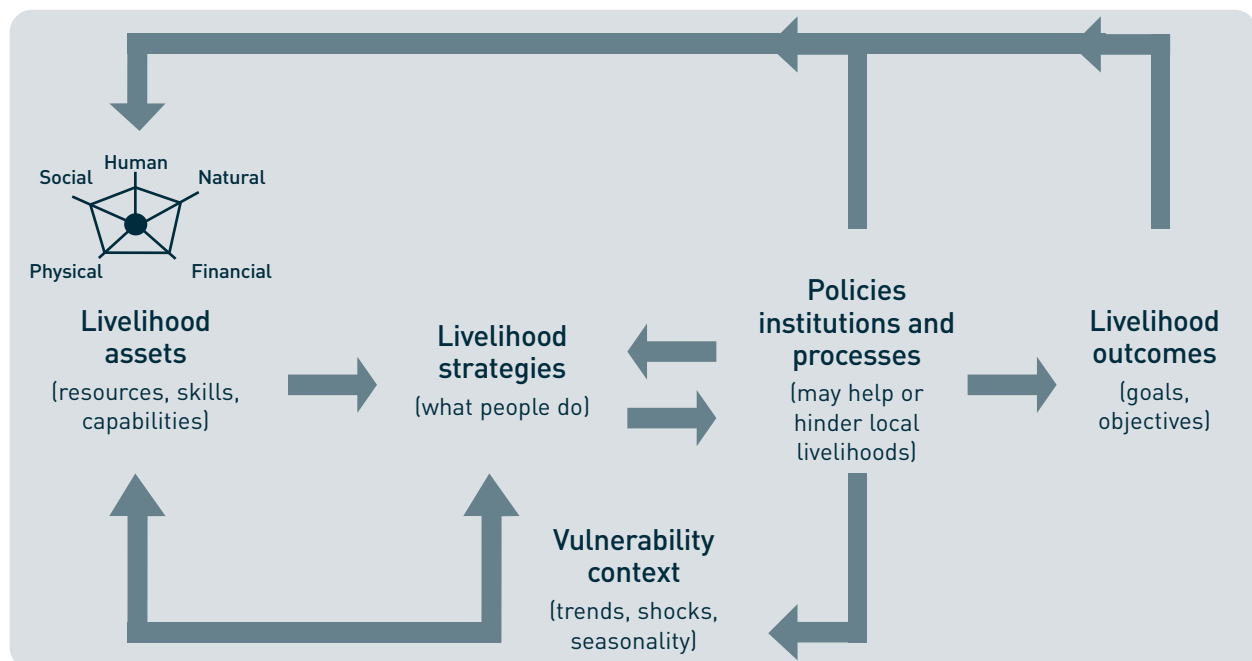


The livelihoods approach to development is a step beyond the integrated people – environment approach explained above. It takes local livelihood capabilities and needs as local people perceive them as the starting point for planning new development interventions or reviewing existing ones. Sustainable Livelihoods Analysis (SLA) comprises a set of core principles (Table 5), and a framework (Figure 11) to enable consistent and replicable work. The principles described in Table 5 support an empowering process operating with high levels of participation. Commonly used tools are summarised in Table 6.

The livelihoods approach is widely used by DFID and other agencies: comprehensive guidelines are available at www.livelihoods.org

Table 5: Principles of Sustainable Livelihoods Analysis

PRINCIPLE	DESCRIPTION
PEOPLE-CENTRED	Development starts with an analysis of people's livelihoods and how these have been changing over time, in their own words.
HOLISTIC	The framework model (below) represents the various factors which constrain or provide opportunities, and their inter-relationships.
PARTICIPATORY	The framework is constructed by local people using PA tools, and subsequent actions are based on local people's own agenda.
DYNAMIC	Livelihoods and the institutions that shape them are highly dynamic. SLA aims to support positive change and reduce negative patterns.
BUILDING ON STRENGTHS	SLA recognises inherent potential, and starts with an analysis of strengths and capabilities, rather than needs.
MICRO-MACRO LINKS	SLA identifies policy and institutional constraints on local systems, and feeds these lessons back to shape policy reform.
SUSTAINABILITY	SLA enables people to independently maintain their livelihoods in changing conditions, without undermining natural resources.

Figure 11: Schematic of the Sustainable Livelihoods Framework**Table 6:** Tools for Sustainable Livelihoods AnalysisAdapted from DFID (www.livelihoods.com)

TOOL	PARTICULARLY USEFUL FOR
24-HOUR ANALYSIS	Assets, strategies, local institutions, vulnerability
TIMELINES	Vulnerability context, policy change
SEASONAL CALENDARS	Vulnerability context, assets, strategies
TRANSECT WALKS	Quality and quantity of natural capital
RESOURCE MAPS	Existence of shared natural assets
SOCIAL MAPS	Access to services and infrastructure
PREFERENCE RANKING	Livelihood strategies, assets, access to services
MATRIX RANKING	Access to infrastructure, livelihood strategies, investment choices
WEALTH RANKING	Strategies and assets relations between social groups
VENN DIAGRAMS	Social assets, institutional and policy environment
FORUM THEATRE	Vulnerability, PIP (policy, institutions and processes) constraints, strategies to exit from poverty

SARAR

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- Doing
- Reviewing



SARAR is an education/training methodology requiring a trained facilitator. The process aims to engage stakeholders creative capacities in planning, problem-solving and evaluation; to develop people's own capacities for self-direction and management; and to enhance the quality of participation among all of the stakeholders. The acronym SARAR stands for the five attributes and capacities that are considered the minimum essentials for participation to be a dynamic and self-sustaining process:

- **Self-esteem:** as a person as well as a valuable resource for development.
- **Associative strength:** the capacity to work collaboratively toward a common vision.
- **Resourcefulness:** the capacity to visualise new solutions, meet challenges and take risks.
- **Action planning:** combining critical thinking and creativity to come up with new, effective and reality-based plans in which each participant has a useful and fulfilling role.
- **Responsibility:** for follow-through until the commitments made are fully discharged and the hoped-for benefits achieved.

Although they have no set order, the five key SARAR techniques are often applied progressively, having a cumulative effect:

1. **Creative techniques** involve the use of open-ended visual tools such as **Mapping** and posters to encourage participants to break out of conventional ideas and routine ways of thinking
2. **Investigative techniques** such as pocket charts are designed to help participants do their own needs-assessment by collecting and compiling data on problems and situations in their community
3. **Analytical techniques** including three pile sorting and **Gender Analysis** tools enable participants to prioritise problems and opportunities and to examine a problem in depth, allowing them to understand better its causes and identify alternative solutions
4. **Planning techniques** are used to simplify the planning process so decisions can be made, not only by the more prestigious and articulate participants (such as community leaders or senior staff), but also by the less powerful, including non-literate, community members. Planning techniques include story with a gap, **Forcefield Analysis** and software-hardware exercise.
5. **Informative techniques** help gather information and use it for better decision-making.

Further details can be found at:
www.worldbank.org/poverty/
 See also Srinivasan (1993).

QUALITY SERVICE APPROACH

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- 4 Acting together
- 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



The Quality Service Approach deals with reform of bureaucracy and government services, particularly in rural areas. The aim is for communities/clients to become empowered to expect and receive the services they need from (a) decentralised and efficient government organisations; and (b) more community-based private sector services. This requires significant changes in institutions and attitudes, particularly in rural services.

The method promotes a number of principles, on which it offers further guidelines: decentralisation, better government, community empowerment, privatisation, community-based services, Total Quality Management, PA.

PA is used to identify areas for change, plan and implement change, and review progress. The process needs strong support from senior management and experienced facilitators. The process relies on a series of training workshops: initially with senior managers, followed by building capacity of middle managers and operational staff in basic skills. Training is also given on new skills needed to implement the new approaches. Review, reflection and expansion involves local champions training others and producing training materials.

This method is beyond the scope of most VSO interventions, although VSO volunteers have worked on DFID-funded QSA projects in Indonesia. It is included here to show the potential for PA to facilitate significant institutional change that links micro and macro scales. Further details can be explored at: www.deliveri.org



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PARTICIPATORY EXTENSION SYSTEMS DEVELOPMENT

LEVEL OF PARTICIPATION

- ✓ 5 Supporting action
- ✓ 4 Acting together
- ✓ 3 Deciding together
- 2 Consulting
- 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



Extension and outreach systems can be made more participatory by training frontline extension officers in PA. This includes participatory **Gender Analysis** and planning tools. The aim is to create closer bonds and better cooperation between extension officers, farmers groups, organisations and local institutions. Trained staff develop on-farm participatory research, demonstration and group extension activities.

As with the Quality Service Approach, Participatory Extension Systems Development involves significant reform of attitudes and strategy, and a commitment to participatory monitoring and evaluation.

PARTICIPATORY NUTRITION PROJECTS

LEVEL OF PARTICIPATION

- 5 Supporting action
- 4 Acting together
- ✓ 3 Deciding together
- ✓ 2 Consulting
- ✓ 1 Informing

PHASES OF DEVELOPMENT PROCESS

- ✓ Analysis
- ✓ Planning
- ✓ Doing
- ✓ Reviewing



Participatory Nutrition Projects aim to improve the nutritional situation of vulnerable households through concrete activities that are designed, implemented, monitored and evaluated by the people of the community and that address the causes of malnutrition as the people themselves perceive them.

Many efforts have already been made to incorporate nutrition in agriculture projects. Most of these concentrate on improving the nutritional status of the target population through complementing agricultural activities with more specific nutrition interventions, such as nutrition education. Participatory projects render these efforts even more effective by addressing the causes of malnutrition from the perspective of the people themselves.

Nutrition concerns can be integrated into the routine activities of agricultural extensionists, primary school teachers, health staff or extension. An online toolkit is available at www.fao.org/participation/ including recommendations for preparation, participatory appraisal, design, delivery, monitoring and evaluation.

SECTION SUMMARY – KEY LEARNING POINTS

- Different methods tend to have natural limits on the potential level of participation. It is therefore vital to clarify your purpose and desired level of participation throughout the development process before selecting or designing an appropriate method.
- Existing methods should be adapted to your purpose rather than taken as blueprints.

NEXT STEPS

Having examined principles and methods of PA, Part III outlines a compendium of tools, illustrated with case studies from VSO and other organisations.

